

Meeting the Transportation Needs of Kentuckians with Disabilities: Public Policy Solutions

A Report Prepared for the

Kentucky Developmental Disabilities Council



**T H E M A R T I N S C H O O L
O F P U B L I C P O L I C Y
A N D A D M I N I S T R A T I O N**

April 24, 2002

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Disabilities: Public Policy Solutions**

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Kentucky Developmental Disabilities Council**

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Executive Summary

A report prepared by Third Age, Inc. identified a set of problems that confront Kentuckians with disabilities as they attempt to travel to work, medical appointments, shopping, public facilities, visit relatives, or recreation. Those problems include the availability, accessibility, and affordability of transportation services. The report identified the following as significant problems for those with disabilities:

- Inadequate or nonexistent short-notice service
- Insufficient job-related transportation
- Lack of service on holidays, evenings, and weekends
- Lateness
- Prioritized trips, and
- Awareness

We have identified and examined a variety of potential solutions to the transportation problems of Kentuckians with disabilities. In this report, we discuss the following options:

- Collaboration of private individuals
- Use of community organizations
- Encouraging private providers to enter the market
- Creation of Not-For-Profit Transportation Service
- Faith-based transportation provision
- Central coordination of information
- Route extensions and extended service hours
- Freedom of Mobility Act
- Advocate for Individuals with Disabilities
- Performance-Based Contracting

The remainder of this report:

- Identifies the strategies we followed to identify problems and solutions
- Provides an analysis of each potential solution that includes descriptions of
 - How the solution would work
 - The problems it would address
 - How it would be implemented
 - The nature of required policy changes, if any
- Relationship to other solutions
- Costs and benefits for
 - Individuals with disabilities
 - Brokers
 - Service providers
 - Government

PART ONE: INTRODUCTION

I. The Foundation: Looking at Transportation Needs

In 1999, the Kentucky Developmental Disabilities Council commissioned a study of the Transportation Needs of Kentuckians with Disabilities. That study, carried out by Third Age, Inc., identified a series of problems that confront Kentuckians with disabilities as they seek transportation for work, health care, shopping, and other purposes. While those with disabilities are eligible for services through the protection of the Americans with Disabilities Act or because they qualify for publicly subsidized services through programs like Medicaid or Welfare-to-Work, they often find that services are unavailable, difficult to access, not available when needed, or of low quality.

In fact, in that report, Third Age, Inc. presented the results of a citizen survey suggesting that individuals with disabilities are most likely to need transportation for work, medical appointments, and shopping. These were followed closely by recreation, visiting family and friends, and access to services or to conduct business. More than a third of the respondents did not have access to public transportation. Half reported transportation services to be unavailable. One-fourth were dissatisfied with the available transportation. In its discussion of the findings of the surveys of citizens, transportation service providers, and local communities, Third Age suggested that there are problems with the availability, accessibility, and affordability of transportation services. It identified the following as significant problems for those with disabilities:

- Inadequate or nonexistent short-notice service
- Insufficient job-related transportation
- Lack of service on holidays, evenings, and weekends
- Lateness
- Prioritized trips, and
- Awareness

Unfortunately, the Third Age report does not tell us how many individuals with disabilities have transportation problems or where they are located. The report does suggest that these problems are more pronounced in rural areas than in urban areas. This is a function of the presence of public transportation systems in urban areas. Those systems create networks of transportation that the American with Disabilities Act mandates be made available to those with disabilities. The absence of similar networks in rural counties and the dispersion of the population over large geographic areas magnify the difficulties of meeting transportation needs in those settings.

As we studied the transportation needs of Kentuckians with disabilities, we drew on the Third Age report, interviews with brokers in the Kentucky Human Services Transportation Delivery Program, HSTDP, and a study of HSTDP carried out by the Kentucky Transportation Center. While we do not know how many individuals with disabilities have transportation needs or where they are located, we can note certain facts about the population of Kentucky. The 1990 Census of the Population identified more than 420,000 individuals in Kentucky who have self-identified disabilities. This includes

individuals with a work disability, a mobility limitation, or a self-care limitation. At the same time, only 127,000 Kentuckians with disabilities are eligible for Medicaid. It is important to note that not all of the 420,000 individuals with disabilities need transportation services.

Table 1: Population of Unemployed with a Disability

County (Region)	Disab.	County (Region)	Disab.	County (Region)	Disab.
(Purchase)		(Kentuckiana)		(Cumberland Valley)	
Ballard	40	Bullitt	149	Bell	114
Calloway	155	Henry	46	Clay	101
Carlisle	1	Jefferson	2337	Harlan	204
Fulton	53	Oldham	71	Jackson	70
Graves	102	Shelby	52	Knox	122
Hickman	38	Spencer	23	Laurel	286
Marshall	111	Trimble	22	Rockcastle	109
Mc Cracken	244	<i>Total</i>	3855	Whitley	308
<i>Total</i>	744	(Bluegrass Rural)		<i>Total</i>	1314
(Pennyrile)		Anderson		(Kentucky River)	
Caldwell	49	Bourbon	71	Breathitt	118
Christian	214	Boyle	73	Knott	122
Crittenden	32	Clark	127	let	22
Hopkins	231	Estill	43	Leslie	46
Livingston	3	Fayette	661	Letcher	131
Lyon	35	Franklin	68	Owsley	22
Muhlenberg	115	Garrard	38	Perry	142
Todd	53	Harrison	30	Wolfe	35
Trigg	45	Jessamine	73	<i>Total</i>	638
<i>Total</i>	761	Lincoln	100	(Big Sandy)	
(Green River)		Madison		Floyd	184
Daviess	411	Mercer	94	Johnson	76
Hancock	37	Nicholas	39	Magoffin	62
Henderson	102	Powell	70	Martin	34
Mc Lean	26	Scott	68	Pike	351
Ohio	75	Woodford	42	<i>Total</i>	707
Union	69	<i>Total</i>	1800	(FIVCO)	
Webster	25	(Northern KY)		Boyd	208
<i>Total</i>	745	Boone	156	Carter	84
(Lincoln Trail)		Campbell		Elliott	15
Breckinridge	80	Carroll	39	Greenup	153
Grayson	57	Gallatin	5	Lawrence	88
Hardin	483	Grant	37	<i>Total</i>	548
Larue	37	Kenton	467	(Gateway)	
Marion	65	Owen	32	Bath	60
Meade	118	Pendleton	38	Menifee	26
Nelson	113	<i>Total</i>	3423	Montgomery	94
Washington	42	(Lake Cumberland)		Morgan	31
<i>Total</i>	995	Adair	24	Rowan	90
(Barren River)		Casey		<i>Total</i>	301
Allen	50	Clinton	33	(Buffalo Trace)	
Barren	103	Cumberland	14	Bracken	20
Butler	30	Green	27	Fleming	85
Edmonson	11	Mc Creary	91	Lewis	70
Hart	75	Pulaski	158	Mason	34
Logan	127	Russell	45	Robertson	11
Metcalfe	22	Taylor	37	<i>Total</i>	220
Monroe	42	Wayne	62		
Simpson	49	<i>Total</i>	566	<i>Total for All Counties</i>	31,207
Warren	323				
<i>Total</i>	832				

Table 1 data come from the 1990 Census and these numbers illustrate the number of individuals who considered themselves in the workforce but unemployed. These figures may be used to give an upper bound estimate of the number of individuals with disabilities who could potentially benefit from public transportation services that would enable them to be employed. Figures 2 and 3 depict the regional distribution of individuals with a work disability, mobility limitation, or self-care limitation. Our designation of regions comes from Bluegrass Area Development District (www.bgadd.org) as of April 4, 2002. Although the differences may not appear to be large, there are clear regional disparities in the distribution of individuals with disabilities.

Figure 2: Percent of Kentucky's Total Population of Individuals with Disabilities Living in Each Region

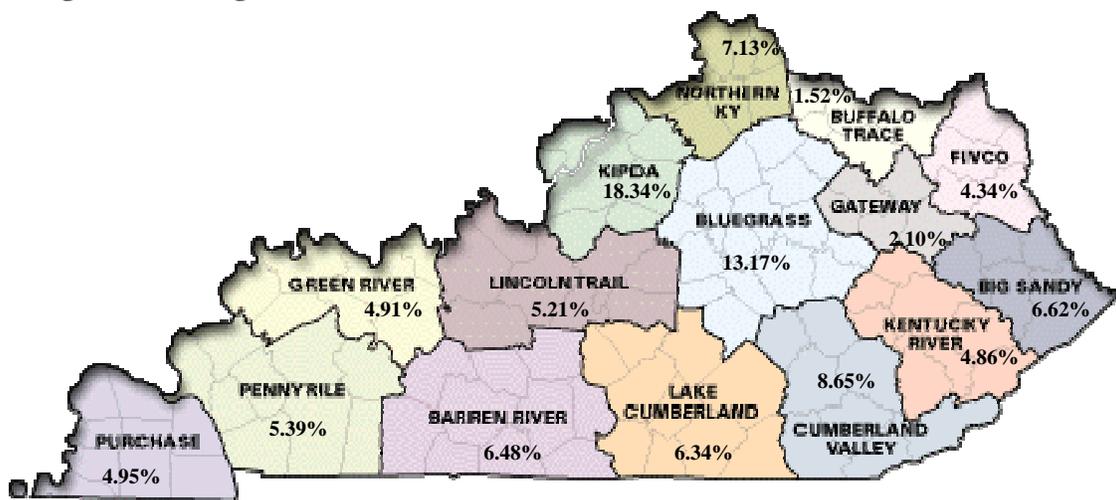
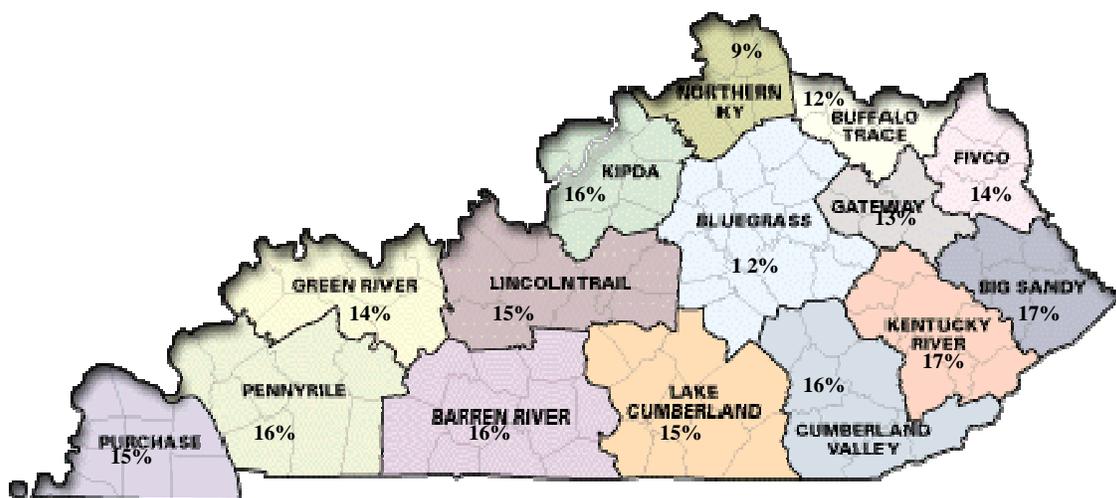


Figure 3: Percent of Region's 16+ Population with a Work Disability, Mobility Limitation, or Self-Care Limitation



II. The System: Reviewing Current Approaches

It is useful to briefly review two major approaches for meeting the service needs of individuals with disabilities in Kentucky. One is public transportation. Another is the Human Services Transportation Delivery System operated by the Kentucky Transportation Cabinet. Public Transportation systems in Kentucky operate primarily in larger communities and serve only a portion of the state's population. Nonetheless, where they do operate, they are an important source of transportation for individuals with disabilities. Under the terms of the Americans with Disabilities Act of 1990, public entities operating a fixed route system must provide paratransit or other special services to persons with disabilities that is comparable to the level of service provided to individuals without disabilities who used fixed route systems. This provides an important source of transportation for individuals with disabilities who live in communities served by public transit. It does not address all of their needs, however, because of the limited nature of public transit in most communities where it operates. This includes route limits, operating hour limits, and days of service.

In order to more effectively meet the needs of special service populations, Kentucky initiated a Human Service Transportation Service Delivery Program (HSTDP) in 1998. This system replaced an earlier set of arrangements for transportation services funded separately by various government programs for Medicaid, Temporary Assistance to Needy Families (TANF), Welfare-to-Work, Vocational Rehabilitation, and the Department for the Blind. HSTDP relies on brokers to arrange transportation services for eligible recipients. Appendix C briefly summarizes key features of the program.

The number of providers and vehicles varies from county to county and region to region. Table 4 indicates the statewide number of providers and accessible vehicles, as well as providing regional breakdowns for those numbers. It appears that some regions are much better serviced than others. The number of providers ranges from four to twenty across the regions. The number of accessible vehicles ranges from seven to fifty. Beyond this, we need to note that one broker has gone out of business.

Interviews with the fourteen remaining brokers indicate that many are operating at a very narrow profit margin. These brokers asserted a certain loss of financial solvency should any change in public policy result in an additional drain on available resources. Three brokers stated that it is only TANF reimbursement keeping them in business. Also, several brokers explicitly declared that the state is not fulfilling its commitment to financially assisting them with costlier trips. Specifically, there is no increase in the capitation rate for riders under the Community Living Waiver program, fee-for-service reimbursement for extraordinary trips is consistently denied, and the state refuses to address issues of risk management. Brokers also requested a Medicaid cap rate more commensurate with TANF rates and a clear definition from the state of driver responsibilities. The single most urgent issue, in terms of the financial viability of the broker, is that a tremendous amount of resources are used on the Community Living

Waiver program. One broker succinctly stated that this program will “drive me out of business.”

Figure 4: Accessible Vehicle Statistics

Region	# of Wheelchair Acc Veh	Total # of Public Trans Veh	# of Mobility Impaired Per Acc Veh	# of Individ. w/ Disab per Total Veh
Purchase	46	230	186 (RL)**	90 (RL)
Pennyrile	37	210	182 (RL)	108 (RM)
Green River	37	220	207 (RL)	94 (RL)
Lincoln Trail	25	210	312 (RM)	98 (RL)
Barren River	50	265	212 (RL)	120 (RM)
KIPDA	87	445	331 (RM)	231 (RH)
Bluegrass	57	215	353 (RM)	108 (RH)
Northern Kentucky	24	180	466 (RH)	158 (RM)
Lake Cumberland	28	199	393 (RL)	92 (RM)
Cumberland Valley	32	205	471 (RL)	97 (RH)
Kentucky River	25	193	331 (RM)	215 (RH)
Big Sandy	22	185	564 (RH)	179 (RM)
FIVCO	31	240	233 (RL)	116 (RM)
Gateway	29	230	115 (RL)	106 (RM)
Buffalo Trace	7	85	370 (RM)	75 (RL)

* The numbers of accessible vehicles are based on counts given by either the brokers or providers in each region in a telephone survey. **Ratio relative to other regions RH- Relatively High RM- Mid-Range RL- Relatively Low

* The total number of public transportation vehicles is based on the percentage of accessible vehicles to entire public transit fleet of the region. This extrapolated data is based on broker and provider reports.

* There is an issue of accuracy of the data for region 6. The lack of a centralized broker in the region was problematic for accurate data capture. The researcher relied on provider information concerning available transportation services in the region.

The new system had a number of important effects. As is detailed in Appendix D, the level of service provision almost tripled, going from 59,000 trips a month to 167,000 trips a month. Service expanded from 108 counties to 120. Average trip length fell from 25.5 miles to 9.8 miles. On top of this, the level of complaints was low, only 442 in 2001, an increase of only 8 percent since 1997, despite the much higher service level..

In addition to public transit and HSTDP, individuals with disabilities rely on private transportation, community organizations, and friends and neighbors to get where they need to go. Some solutions to transportation problems may involve expansion of this kind of support.

Figures 5 and 6 depict the number of individuals with a self-identified mobility limitation per accessible vehicle in each region and the number of individuals with a mobility limitation per total number of vehicles, respectively. In each figure, red represents regions with the lowest individual to vehicle ratio. As can be seen, there are considerable variations across regions in the availability of vehicles and accessible vehicles. Blue

represents regions in the mid-range, and green represents regions that have a relatively high individual to vehicle ratio.

Figure 5: Number of Individuals with a Mobility Limitation per Accessible Vehicle

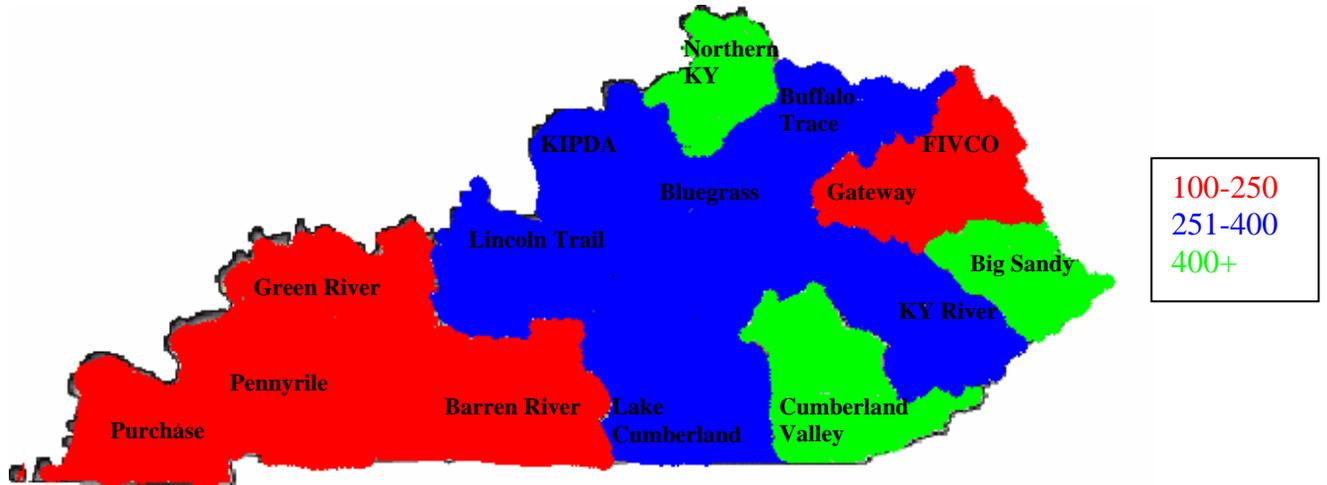
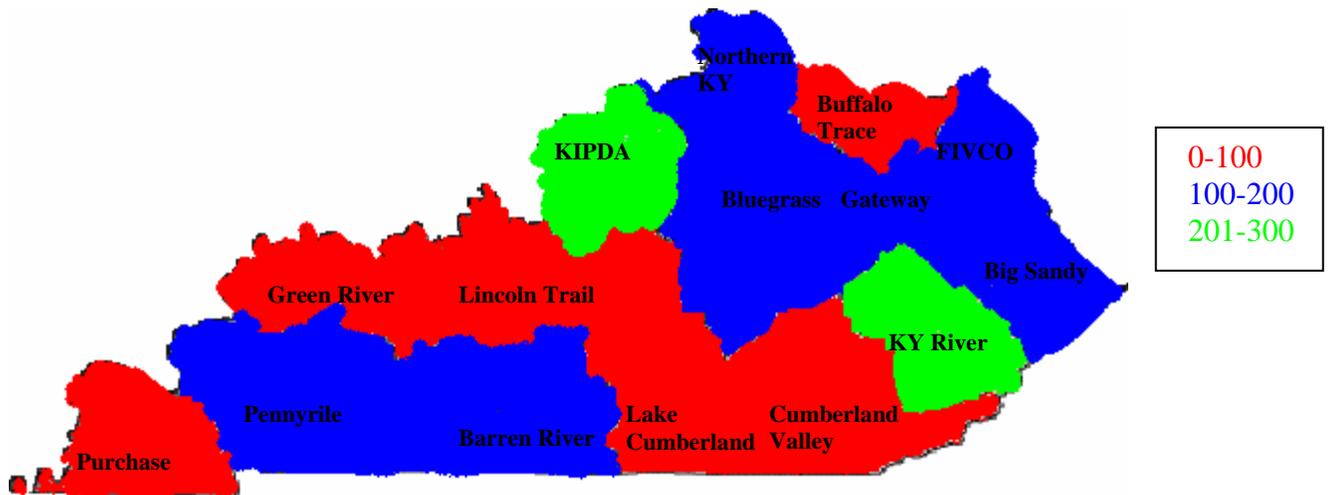


Figure 6: Number of Individuals with Disabilities per Total Vehicles



III. The Process: Matching Solutions to Problems

In our review of the Third Age study, reports of the Kentucky Transportation Center, a study of Kentucky's Human Services Transportation Delivery Program carried out by the Kentucky Transportation Center, and other studies, we attempted to identify problems that are amenable to solution. In one sense, the solution to the problems is simple. Give all individuals with disabilities sufficient resources that they can purchase the transportation services they need. With enough money, they can probably buy the services anywhere. The problem with this solution, of course, is that it is cost-prohibitive, inefficient, and has no chance of being adopted and implemented. Short of this, we asked ourselves what could be done to modify or supplement existing systems in ways that would produce noticeable improvements.

As we searched for public policy solutions, we followed a procedure that started with a focus on specific problems. Having identified a problem, we sought a variety of solutions. Some of those came from a review of innovative programs around the country. Many of those programs are summarized in Appendix A. Other solutions came from a consideration of standard approaches to policy problems. Still others came from creative thinking. The result was a list of problems with potential solutions that is presented in Appendix B.

The problems are of three different types:

1. Some are problems that face current service recipients. This includes things like a lack of short-notice service, scheduling difficulties, lack of service at off-peak times, lack of trip prioritization, and client lack of knowledge of existing services. In general, we are concerned here with the quality of service received by recipients.
2. A second set of problems involves lack of service for individuals eligible for service. This results from scheduling difficulties, services that are too costly, and an absence of transportation alternatives.
3. Finally, there is a lack of service for individuals with disabilities who are ineligible for public services. This leaves them unable to reach employment, unable to obtain medical care and other services, lacking public transportation, and facing prohibitive costs.

The second and third sets of issues are basically problems of supply and demand. Having put together a matrix of problems and potential solutions, we looked for solutions that might address multiple problems. Putting these solutions to work depends on

- A mix of public policy initiatives,
- Administrative adjustments,
- Resource commitments,
- The development of capacity,
- Partnerships, and
- Other resources

In keeping with contemporary public policy approaches, the report assesses solutions grounded in combined efforts of the public, private, and not-for-profit sectors. Collaboration across sectors and organizations is often a key to successful approaches to public problems. We also suggest the possibility of faith-based initiatives, in keeping with the prominent role of faith-based groups in addressing the needs of those who are disadvantaged in one way or another and the current public policy attention to faith-based efforts.

In the following pages, we present a set of approaches that cut across a variety of transportation problems facing individuals with disabilities. For each approach, we describe how the solution would work, identify the problems it addresses, discuss what would have to happen to implement the solution, indicate policy changes the approach would require, and provide a brief assessment of the costs and benefits for individuals, service providers, brokers, and the government.

PART TWO: RESULTS

I. The Possibilities: Studying Feasible Solutions

A. Performance-Based Contracting

Goal:	To Improve Performance of Brokers and Service Providers
Technique:	Basing Contracts on Performance Standards
Policy Needs:	Statutory or Administrative Authorization

1. Description of Solution

Public officials have turned increasingly to performance measurement and performance-based contracting as a means of securing higher quality public services in recent years. The basic idea is to establish a set of expectations for the performance of service providers and then hold them accountable for meeting those expectations. One of the most common ways to hold them accountable, particularly when a government is contracting with a service provider and making a grant to another unit of government, is through performance incentives. Those incentives can take the form of penalties or bonuses that are linked to the level of performance attained.

In the job training system created by the Job Training Partnership Act of 1981, local service delivery areas were funded largely on the basis of a formula linked to the level of need in the local area. They were also eligible for bonuses under a system of performance measures authorized by the Act and adjusted by state job training councils. Administrative entities that performed at high levels received bonuses that could be plowed back into programs for clients.

A second example is present in the Adoption and Safe Families Act of 1997, which led to the creation of a set of measures to assess the performance of the states with respect to child welfare outcomes. The outcomes of interest include reduced recurrence of child abuse and/or neglect, reduced incidence of child abuse/neglect in foster care, increased permanency for children in foster care, and reduced placements of young children in group homes or institutions. At this point, the measures are used to make public performance levels, channel technical assistance, guide research efforts and develop collaborative approaches to child welfare improvement.

Another example is found in Kentucky's system of elementary and secondary education. The Kentucky Department of Education acting under the mandates of the Kentucky Education Reform Act has created a testing system to assess the performance of Kentucky's schools. Schools that exceed expectations receive bonuses that can be spent on programmatic activities or split as a bonus among teachers and staff. These tests lead

to report cards on the schools that allow parents, citizens, boards of education, the state Department of Education, and others to hold the schools accountable. A large part of the accountability is probably achieved by the simple expedient of making performance information public. Teachers and school administrators do not want to look bad; in fact, they probably want to project an image of success. If public image is not enough, there are two other incentives. One is the bonus for high performance; the other is a set of interventions that are sparked by low performance. Schools that do not meet expectations receive advice from master teachers (which may be viewed as either helpful or insulting by the teachers in the school); their students gain the right to transfer to other schools; and they face the prospect of state takeover if performance is consistently bad.

Applying this to the transportation needs of Kentuckians with Disabilities would help address performance issues related to the Human Services Transportation Delivery Program. Performance standards would be set for brokers. The first step would be to identify the relevant dimensions of performance. That might include, for example, the timeliness and reliability of service. It might comprise the quality of service, which presumably would be measured with client satisfaction surveys as well. It may also take into account the scope of service. Thus, a set of performance measures might be constructed consisting of the following items:

- a. length of time it takes to arrange transportation
- b. degree to which rides are available when requested
- c. percentage of pickups made on-time or within ten minutes of appointment
- d. percentage of missed appointments
- e. client rating of driver courtesy
- f. client rating of driver helpfulness
- g. client rating of vehicle cleanliness
- h. client rating of vehicle comfort

With a set of performance measures in place, it would be necessary to set performance standards. Typically it is compulsory to have baseline data to do this. The alternative relies on comparisons across brokers with rewards to those brokers that perform well compared to the norm. With standards, it would be possible to reward high performers and/or penalize low performers. Without preset standards, it is probably the case that bonuses for high performers are probably the best way to proceed.

An important feature of a performance measurement system is that brokers could extend it to service providers. This would provide a means for brokers to hold transportation providers accountable for the level and quality of service they provide.

2. Problems Addressed by Solution

This solution addresses service quality and reliability issues raised by respondents to the Third Age study of the transportation needs of individuals with disabilities. It responds to issues related to late pick-ups, missed appointments, inadequate vehicles, poor scheduling, and unresponsive drivers.

3. Guide for Implementation

1. Develop Reliable, Adequate Set of Performance Measures
2. Design System of Performance-Based Rewards and Penalties
3. Incorporate in Contracts
4. Monitor Performance

There are several keys to implementation of this approach to service improvement. The most important would be the development of a set of performance measures that reliably and adequately capture the key elements of performance. It is important to develop a complete set of measures; otherwise, the performance measurement system could channel behavior toward measured outcomes and away from other important outcomes that are not quantified. Measurement itself shapes behavior. When it is accompanied by penalties or rewards, it has an even more powerful influence. The early years of the Job Training Partnership Act demonstrated this. The initial measures focused exclusively on outcomes like job placement and earnings without taking into account client characteristics. This led to cream skimming, a process by which job agencies focused on the most qualified clients, rather than those facing extensive barriers to employment. The performance measurement system had to be modified to alter that behavior.

It will be important to shape the design of the system so that it is compatible with the overall intent of the Human Service Transportation Delivery Program. The intent was to create a system that increased the level of service to clients while reducing the overall costs or the costs per trip. Program designers accomplished this by creating incentives for brokers to economize in a variety of ways, including structuring service delivery in a way that reduced the overall cost. One example of this, of course, is to group trips.

A second key element of implementation will be to design a measurement system that produces valid and reliable measures at reasonable costs. This will require developing effective sampling strategies for gathering data. If the sampling strategies do not produce representative samples, the measurement system will not work fairly and effectively. Someone will need to monitor service providers to gather data on performance. The same is true for customer satisfaction.

A third significant component will be the design of an administrative structure for performance measurement. If it is the brokers whose performance is being assessed, the question is how brokers can be induced to provide reliable and valid performance data. If they cannot, a third party has to be introduced to collect and analyze the data. This could be done by the Transportation Cabinet, the Health Services Cabinet, a university research organization, or a firm which contracts for this kind of work.

A fourth major factor of implementation is the design of the system of rewards and/or penalties. Standards are required as a basis for rewards or penalties. This was done under KERA by establishing a performance baseline for each school. Basically, the first

year of testing provided a set of baseline measures against which future performance would be judged. The state established performance standards relative to that baseline. Schools that did well in subsequent years received rewards; those that did poorly received technical assistance and possible penalties. This is one model that could be followed to set performance standards for HSTDP. Another model would put the brokers in competition with each other instead of in competition with themselves. Rewards could be offered to brokers who excel compared to the mean; technical assistance or sanctions to those who lag far behind the mean. Establishing standards would be a critical step.

The fifth key element is the creation of consequences tied to performance levels. Consequences can be varied. They could involve monetary rewards, mandatory technical assistance, loss of contract, or other sanctions and incentives. The key is to structure the consequences in a way that is consistent with desired outcomes and that does not have undesirable side effects.

A sixth part of implementation would be to decide the degree to which and how performance measures can be applied to service providers. One choice is simply to leave that in the hands of the brokers, whose well-being depends on the performance of the providers. Another is to provide a set of models for brokers to use in their dealings with providers.

A seventh element is to take into account differences in service areas that might affect performance and the effectiveness of performance measures in structuring outcomes. On the face of it, the challenge seems different in rural areas than in urban settings because of differences in the density of need and the supply of providers.

As a practical matter, it might be desirable to start with an experimental program to test the feasibility of gathering valid and reliable data and judge the reaction of clients, subcontractors and brokers to the performance measures.

4. Consideration of Policy Changes

The creation of a performance management system for HSTDP will require either statutory changes or administrative initiatives. It is possible that a system of performance measures can be instituted through the authority granted in KRS 281.875, which sets the administrative authority for the program with respect to contracts and other matters. If it is not possible to develop a performance contracting system administratively, legislative action would be required. The policy, whether established administratively or legislatively, would identify the types of measures to be used and the uses to which they would be put. It would specify the nature of the rewards and the penalties.

5. Interaction of Solutions

This solution interrelates with the use of advocates and central coordination of information as a set of approaches to improve service delivery. Each offers the promise of augmenting service delivery. Information gathered by advocates might provide part of the basis of a performance measurement system. Advocates could also use comparative performance data to encourage brokers or providers to improve service delivery. Central coordination of information could provide the mechanism for compiling and reporting performance data.

6. Analysis of Costs and Benefits

Individuals-The benefit to individuals will be indirect. To the extent that the performance measurement system leads to transportation improvements, individuals will receive better service. Just making the information available will empower clients to encourage brokers and providers to improve services by giving them objective data on which to base their demands.

Providers- Providers will experience the cost of providing data required for the performance measures. They also face the threat of reduced income or loss of business if their performance is lacking. On the other hand, they could experience increased business and higher payments if they excel in service provision.

Brokers- Brokers will experience costs associated with collecting data. They will also encounter demands for improved services. At the same time, they will have data available to demonstrate the quality and effectiveness of services they provide. Like providers, they face the threat of reduced income or loss of business if their performance is lacking. On the other hand, they could face increased business and higher payments if they excel in their services.

Government- Implementing a performance measurement system will impose costs on government in the form of organizational, time, staffing, and financial resources. Paperwork demands could be significant. The challenges of creating an effective performance management system are intellectually and organizationally demanding. On the other hand, government could experience greater returns on its investment in transportation services for individuals with disabilities and the goodwill generated by satisfactory service delivery.

B. Creation of a Regional Ombud Office

Goal:	Improved Identification of Complaints and Resolution of Service Problems
Technique:	Create Independent, Regional Ombud Offices
Policy Needs:	Administrative Authorization and Funding

1. Description of Solution

In planning and implementing the coordinated transportation program of the Empower Kentucky initiative, the Transportation Cabinet created a mechanism by which complaints could be recorded, tracked, and referred out for resolution. According to the original plan, regional brokers were responsible for maintaining the complaint tracking and resolution systems supplied to them by the state. Brokers were to log all complaints into the system, which were subsequently submitted to the Office of Transportation Delivery for review. Should a particular complaint warrant resolution, the problem would be referred to the regional Area Administrator of the Cabinet for Families and Children. Provider and broker complaints, such as low or untimely reimbursement, the unfair assigning of trips, and poor training were also to be captured in this system.

From consumer complaints compiled at the state level, seven categories were delineated: Denial of Service, Recipient or Driver No-Show, Untimely Pickup, Provider or Vehicle Complaint or Concern, Freedom of Choice, System or Program Complaint or Concern, and General Inquiry. In 1999, out of 838,896 trips to Medicaid recipients, the state had recorded 464 consumer complaints. In 2001, out of over 2,000,000 provided services, only 442 complaints were registered, or one complaint for every 4525 trips.

It is possibly intuitive that one complaint per 4525 trips under-represents consumer dissatisfaction. One possible reason for the low number of complaints is that brokers and providers may have an incentive to under-report to the Office of Transportation Delivery the volume of complaints and to completely withhold more serious ones. Such revelations at the state level could have serious economic ramifications for these stakeholders. Second, consumers are given several avenues by which to report complaints, including to the provider, to the broker, and to the state. This could perhaps create confusion and miscommunication among this population. It may also be that consumers are hesitant to complain to providers and to brokers for fear of retaliation through loss of service. In instances where the broker is also the provider, consumers may feel particularly powerless to air grievances. Third, such a fragmented, decentralized system of data capture compromises the integrity of results. Finally, interviews with six regional brokers indicate that many simply give customers the toll-free ombudsman number in Frankfort as a means of registering complaints, resulting in a breakdown of the process. To sum, the entire consumer complaint process is one of perverse incentives, conflicts of interest, fragmentation, miscommunication, and little true accountability.

One solution to the problem of obtaining accurate complaint data and resolution is to create a regional ombud to capture, record, categorize, resolve, and track complaints. Although this office would ultimately report this data to the Transportation Cabinet, it would manage and resolve the complaints on a regional level. This office would serve to consolidate the system by creating a centralized office for consumers, providers, and brokers alike to vent complaints. This system also would eliminate the incentive to under-report grievances, and inherent conflicts of interest. Finally, the creation of a regional ombud office gives the consumer a local, non-threatening avenue of communication.

2. Problems Addressed by Solution

This solution would serve to empower consumers by allowing them a clear, local, and non-threatening avenue by which to register complaints of the coordinated transportation system. It also increases the likelihood that complaints are addressed and resolved in a timely and fair fashion. Provider and broker satisfaction should increase with a regional ombud. First, these two stakeholders will be relieved of the responsibility of managing complaint data, and second, they too are given an avenue through which to share grievances. Finally, data collection by a regional ombud will provide the state more accurate information by which to evaluate the efficacy and efficiency of the transportation delivery program, as well as a means to repair a fragmented complaint process.

The regional ombud solution specifically addresses problems identified in Category II, “Lack of Services to Persons with Disabilities.” Within this category, this solution option addresses poor scheduling availability, referring to limitations on days or hours that travel is available. It also addresses denial of service, untimely pickup and driver no-show, unprofessional or untrained drivers, freedom of choice, system and program concerns, lack of short notice service, lack of consumer awareness of existing services, and lack of consumer empowerment and self-determination.

3. Guide for Implementation

- 1. Identify Funding for Regional Ombud Officers**
- 2. Develop Appropriate Rules and Policies to Govern Complaint Process**
- 3. Recruit and Train Ombuds**
- 4. Public Availability of Service**

Implementation of a regional ombud will require change and coordination at all levels of service. At the legislative level, the creation of a new regional ombud office will require funding through an amendment to the Empower Kentucky appropriations bill. At the regulatory level, such an office would require new rules and policies to govern the complaint process, manage data, and to ensure accountability and effectiveness. Implementation would likewise require staffing and training of regional ombudsmen,

education and training of brokers, providers, and consumers, and a system of marketing the new office and disseminating information. Finally, implementation would require funding for technological support to create a reliable information management system. It may be appropriate to invest in benchmarking and best practices research to guide policy development and implementation.

Barriers to implementation will primarily revolve around lack of budget appropriation for the creation of this office. An economic cost-benefit analysis could demonstrate to state government the long-term cost effectiveness of a regional ombud program. Other resistance may come from brokers and providers performing substandard service who may not want accuracy in complaint data capture.

4. Consideration of Policy Changes

As previously mentioned, this solution begins with policy change. There may be no need for an amendment to statutory law, as the mandate for a system of recording and resolving complaints is already imbedded in the Empower Kentucky Act. Amending the appropriations bill to fund the creation of regional offices and creating or modifying regulatory policies would be necessary. Funding would be compulsory for human resources, training and support, and the software and computer systems necessary to manage the data.

5. Interaction of Solutions

The establishment of regional offices to coordinate and execute ombud services interacts seamlessly with several proposed solutions and would undoubtedly support the Freedom of Mobility Act. A better system of data capture and management may make market entry more attractive for private providers, as problems with service will be addressed in a local and timely manner. In addition, a frequent complaint of providers is the inequitable assigning of trips by brokers. The regional ombud office gives these providers a mechanism for conflict resolution without going through the broker, the cause of this problem. Another possible benefit to brokers and providers is that repetitive complaints may signal areas in need of additional funding for capital purchases. Better conflict resolution within a region may also encourage faith-based and volunteer organizational support within a market.

6. Analysis of Costs and Benefits

Individuals-Individuals with disabilities would undoubtedly benefit from a regional ombud office. They would have a local, direct means of registering complaints independent of those directly providing transportation services. Individuals with disabilities may feel uninhibited in addressing issues of service denial, eligibility, untimely pickup, and driver no-show, unprofessional or untrained drivers, and freedom of choice to an independent government body. Moreover, it provides individuals a means to learn of existing services and service alternatives. The end result for consumers will be

improved transportation delivery, empowerment within the system, and a greater sense of self-determination and self-esteem.

Providers-Providers of transportation service who are not brokers will be the least directly affected by the creation of a regional ombud office, since they are only obliquely involved in the consumer complaint process. Resistance may come from the fear that an organized complaint process may identify poor providers. On the positive side, this regional office also gives providers an avenue to voice complaints, which may provide incentives for them to stay in existing brokerage contracts. In all, a more objective, local, and timely process of complaint resolution should have a net benefit to providers.

Brokers-Although some brokers may be resistant in the short-term, it most likely will be those who provide sub par services, not wanting the state to be aware of the true volume and nature of complaints. Brokers who provide quality transportation services will be relieved of a responsibility that requires the use of time and other resources. Other benefits to brokers are that they are out of the complaint process loop until possibly the resolution stage, the elimination of conflicts of interest, and the identification of areas possibly in need of additional capital funding.

Government- Government bears most of the monetary costs and benefits of a regional ombud office. As with the creation of any new government office, it will require funding, which is ultimately the burden of taxpayers. Politicians must be willing to assume political consequences of an increase in expenditures. What is often lost in the political process is the back-end savings in efficiency from smoother conflict resolution, more efficient and accurate data management, better transportation services and, ultimately, more satisfied consumers. The cost and benefits to government, both economically and politically, need to be researched through benchmarking similar programs in other state governments. Finally, it gives government a true measure of accountability of providers and effectiveness of the coordinated transportation delivery program.

C. Community Organizations Provide Transport

Goal:	Bring Community Organizations into Use as New Service Providers
Technique:	Offer Grants to Brokers to Promote the Idea and to Recruit Participating Organizations
Policy Needs:	Pilot Projects, Technical Assistance, Small Grants, Perhaps Authorizing Legislation, Liability Insurance

1. Description of Solution

Where transportation providers are unavailable, or when no private provider exists in an area, persons lacking transportation are underserved. Scheduling is a serious problem in rural areas where the time needed to execute a trip is lengthy. This creates burdens for existing providers, and it discourages new providers from entering a market. It is often the case that existing community organizations already have transportation equipment and trained drivers who remain idle during portions of the day. Examples include churches, schools, Head start programs, senior citizens centers, and the American Legion. Each of these organizations offers a particular service for some group of individuals. In most cases, they also provide the transportation necessary to help individuals reach services. It is equally possible that community organizations exist which do not possess the resources to provide transportation, but which might be willing to do so if those resources were provided.

Consider schools, which operate buses, including special needs buses for those who require them. These buses are in use during fixed periods each day, and fixed days during the week. While it might not be feasible to group persons with disabilities on existing routes, it might be possible to offer mid-day and evening rotations that would allow people with disabilities to travel during those times between school routes. Likewise, many churches operate vans or buses that sit idle six days per week. These vans and drivers might be used to meet transportation needs throughout the week.

In short, this solution suggests that community organizations might become providers that could be reimbursed for services under the HSTDTP program in areas where providers are unable to meet demand, or where no providers exist. These providers could limit the type of trips they would make, or the timing of such trips, but they could still be used to fill service gaps or meet needs on an ongoing basis. Separate from the HSTDTP program, these community organizations might be able to offer transportation services independently such that they would relieve some strain on current HSTDTP providers. Once again, some median approach might be the policy of choice.

2. Problems Addressed by Solution

Community organization provision of transportation services is expected to address several problems of importance. Within Category II, which includes problems stemming from a lack of service for eligible individuals, two problems may be addressed by this solution. They are, 2) service is expensive for non-HSTDP trips, and 3) absence of transportation alternatives (public or private). To this end, community organization provision may address the first problem in this category as well: poor scheduling availability. The exact problems that the solution will affect depend largely on the type of involvement community organizations are able to execute.

Within the third category, lack of service for ineligible persons who need transportation, this solution also affects numerous problems. For individuals unable to reach employment, where HSTDP providers do not operate on a regular schedule, community organizations may provide transport that enables persons to reach employment and medical care and other life needs. Moreover, community organization involvement will solve the problem of no public transportation as well as the problem of cost prohibitive private transportation. In short, whatever the need in a given area, involvement of community organizations to some extent may be a cost effective solution.

3. Guide for Implementation

- 1. Offer Grants, Technical Assistance, or Other Support to Establish Pilot Programs Through Brokers**
- 2. Brokers Advertise the Program, and Promote it in Community Networks**
- 3. Technical Assistance and Service Providers**
- 4. Public Recognition of Contributions**

This solution could be implemented with little effort or change in policy. Quite simply, existing community organizations, such as schools, senior citizens centers, or other organizations could be permitted (even encouraged) to act as providers within the existing brokerage system or as a supplement to the brokerage system. In this case, existing equipment and drivers, presumably with only minor adaptations, could be employed in productive use during otherwise idle time. The maintenance and replacement costs of such secondary use would be reimbursed through fee-for-service payments issued by the brokers just as they are to existing providers.

There is, however, the issue of how they will be encouraged to do this. It is not sufficient to announce a good idea and wait for it to happen. One approach would be to offer grants to HSTDP brokers to promote the idea and recruit participating organizations. The brokers could advertise the services, promote their use, provide technical support, and facilitate the involvement of community organizations.

This approach may present ADA and other compliance issues that act as a disincentive to community organizations to enter the market. If this is the case, special grants or

subsidies could be offered to bring vehicles and drivers into compliance in those areas where transport provision is lacking due to provider overload or lack of providers.

Alternatively, organizations could operate independently of the state HSTDP system, which might exempt them from certain regulations and strictures of the system. They could charge their own fee schedule and subsidize the effort with private contributions to the community services they perform. This clearly calls to question issues of safety and standard service quality. However, if safety concerns can be alleviated, it follows that some transport is better than no transport, even if the quality is less than desirable.

One key implementation issue is the possible conflict regarding insurability and use of resources for purposes other than their primary intended use. That is, for community organizations, the cost of insurance might increase dramatically if they became involved in transportation provision as a commercial provider. This cost would be prohibitive, and may create severe obstacles. Moreover, many such community organizations receive funding or grants to operate their transportation programs with the understanding that they are for the limited purpose of meeting the organization's primary mission. It might be difficult for organizations to justify investing large amounts of resources to carry out ancillary tasks. Likewise, use of resources for purposes other than their intended use may jeopardize the organization's funding. This also presents a significant barrier to implementation.

4. Consideration of Policy Changes

Policies may need to be adapted to allow community organizations to provide services on a quasi-providership level in areas of significant need. That is, they might be restricted in the types of trips, the number of trips, or the type of passenger that they would be allowed to transport. Enabling legislation would allow such providership to take effect. Furthermore it may be necessary to allow participating community organizations to tag along on state insurance policies or to create some special status for them with regard to insurance liability. Another possibility would be to create a special public fund to subsidize the cost of insurance for the organizations.

5. Interaction of Solutions

Collaboration of private individuals could be useful if, external to the existing system, individuals with transport needs collectively approached such community organizations about the possibility of providing transportation services, even if on a limited scale.

Faith-based transport may meet the need where there are no other providers. Churches and other religious groups often have vans available which remain unused throughout the week. These organizations could act as providers, or receive grant monies to initiate a pilot project. These constitute a special category of community organizations that might be eligible for special funding under the current administration's faith-based initiatives.

Central coordination of information between providers in a given geographic area could facilitate a reduction in service overlap. For example, provider A could carry all the trips in sector 3 on Mondays, Wednesdays and Fridays, while provider B could carry the same traffic on Tuesdays, Thursdays, and Saturdays. The brokers should be doing this to some extent, but closer coordination in the group collaborative framework could lead to additional cost savings. Moreover, if providers offer transport outside the brokerage system, knowledge of the services they provide and the times of transport are essential for individuals in need of transport service.

6. Analysis of Costs and Benefits

Individuals- Individuals will likely be restricted in their travel times, and convenience may not be high. Nonetheless, individuals could expect to receive dependable service from organizations that exist to serve social needs and care about the quality of service they provide. The cost of such trips is expected to be quite inexpensive, as private organizations already own equipment that is not being used and non-profits may supplement the cost of riding with private contributions. Keep in mind that the effects of this solution will depend on the degree to which community organizations choose to operate independently versus operating within the HSTDP. The greatest benefit is that individuals with needs will receive transportation services that would not otherwise be available.

Providers- Providers will bear the expense of making vehicles and drivers available on the days scheduled. This may be realized as an organizational constraint, or it may require organizations to purchase equipment they did not already have. If limitations are not placed on service provision by community organizations, private providers may lose market share and therefore profits as a result of service provision by community organizations in certain areas where provider profits are already in question. Community organizations get to extend their missions and service to the community.

Brokers- Brokers can expect to see a dramatic increase in the number of providers over which they have authority or with which they interact. Depending on the specific implementation scheme, these brokers may have a more complicated scheduling system, regulatory system, and reimbursement system. Furthermore, as more trips are made, brokers can expect to see a decrease in profits. However, brokers can likewise expect to receive fewer complaints as service needs in the region will be met more rapidly and more efficiently.

Government- Government will have the added expense of monitoring and regulating a greater number of providers, possibly with a more complicated provider classification system. Likewise, the state may have to bear the cost of insuring certain providers. In exchange for these costs, the state may expect to see a decline in the use of HSTDP, and therefore a reduction in costs. This would come about if community organizations provided transportation separate from the state-reimbursed system. Moreover, if they operate within the HSTDP, long term increases in riders per vehicle might also reduce the capitated rate for a region.

D. Encouraging Private Providers to Enter the Market

Goal:	Increase Supply and Quality of Services by Inducing Private Service Providers to Enter the Market
Technique:	Identify and Reduce Barriers to Market Entry
Policy Needs:	Grant or Loan Program to Support Vehicle Acquisition, Coordination Mechanisms, and/or Insurance Pool

1. Description of Solution

This solution addresses the issue of improving both the scope and efficiency of transportation service delivery. A regional analysis of the transportation market indicates a limited number of private providers in contractual agreements with brokers and considerable variation across regions.

This is a two-tiered solution targeted primarily at encouraging market penetration by private providers within the brokerage system, thus establishing price and quality competition. Competition for contracts with brokers will promote market efficiency, resulting in services that are more cost efficient and comprehensive in nature.

The second tier to this solution involves soliciting transportation services from private providers outside the brokerage system. This typically takes the form of contracts and collaborative agreements between groups of consumers and either employers or medical facilities for transportation. This solution may involve local social service agencies for coordination and trip planning.

2. Problems Addressed by Solution

These solutions address problems identified in Category II, "Lack of Service to Individuals Eligible for Service," and Category III, "Lack of Service to Individuals with Disabilities, though Ineligible Individuals." Within Category II, these solution options address: 1) poor scheduling availability, referring to limitations on days or hours that travel is available, and 2) the absence of transportation alternatives. Within category III, these solutions address: 1) inability to access employment, 2) inability to access medical care, and 3) prohibitive private transportation costs.

Encouraging private providers to enter the market creates price and quality competition, which in turn makes service provision more efficient. This efficiency gain will economically impact brokers, creating more resources to invest back into the transportation system. The result is more expansive coverage, lifting constraints on days or hours of available service.

Second, these solutions directly address the Category II problem of the absence of transportation alternatives. Brokers who contract with multiple private providers will improve services to consumers by providing transportation options. Consumer choice will in turn drive market efficiency.

Encouragement of market entry of private providers also addresses Category III problems of inability to access employment and medical care. First, consumers attempting to reach employment and medical care services will have more transportation options at their disposal in a competitive, multi-provider system. This group may also benefit from contractual or collaborative agreements with transportation providers within their places or areas of employment or medical service. These contracts with private providers outside the brokerage system provide better services to consumers, reduce cost to brokers, and benefit employment and medical service providers. Prohibitive costs of private transportation are addressed through the coordination of group trips and increased ridership for those private providers giving the best service.

3. Guide for Implementation

- 1. Identify Needs**
- 2. Identify Barriers to Entry**
- 3. Develop Solutions, Including Improved Funding**
- 4. Provide Technical Assistance**
- 5. Establish Loan Program and/or Insurer Pool**

Implementation should begin by identifying barriers to market entry for a multi-provider system. Barriers that have been identified by brokers include coordination of a multi-provider service, risk management, cost containment, purchasing power, and too small of a market share for expansion. Encouraging private providers to enter the transportation system means lowering these barriers to market entry. Some ideas include establishing a central regional coordinator to serve providers both inside and outside the brokerage system, establishing a statewide insurance risk pool to lower the cost of premiums, and to establish a statewide pool for capital purchases to increase the purchasing power of the individual providers. The centralized coordinator could also serve to assist with trip grouping among providers and with communicating with consumers the location of the nearest provider.

Once barriers to implementation are identified and addressed, an environmental scan and needs assessment of the area may be performed to identify those underserved and not served in the current system, as well as gaps in service. A strengths, weaknesses, opportunities, and threats (SWOT) analysis could help identify strengths and weaknesses of the system. The supply of providers in the area should also be determined, as well as their level of interest in becoming providers for persons with disabilities.

After the system needs are assessed, a meeting with stakeholders, including consumers, state representatives, brokers, providers, drivers, dispatchers, trip planners, and customer service representatives should be arranged. The purpose of the stakeholder meeting is to

identify all issues that are relevant to these groups, and to incorporate solutions to these into the transportation plan.

Once a plan is developed to encourage more private providers into the market, a provider training program can provide customer service training at all points of contact between the consumer and the transportation provider. Finally, a marketing plan to recruit providers and to educate consumers about services needs to be implemented region-wide.

4. Consideration of Policy Changes

Although some of these solutions could be implemented with no change to Kentucky law, policy change would certainly serve to lower barriers to market entry for private providers. In addition, the proper application of current policy has been identified as a problem by brokers throughout the Commonwealth.

As with most any policy, increased funding is one solution. Brokers have identified three funding issues. First, the state has not been consistent with increasing the capitated per member per month reimbursement amount stipulated to transportation providers offering services under the Community Living Waiver program. Second, the state has repeatedly denied the fee-for-service reimbursement provision for extraordinary services. Additionally, brokers have expressed the need to have the capitated reimbursement rate for Medicaid to be more commensurate to the rate for TANF customers.

Policies establishing a state risk pool to lower provider premiums and better definitions of service would assist providers with risk management, thus lowering this barrier to market entry. One risk theme common to many brokers is definition of service. Some provide curb-to-curb or door-to-door service, while some actually pick up customers in their rooms at skilled nursing facilities and wheel them to the vehicle. Those who provide service into facilities assume a much higher liability risk. Legal definitions of service may remedy this problem. Other possible policy initiatives that could encourage market entry for private providers include reviewing eligibility criteria, and services offered, increasing out-of-pocket expense to the consumer, or changing reimbursement rates. Obviously, more cash inflow will increase the number of providers willing to enter the system, increase quality and quantity of services, and eliminate several barriers to market entry.

5. Interaction of Solutions

Other solutions may either discourage or encourage private providers to enter the system. Those that would discourage this initiative are the following: Faith-based transport and volunteerism are examples of solutions that would compete with private providers, creating higher barriers to entry. Others are community organizations initiating pilot projects to provide transportation services, bus pass programs, not-for-profit transportation services, and using school buses and shuttles during non-peak times will discourage private providers from the market.

Other solutions would encourage private providers to enter the market. Initiatives such as central coordination of information between providers in a geographic area, automated demand-response services, evening and weekend service, targeting employment opportunities, and marketing strategies would be supported by private providers.

6. Analysis of Costs and Benefits

Individuals- Benefits of private providers entering the market include more consumer choices, more comprehensive services, and better quality of service. Providers would be competing for patronage, meaning they will be more responsive to service needs and customer complaints. It is also possible that in a more competitive market, consumers will be empowered to influence service decisions to better suit their needs. The costs are that competition from providers offering a more complete array of services may reduce the need for faith-based and volunteer services. That not only constrains consumer options, but it may eliminate a service that they prefer. Benefits of adding more private providers to the market seem to far outweigh costs, with better services being the end result.

Providers- To the extent that private providers enter market areas already served, current providers would realize a smaller market share, less revenue, and the need to focus resources into efficiency of services. They would, however, reap the benefits of better-coordinated services, and a marketing strategy aimed at identifying the underserved and those eligible individuals not served for services covered by HSTPD. Providers would oppose using private providers outside the brokerage system. The realization of such a project is that some providers will go out of business.

Brokers- Brokers may be neutral concerning the issue of additional providers entering the system. While improvement in efficiency will lead to long-term economic benefit, short-run costs would be greater, as more transportation services will be provided. To the extent that additional funding is made available, brokers will benefit. Improving coordination of services and marketing strategies will improve economic benefits to brokers, and they will certainly support encouraging increased transportation services outside the brokerage system. All of the policy and funding issues are of particular importance to brokers. Brokers, however, will be hurt by increased services outside of the system because it will lower their marginal profit. The costs and benefits to the broker are nearly opposite to that of the provider since brokers are on a capitated payment while the provider is fee-for-service. It is imperative, for encouraging market entry of private providers, to enlist the support of brokers of service.

Government- Under current legislation, government will incur costs if it begins to consistently reimburse for the Community Living Waiver program and for the fee-for-service exemption for extraordinary services. Increased supply of services will increase demand, and may cost brokers money. Government would bear the cost of grants and loans as a result of pressure to increase transportation funding. In terms of benefit, the government is getting higher quality, more efficient services, a more complete array of services, and higher client satisfaction.

E. Creation of Not-For-Profit Transportation Service

Goal:	Creation of Not-for-Profit Organizations to Offer Transportation Services
Technique:	Use of Government Loans and Grants, Tax Exemptions and Deductions
Policy Needs:	Technical Assistance, Identification of Loan Possibilities, Considerations of Regulations

1. Description of Solution

This solution examines a not-for-profit model as an alternative to for-profit transportation delivery systems. Moreover this notion alters the way in which capital is secured and managed, the tax structure, risk management, government regulation, and access to grant money. Brokers who already operate as not-for-profit systems report higher efficacy and comprehensiveness of service. A regional analysis of the transportation market indicates that some brokers already operate on a not-for-profit basis, but there appeared to be little interest among others.

Not-for-profit agencies raise money for capital primarily through government loans and grants. They also enjoy exemption from state and federal income taxes, possible exemption from sales and property taxes, and access to government, corporate, and foundation grants. In addition, donors may deduct contributions from their income taxes, and not-for-profits may have access to below-market interest rates. A final advantage for a not-for-profit organization is its credibility with the community and donors. It is the general perception that not-for-profits are more concerned for the public good than are for-profit organizations.

Possible barriers include complex government regulations, restricted lobbying activity, and tax on activities not related to the exempt purpose. The Internal Revenue Service can revoke tax-exempt status if such revenue becomes too large of a share of total revenues. Also, political activity is prohibited, and public support is required. Finally, the organization's activities must be limited to charitable purpose.

2. Problems Addressed by Solution

The not-for-profit solution addresses problems identified in Category II, "Lack of Service to Individuals Eligible for Service," and Category III, "Lack of Service to Individuals with Disabilities, though Ineligible Individuals." Within Category II, this solution option addresses: 1) poor scheduling availability, referring to limitations on days or hours that travel is available, and 2) the absence of transportation alternatives. Within category III,

this solution addresses: 1) inability to access employment, 2) inability to access medical care, 3) prohibitive private transportation costs, and 4) no public transportation available.

Developing a not-for-profit system will increase opportunity for additional capital, creating more resources to invest back into the transportation system. The possible result is more expansive coverage, lifting constraints on days or hours of available service.

Second, these solutions directly address the Category II and III problems of the absence of transportation alternatives and access to employment and medical care. Not-for-profits have access to additional funding sources. They are bound by more stringent government regulation, which can improve the quantity and quality of overall services. This can translate into more consumer transportation choices, increased employment opportunities, and improved access to medical care as consumers attempting to reach employment and medical care services may have more transportation options at their disposal in a not-for-profit system. Not-for profits also have a history of being more amenable to community partnerships in the provision and coordination of services. Not-for-profit also receive more community and philanthropic support, as they are perceived as more interested in the public good.

3. Guide for Implementation

- 1. Identify Barriers to Market Entry**
- 2. Assess Feasibility of Implementing Not-for-Profit Transportation Organizations**
- 3. Develop a Strategic Plan**

Implementation should begin by identifying barriers to market entry for not-for-profit brokerage systems. Barriers that have been identified by brokers include more stringent government regulation, such as employee drug and alcohol testing, grants that can take many months to become approved, grants that come with complex regulatory requirements, and waivers of regulation that are difficult to obtain. Also, transportation of consumers across state lines subjects the provider to Federal Motor Safety Administration regulations and the regulatory requirements of two DOT agencies. Grant funds for operating costs do not track to a specific project as capital grants do, meaning they often intermingle federal, state, and local sources and regulations. One grant may be subject to a wide array of complex, multi-level regulatory requirements. Other barriers to entry are restrictions on lobbying and the prohibition of political activity. If the not-for-profit organization is faith-based, there is debate over whether it should have access to federal funding.

These barriers to entry are offset by tax-exempt status benefits, access to low interest loans, and access to formula grants, capital grants, JARC grants, and state grants. Once barriers to implementation are identified and addressed, the feasibility of implementing a not-for-profit system must be addressed through analyzing the costs and benefits of such a system. Once feasibility is determined, a meeting with stakeholders, including consumers, state representatives, brokers, providers, drivers, dispatchers, trip planners, and customer service representatives should be arranged. The purpose of the stakeholder

meeting is to identify all issues that are relevant to these groups, and to incorporate solutions to these into the transportation plan. Following this meeting, a strategic plan must be developed to guide grant writing, planning, implementation, and service delivery. The plan for enacting this solution should be one of formal, on-going process improvement, encompassing the transportation system's goals, needs, resource allocation and management.

4. Consideration of Policy Changes

Creating not-for-profit enterprises requires no change to Kentucky law because strict regulations managing these agencies already exist. Potential policy change to increase funding and to properly apply current funding initiatives, could certainly lower barriers to market entry and encourage the establishment of not-for-profit delivery systems. Current funding issues involve: 1.) the state's consistency with increasing the capitated per member per month reimbursement amount stipulated to transportation providers offering services under the Community Living Waiver program, and 2.) the repeated denial of fee-for-service reimbursement provision for extraordinary services. Finally, brokers have expressed the need to have the capitated reimbursement rate for Medicaid be more commensurate to the rate for TANF customers. Other possible policy initiatives involve easing regulations on not-for-profit agencies, reducing the complexity of regulations on grants for operating costs, as these often intermingle federal, state, and local funds, streamlining the grant application process for faster approval, enacting a provision easing regulations when crossing state lines, and a subsidy program to assist small communities with regulatory compliance. Obviously, increasing cash inflow, easing regulatory requirements, and subsidizing regulatory compliance help eliminate barriers to market entry, making not-for-profit transportation service delivery a more attractive alternative.

5. Interaction of Solutions

Other solutions may either encourage or discourage not-for-profit brokerage systems. The following are possible solutions that would encourage this initiative. Faith-based transport and volunteerism are examples of solutions that would help not-for-profit brokers by assuming a portion of the resource burden and lowering barriers to market entry. Other beneficial solutions are community organizations initiating pilot projects to provide transportation services, bus pass programs, and using school buses and shuttles during non-peak times.

Other solutions would discourage not-for-profit entry. Initiatives involving additional resources such as increasing hours and days of service, extending fixed route or on-demand services, and shorter lead times are among the solutions that may discourage the development of not-for-profit brokerage systems. Furthermore, encouraging the proliferation of private providers, who sometimes provide more efficient service, can crowd not-for-profits out of the market.

6. Analysis of Costs and Benefits

Individuals- Benefits of not-for-profit services entering the market typically include more consumer choices and more comprehensive services. Other auxiliary services, such as faith-based and volunteer services, would be encouraged under this structure, which would increase consumer choice and community integration. The establishment of not-for-profit brokerage systems may miss some of the advantages and efficiencies of private, for profit organizations, which could affect the quality of transportation services for consumers. Most likely, there will be little appreciable difference to the consumer between for-profit and not-for-profit organizations in terms of service.

Providers- Current providers might experience a loss of business and pressure to reduce cost and to increase quality.

Brokers- They will benefit from the availability of additional providers, and coordinating service delivery may become either more or less difficult.

Government- The major benefit is expanded services to those in need. This would increase satisfaction and reduce complaints. If grants or technical assistance is provided, these would be costs to government. Government may also benefit from a reduction in cost. Full funding of services would increase government costs.

F. Faith-Based Transportation Provision

Goal:	To Increase the Supply of Services by Encouraging Faith-Based Organizations to Provide Transportation
Technique:	Offer Grants to Brokers to Promote the Idea and Recruit Faith-Based Organizations
Policy Needs:	Pilot Projects, Technical Assistance, Small Grants, Perhaps Authorizing Legislation, Liability Insurance

1. Description of Solution

This solution should be considered as a sub-area of the involvement of community organizations in transportation provision. In other words, churches and their affiliated organizations are taken to be a sub-set of community or not-for-profit organizations with uniquely similar purposes and resources. Moreover, churches and other religious organizations are located in the communities that will be served. In most of Kentucky, there are few places without some religious organization in close proximity.

Churches, like other community organizations, would be able to meet transportation needs for individuals in areas that are underserved by existing providers. This could be done through independent transportation programs, churches could be assimilated into HSTDP as quasi-providers that operate in a limited fashion, or churches might feel compelled to become full providers subject to all of the restraints associated with that status. Churches often own vans or buses that remain idle six days per week. They could operate independent programs, setting up scheduled trips in which any individual could participate. Similarly, they could offer transport on a demand basis, depending on the resources available.

The purpose for addressing this group of community organizations separately stems from their broad distribution about the state. More importantly, given the current administration's emphasis on faith-based initiatives as the basis of service provision, it is possible that federal grant money will be available for unique and meaningful purposes. Should this be the case, faith-based transportation should certainly qualify as a reasonable purpose, making churches eligible to receive funding to carry out such projects.

2. Problems Addressed by Solution

Again, because this solution mirrors the community organization solution so closely, the problems addressed are the same. Category II problems of expensive service for non HSTDP trips and absence of transportation alternatives, may be addressed by faith-based organization provision. Equally so, category III issues may be dealt with. Individuals

might arrange to be able to reach employment, medical care, and other needs. Also, faith-based organizations may step in to be especially useful in areas where there is no public transportation and where private transportation is cost prohibitive. In summary, churches are not thought to be different from other community organizations except that they are almost certainly present in each community, thereby enabling them to address virtually any problem resulting from lack of service in an area.

3. Guide for Implementation

- 1. Offer Grants, Technical Assistance, or Other Support to Establish Pilot Programs Through Brokers**
- 2. Brokers Advertise the Program, and Promote it in Community Networks**
- 3. Technical Assistance to Service Providers**
- 4. Public Recognition of Contributions**

This solution is not entirely different from solution, community organization provision. However, because of the religious nature of this subset of community organizations, they deserve an independent consideration. Like most community organizations, this policy solution could be implemented with little effort or change in policy. Existing faith-based organizations, presumably churches or their affiliated enterprises, could be permitted (even encouraged) to act as providers within the existing brokerage system. Churches are present in most communities, and often in rural isolated locations that serve small, closely-knit communities. Many of these religious organizations have and maintain vans and/or buses, and have qualified drivers that could be employed in productive use during otherwise idle time. Like other community organizations, the maintenance and replacement costs of such secondary use of equipment would be reimbursed through fee-for-service payments issued by the brokers just as they are to existing providers.

Under the present administration's faith-based community service provision initiative, there may be federal funds available to supplement state and local dollars in this effort. Two approaches could be taken to implementing this solution. First, all religious institutions that have available vehicles, or special needs vehicles, could be identified and contacted regarding the potential opportunity to meet this need in the community. Alternatively, areas with the greatest transportation need could be identified first and religious institutions within those areas could be targeted. The issue is on what scale this should be done. If statewide inclusion of all such organizations is desired, the first approach is more appropriate. However, in either case, the goal is to meet transportation needs in underserved areas, so targeting those areas of greatest need will be a clear goal.

These organizations, in keeping with their missions, might also be able to operate independent of the state HSTDP system at lower costs through the use of volunteer drivers, private contributions, and other resources. The state, in order to permit service provision by religious organizations, may have to amend the reimbursement scheme or the enabling legislation.

The Commonwealth would do well to realize that religious organizations might be inclined to introduce elements of their beliefs into service provision, and specific prohibition of religious promotion might be necessary. Should religious providers engage in such promotion, lawsuits might follow.

Insurability remains a concern for these organizations, and is likely to differ with regard to whether the organization provides service in a charitable fashion or as a commercial provider under state reimbursement. Transporting the individuals with developmental disabilities is a noble goal, but it is not necessarily within the range of primary services that religious organizations strive to provide.

4. Consideration of Policy Changes

Churches also face probable difficulty regarding insurance. For this reason, churches may require a special insurance class for operating under the state program. Alternatively, the state may need to help fund increased insurance costs.

Like other community organizations, churches will likely be faced with the dilemma of whether or not engaging in such transportation activities is consistent with their primary purpose. Churches may be more likely to offer limited transportation to limited locations, and may therefore require the creation and designation to a special provider status. Alternatively, faith-based organizations that desire to do so may become full providers, which may require slight modification of the existing legislation.

5. Interaction of Solutions

Collaboration of private individuals could be useful if, external to the existing system, individuals with transport needs collectively approached such religious organizations about the possibility of providing transportation services, even if on a limited scale.

Central coordination of information between providers in a given geographic area is absolutely necessary to facilitate a reduction in service overlap. If operating under HSTDP reimbursement, the brokers should be doing this to some extent, but closer coordination in the group collaborative framework could lead to additional cost savings. Moreover, if providers offer transport outside the brokerage system, knowledge of the services they provide and the times of transport are essential for individuals in need of transport service. Other community organizations might be able to meet needs as well. In conjunction with such other organizations, it may be possible to meet all service needs in presently underserved regions.

6. Analysis of Costs and Benefits

Individuals- Individuals are expected to benefit from improved service availability and reduced costs. Service provision may involve the freedom of selecting their travel time and date. Similarly, with provider variety, individuals may also lose the consistency of services, and quality may not meet current standards. Nonetheless, some service is better than no service at all.

Providers- Existing providers faced with additional competition from new faith-based providers may experience a loss of profits as a result of a reduction in riders. Churches may charge lower fares because of the nature of their mission, thereby reducing existing provider profits. Religious organizations that choose to participate will likely bear the up-front costs of computer equipment, and perhaps vans and drivers' salaries. Benefits to existing providers might come in the form of reductions in passengers and service demand where it exceeds available supply. Faith-based providers might receive intergovernmental revenue to support their operations, and they will be able to meet their mission to assist those in need.

Brokers- If churches operate as providers and receive broker reimbursement, then brokers will be faced with a large number of providers to coordinate, possibly with different requirements and criteria depending on the service provided. Moreover, as rides increase, it is expected that broker profits will decline. However, offering more service should reduce complaints through improvements in service, thereby making the brokers' jobs easier. Availability of additional providers should facilitate service delivery and may reduce some service demands on brokers.

Government- As with other community organizations, where churches are providing services, government will be forced to oversee and regulate the operations of many small providers, which is not the most efficient type of system to monitor. Resources might have to be committed to oversight. Of equal importance is concern for lawsuits and other legal action that might stem from the religious nature of the organizations providing the services. The government will benefit from improved service provision and reduced complaints, as well as potential reductions in capitated rates as the number of riders decreases and as the cost of providing a ride in these rural areas also declines.

G. Central Coordination of Information

Goal:	Improved Information about Service Providers and Coordination of Service Delivery
Technique:	Collection and Dissemination of Information about Providers of Service and Individuals Needing Service
Policy Needs:	Government May Want to Appoint a Committee to Address Transportation Service Provision

1. Description of Solution

Central coordination of various transportation services would consist of an individual or panel that would collect or contribute information concerning all possible groups that are capable of providing transportation services. Such effort is needed because under the current system, it is likely that providers are unaware of potential clients who may benefit from their services and those needing services may be unaware of their options.

In rural areas it is crucial that transportation services be well coordinated because clients are already dispersed. Any unnecessary expenditure of resources is multiplied due to the distance between clients. Therefore, efforts that are made in order to increase efficiency in transportation services for rural areas will generate a great deal of benefit by inevitably lead to an increase in amount and quality of service.

2. Problems Addressed by Solution

Categories addressed by this solution are I “Complaints/Problems of Current Service Recipients,” II, “Lack of Service of Individuals Eligible for Service,” and III “Lack of Service for Individuals with Disabilities, Though Ineligible.” A recurring problem with the current system is that clients are unaware of existing services available. Thus, if a central coordination of information is successful, measures would need to be taken to ensure that there is an adequate outlet for dispersing information to those requiring services. The solution would diminish the number of complaints by current recipients by assisting with poor scheduling availability and expensive transportation for services not covered by HSTDP. If there is a central coordination system for various transportation services it is likely that schedules would become more efficient and that cost could be reduced by educating clients with regard to their transportation options. Moreover provider cost may be reduced to the extent that some of these overhead reductions may be passed to the consumer.

Another means of utilizing this solution comes through providing services for individuals who are currently unable to receive transportation assistance. Such individuals may be unable to reach employment, and private transportation is often expensive, especially in

rural areas. It is important to realize that this segment of the population may actually benefit from receiving transportation more than their eligible counterparts because these individuals are probably more likely to be able to work; thus, if they are unable to work due to unmet transportation needs, the individual, government, local economy and community ultimately suffer.

3. Guide for Implementation

- 1. Determine all Areas of Potential Providers of Transportation**
- 2. Establish a Means of Assembling Information on Each Potential Provider and the Coordination of Service**
- 3. Create a Way for Information to be Disseminated to Individuals Needing Transportation Services**

Implementation of this solution consists of two parts. First, there must be a system established in order to assimilate information. Second, in order for this information to be used effectively, it is imperative that an appropriate means of disseminating this information be in place.

There are two possibilities for collecting information: appointing an individual in each region or establishing a panel of individuals from various organizations. Each of these proposals pivots around ensuring that those involved with the process have a vested interest in collecting as much information as possible. Thus, using the broker/provider may not be a good idea because they could possibly lose funds if clients choose alternative means of transportation. As a result, it may be effective to employ someone from within the community of people with disabilities to coordinate services. This would decrease the chance of having possible conflicts of interest and allow for employment of several individuals with disabilities.

Another possibility is establishing a panel of individuals from various service areas to collaborate on services. One means of accomplishing this has been monthly meetings of groups such as faith-based organizations, volunteers, and service providers who work together to solve transportation problems. Some areas have taken information provided by such groups and compiled maps using GIS in order to illustrate overlapping routes and schedules.

After gathering information, it is necessary to educate clients on their transportation choices. Because there are several different groups of individuals who may benefit from this project, and each of these groups will have unique limitations, the more channels that are employed for dispensing information, the more successful this project will become. Thus, if possible, a web page, a 1-800 number, and a publication would be ideal. A web page would be a method for those who have internet access to obtain information or to post their particular needs and providers can then learn of potential clients. A 1-800 number would be beneficial for individuals who may have visual limitations, and a

publication would enable those who may not have internet access or who may be hearing impaired to gain access to information.

4. Consideration of Policy Changes

The possibility exists for executing this solution with or without any policy changes. The opportunity exist for policy changes should the council seek to have a group developed by the government. This would be effective in ensuring that some of the most prominent and informed individuals compose the committee. However, this solution may be implemented simply by gathering a group of providers, private, public, and others, who have an interest in providing services to the special needs population and in maximizing efficiency of their services.

5. Interaction of Solutions

All other solutions outlined in this report may relate to this solution. The effectiveness of “Collaboration of Individuals” would benefit significantly from the centralization of service information. Individuals who are in need of service could meet in order to determine when services are required and then a representative from this group could attend meetings with the committee or individual designated to pool information and this could provide a network between providers and consumers in order to insure that transportation needs are being met. Other solutions outlined in this report become critical components of a central information system. Community organizations, prospective private providers, not-for-profit organizations, and faith-based organizations would each be utilized in coordinating information. “Route Extensions and Extended Hours of Service” will relate to this solution because it is possible that with a centralized information system, routes and hours may be extended because perhaps these services are currently somewhat available; however, those in need of transportation may simply be unaware of their options.

6. Analysis of Costs and Benefits

Individuals- Individuals benefit from this program because it will increase their transportation options. For example, someone may contact a broker to request transportation, only to discover that they are ineligible or that they will be unable to receive transportation for a particular trip. However, if this individual is aware of alternative transportation providers, they may be able to make trips that have previously been denied under the current brokerage system. A possible cost would be adjusting to a new system.

Providers- Providers may not be beneficiaries from this solution because there will be greater competition. With an increase in information and services available, it is possible that riders will simply go elsewhere for transportation services.

Brokers- Brokers may benefit tremendously. This solution will enable them to have access to a greater number of providers and their means, hours, and limitations to

provision. If current providers are unable to confer services, then the broker will have other options for providing needed services.

Government- The government may benefit from the pooling of service information because it is possible that there are organizations that do not require government funding that are capable of providing transportation services. Thus, there could possibly be a reduction in government expenditure for transportation services although services may increase. Should policy changes be made in order to have a governmentally appointed panel designated for the centralization of service information, there may be some costs involved financially.

H. Route Extensions and Extended Hours of Service

Goal:	Extend the Hours and Locations of Service
Technique:	Increase Demand and Subsidize Service Delivery
Policy Needs:	Increase Funding for HSTDP and Public Transit Systems

1. Description of Solution

It has become apparent that the need exists for additional and/or extended routes as well as extended hours of operation. This may be achieved by utilizing the following sources: existing providers, private providers, and volunteers. Moreover, emphasis should be placed on methods of encouraging and enabling each of these sectors to cooperate in order to ensure efficiency and to maximize availability of services.

To solve this problem, we must first examine why these services are not being provided under the current system. Possibilities for this are that either there is not enough demand to offset costs and/or drivers are not available to provide services. Thus, in order to effectively meet the needs of transportation recipients, we must address these two obstacles. It is possible that various groups of individuals may be integrated in such a way that demand would increase to the point that it would become possible for providers to benefit by extending their routes and service hours. Furthermore, there may be a need to provide incentives for providers to increase the number of drivers they employ or to extend work hours for current drivers.

2. Problems Addressed by Solution

Route extensions and extended service hours attend to problems in Categories I, II, and III. This solution addresses Category I, "Complaints/Problems of Current Service Recipients," by providing service during off-peak times such as evenings, weekends and holidays. Category II, "Lack of Service for Individuals Eligible for Service" is addressed by enabling individuals who are currently receiving services to obtain transportation during periods of time that currently lack service. This notion crosses over to Category III, "Lack of Service for Individuals with Disabilities, Though Ineligible" because private transportation is cost prohibitive regardless of disability status. Thus, there is obvious demand on the behalf of eligible and non-eligible individuals for transportation services beyond those covered by HSTDP.

3. Guide for Implementation

1. Identify Specific Areas in Need of Increased Service
2. Specify Means of Increasing Service
3. Submit Grant Proposals and Other Requests for Funds

There are three possible means of achieving extended routes and service hours. These are: utilizing existing providers, encouraging private providers, and supporting volunteers.

Possibilities for using existing providers may include providing additional funding, in the form of vouchers or subsidies, for current recipients and/or coordinating existing services to include ineligible individuals so that existing providers may provide additional services, while incurring little or no additional cost. If current providers are experiencing difficulty in obtaining drivers willing to work during weekends, evenings, or holidays, it may be necessary to provide shift differentials in order to encourage drivers to provide services during these times. It is important to note that should existing providers be used, additional vehicles will not be needed because it is probable that fewer individuals will require services during these time periods than those who are currently receiving services during regular hours. Hence, because providers are currently capable of providing transportation during day hours, it is probable that no additional resources will be needed in order to provide transportation during off-peak hours.

Private providers will enter the market if they have adequate financial incentives to do so. However, in rural areas it is highly unlikely that private providers will be able to earn a profit because of relatively low demand for services. In order to offset the cost of traveling long distances, private providers would have to increase their price to the extent that demand would diminish further. In addition, private providers will experience difficulty in maintaining service to the special needs population because of the expense of purchasing accessibility equipment. Thus, if private providers are used, the need may exist to provide vouchers or subsidies for their services, assist private providers in using existing accessible vehicles that are not otherwise in use, to subsidize accessibility equipment purchases or to provide interest-free loans toward the purchase of accessibility equipment.

A third sector that may be willing to provide transportation services is volunteers. To support volunteers, assistance may be needed for liability coverage. Additionally, recruitment, coordination, and training will be necessary in order to obtain an adequate number of volunteers to ensure that they are assisting the largest number of individuals possible and to guarantee that optimal services are provided.

A related group, quasi-volunteers, may be considered as well. It is possible that financial incentives for friends, neighbors, family members, faith-based organizations, or coworkers may be used in order to allow those needing transportation services to further utilize those who may already be providing some amount of transportation services.

Moreover, if such initiatives are undergone, it may be necessary to make provisions for quasi-volunteers to get accessibility equipment for their vehicles.

4. Consideration of Policy Changes

This solution may require several policy changes. If vouchers, subsidies, interest-free loans, or assistance with liability coverage are increased or altered, changes in policy will be needed to adjust funding and to increase covered services. If a vehicle has been purchased for a specific purpose, changes may be needed in policy to expand permissible uses for such vehicles. For example, some states are using school buses to provide transportation during evenings and weekends when these vehicles would normally not be in use. Moreover, policy modification may be necessary in order to allow quasi-volunteers to receive compensation for transportation services.

5. Interaction of Solutions

This solution may be achieved by utilizing all other six solutions such as: Collaboration of Private Individuals, Community Organizations, Creating Non-Profit Transport Service, Encouraging Private Providers to Enter the Market, Faith-Based Transport Providers, each concentrate on various providers for services and any or all of these providers may be used in order to provide route extensions and extended service hours. Central Coordination of Service Providers, may be used in order to coordinate information such as reservations, vehicle routing, scheduling, and vehicle location monitoring and schedule adjustment in order to maximize efficiency and service provision.

6. Analysis of Costs and Benefits

Individuals- Individuals who currently do not receive transportation services and/or those who need transportation during evenings, weekends, and holidays will benefit tremendously from route extensions and extended service hours. Providing these services will give these people greater access to their community and allow them to lead a fuller life because they will be able to attend community functions and other activities that many of us take for granted. However, depending on available services, there may be some financial costs. It is likely that even if there is financial assistance for providers, this will not be enough to offset all costs of extending routes and service hours.

Providers- Providers may experience benefits from having higher customer satisfaction rates and enhanced reputation. Costs to providers may consist of additional scheduling, vehicle maintenance, hiring additional employees, and gasoline purchases.

Brokers- Brokers may experience smaller profit margins if they are required to increase services. In addition, they may experience increased administrative costs.

Government- Depending on the method of implementation, it is possible that the government will be faced with significant financial and paperwork burden. If subsidies, vouchers, or interest-free loans are used, the government must find means of funding

these initiatives, as well as monitoring their use and effectiveness. Yet, benefits may be realized should this program assist people with obtaining and maintaining employment. Many people within this group, namely people with disabilities and individuals with low income, are unemployed because jobs that they are qualified for require them to work evenings, weekends, or holidays and transportation is unavailable. Thus a program such as this could help to terminate the cycle of unemployment for those who are unemployed because they do not have transportation yet they do not have transportation because they are unemployed. It is also possible that many individuals in this population group are on government assistance and that this would enable them to become more self-sufficient.

I. Solution: Collaboration of Individuals

Goal:	Achieve Economies of Scale to Encourage Service Provision
Technique:	Collaboration Among Individuals Needing Service
Policy Needs:	Pilot Projects, Technical Assistance, Small Grants

1. Description of Solution

This demand-driven solution refers to a system of collective action in underserved rural areas whereby current transportation may be too expensive or unavailable, resulting in transportation needs being unmet. In a rural community, we do not expect to see very large numbers of persons with developmental disabilities in a concentrated area. Rather, it is more common to find only a few such persons scattered across the county or region. It is necessary to realize that individuals with disabilities are not the only citizens who require transportation that they are unable to provide on their own.

Whereas fifty persons with developmental disabilities might reside in a county, they are not generally concentrated in one area, and they are not particularly conspicuous. On the other hand, when taking into consideration the full gamut of populations in need of transport services, these populations quickly become more conspicuous. For example, there are low-income individuals, elderly persons, and persons with physical or other disabilities in addition to individuals with developmental disabilities. Collectively, this group is more conspicuous, and represents a greater transportation need, than individuals with developmental disabilities alone. A key feature of the approach is that it can bring together those who can pay for services with those eligible for publicly funded services.

The county could be broken down into districts or regions, and individuals within that sub-county area could work together to plan their schedules and appointments such that transport provision could be accomplished in a cost effective manner. For example, if ten to twenty persons reside in a given district, they might all agree to schedule appointments and grocery shopping on Monday of each week. Because of the remote location of these communities, it is more cost effective to send a van out to pick up a full load of passengers and transport them to town than it is to transport individuals each day of the week.

The solution is to get diverse types of individuals with transportation needs who reside in a small area to work together to plan their transportation need schedules to that they could go where they need to go at the same time.

Implementation might occur in two ways:

- Individuals may make these arrangements independent from the state HSTDP program, contracting with a provider or a community organization, or a volunteer with a van, to provide transportation services at a fixed price.
- By facilitating such arrangements within the brokerage system as it currently exists.

In the present system, the HSTDP brokers attempt to group requests as they are received. The collaboration approach departs from the current system in that the “grouping” occurs at the user level, with a mutually understood time constraint. Between these extremes, a middle ground is also possible, whereby a provider could encourage riders to utilize transport on certain days of the week in each area by offering price incentives or other programs. Under either implementation scheme, the effect would be to generate a semi-fixed route schedule that would generate profit for the provider and savings for the brokers in the long run. A key feature of this approach is combining services to a diverse group of individuals, including those eligible for HSTDP and those who are not.

2. Problems Addressed by Solution

This solution may address in part or full each of the problems identified in Category II, “Lack of Service to Individuals Eligible for Service,” as well as Category III, “Lack of Service to Individuals with Disabilities, though Ineligible Individuals.” In Category II, three problems are addressed. First, poor scheduling availability refers to limitations on days or hours that travel is available. If a group of individuals prefer to travel on Friday evenings, then they might work together to group all trips on that day, such that the provider is able to allocate resources to provide this travel outside normal operating hours.

Second, expensive service for non-HSTDP trips is cost prohibitive for many individuals. By grouping trips, even without reimbursement from HSTDP, individuals may be able to achieve their transportation needs inexpensively. Quite simply, operating a van is a fixed cost, so the more riders on board, the less is the cost per rider. Third, absence of transportation alternatives might be resolved through this plan. In short, by offering providers profitable routes, service recipients may actually lure providers into a market where none exist.

In Category III, four more problems are addressed. First, for individuals unable to reach employment, the trip could be grouped according to work schedules. (This may be more or less effective depending on the location, density of workers without transportation, etc.) Second, individuals that are unable to obtain medical care and to tend to other needs might be able to join a group trip from their district at a fixed price. Third, where public transportation does not exist, it might become cost-effective to create a public transport service if trip grouping proves to function effectively. Fourth, where private transport is available, the cost is prohibitive. By increasing ridership given fixed costs, providers can lower the cost per rider. Such a cost structure could be maintained by appointing one individual as the go-between for the group and the provider.

3. Guide for Implementation

1. Offer Grants, Technical Assistance, and Other Support to Establish Pilot Programs
2. Identify Pockets of Concentration in Rural Areas with a Sufficient Number of Individuals with Disabilities
3. Assess Willingness of Service Providers to Participate
4. Encourage and Support Collaborative Scheduling

Initially, it is necessary to identify pockets of concentration in rural areas where a sufficient number of underserved individuals with disabilities (or other transportation disadvantages) reside. Those areas where a critical mass of transportation need exists are most appropriate for building a sustainable program. Before proceeding, a feasibility study might be conducted to ascertain the willingness of service users to participate, along with the staff and equipment resources of providers or community organizations and their willingness to participate. Upon identification of appropriate locations and positive results from the feasibility study, the Commonwealth could grant non-profit agencies funds, technical assistance, and/or other resources (such as vans, computer systems, etc.) for the establishment of pilot programs. Such programs would be small-scale, and cover a limited geographic area initially, with the potential to expand at a later period.

The most complicated step in the process will be to bring the various stakeholders together. Identifying individuals with needs is crucial, and seeing that they attend initial meetings and buy in to the project is absolutely essential for success. Note that individuals with developmental disabilities may not be the only persons using this service, but they can benefit from the scale economies that result from grouping people together.

With potential users identified and interest developed, it is next necessary to identify the location of these individuals within the pilot area. Furthermore, it will be necessary to obtain information about the destinations individuals need to reach and their geographic location. Also important is knowledge of the potential users' preferred travel days and times each week. In short, if the system is able to accommodate people's needs, it will be used. If it also fits their wants, they will use it more happily. Everyone can't receive individual service, so they should not expect to. Nonetheless, the more accommodating the system, the more effective it will be.

Once the preferred travel times are established, persons can then be requested to schedule trips on those days to keep ridership high during concentrated time periods. This is essential to control costs. Thus, the service might make trips only two or three days per week, but with everyone traveling, the trips will be less expensive, given the operating cost structure. Doctor's appointments could be requested for certain days of the week, and grocery shopping could be planned around scheduled trip days as well, for example.

Providers, whether or not they are HSTDP-funded, must be willing and able to make the trips promised. If the service becomes unreliable, then use will fall, and the advantages of adjusting personal schedules to lower costs will be lost. Subsidies could be offered as an incentive for groups to participate within the program structure. Alternatively, providers could offer discounts to riders who opt to travel during certain times or on certain days within an already operating network in order to reduce costs. User-originated trip grouping could also be encouraged in either setting. For example, providers could “block book” a van and driver for a certain period of time to make trips within a given area. In essence, buying in bulk comes at a discount.

It will be important to operationalize this program within the extant HSTDP so as to keep reimbursement schemes simple, and to facilitate the movement of non-HSTDP providers operating pilot projects into normal providership status at a later time if necessary or desired. It is possible to offer grants to consortia of individuals as well as to non-profits, though the oversight may be more complicated than granting to existing providers. Realistically, it is more logical to utilize a fully grassroots approach external to the HSTDP program in very remote places where existing providers do not operate, or where it is inefficient for them to operate. On the other hand, it might make better sense to implement a pilot project focused on adjusting the current HSTDP system in other rural areas where providers do operate, but where vehicle occupancy is low and scheduling is difficult given limited equipment and driver resources. Thus, different pilot projects might prove to be more effective under different settings.

4. Consideration of Policy Changes

The key to this is authorization of a pilot project with modest financial support. While this solution might be implemented with no change to Kentucky law, certain implementation schemes might require legislative change. For example, a cost structure for adding non-HSTDP stops to a client’s bill might be established. Moreover, grouping passengers of differing needs and abilities might require special planning provisions to protect the rights of individuals. Finally, individuals should be guaranteed the availability of HSTDP transport in the event of inabilities to schedule appointments in concert with group trip schedules. In other words, the date and time of travel will be more restrictive to individuals if they wish to obtain flexibility with their travel, but care should be taken to ensure that the restrictions do not become prohibitive.

5. Interaction of Solutions

If there are no providers in an area, that is, private providers could be encouraged to enter the market. This program may actually provide some incentive for private firms to enter a given market area. Faith-based transport may meet the need where there are no other providers. Churches and other religious groups often have vans available which remain

unused throughout the week. These organizations could act as providers, or receive grant monies to initiate a pilot project.

Routes may be changed in existing systems to accommodate specific needs of certain groups. Community organizations (other than churches) may be needed to initiate pilot projects where there are no willing or able private providers. Schools, Senior citizens centers, etc., have resources that are frequently idle, but which could be used to meet this transportation need.

Central coordination of information between providers in a given geographic area could facilitate a reduction in service overlap. For example, provider A could carry all the trips in sector 3 on Mondays, Wednesdays and Fridays, while provider B could carry the same traffic on Tuesdays, Thursdays, and Saturdays. The brokers should be doing this to some extent, but closer coordination in the group collaborative framework could lead to additional cost savings.

6. Analysis of Costs and Benefits

Individuals-The major benefit is that individuals will gain better access to services. That will happen in a system of restricted travel schedules. That is, if the provider only offers the discount rate for group trips one day per week, the individual's freedom to travel is restricted. The benefits are thought to outweigh the costs, however, for while the individual's schedule is restricted, they benefit from guaranteed transportation at a reduced cost. Furthermore, this program would eliminate concerns associated with making non-reimbursed stops on reimbursed trips. It can result in transportation that would not otherwise be available.

Providers- Providers will bear the expense of making vehicles and drivers available on the days scheduled. This cost is particularly crucial up-front, as service problems early in the program may discourage individuals from participating in the group project. If the program is effective, the provider may expect to see increased profits over time as ridership increases, thereby spreading fixed costs among a greater number of passengers. Within the HSTDP system, providers could benefit from an increased stream of revenues from individuals who would pay for services.

Brokers- Brokers are faced with a two-edged sword. Namely, as ridership and the number of trips increases, they will be forced to pay out greater amounts to the providers, thereby reducing their own profits. On the other hand, if the program is effective, the providers will make profits, and therefore be willing to reduce the rates charged to the brokers for a service. Non-HSTDP stops by an individual on an HSTDP reimbursed trip might be billed to the individual, reducing the charge to the broker for the original trip. In this way, the brokers might expect to see long-term cost reductions. They would also benefit from the cost-savings achieved by having users coordinate their own schedules.

Government-Up-front costs of this program will be significant. If implementation occurs through a pilot program, then grants to providers or organizations may be necessary to

accumulate the equipment, drivers, and other necessities for providing transportation service. At a minimum, grants are likely to be needed to support technical assistance and outreach. The state might also experience long-term savings as individuals become self-sufficient through a private market solution, thereby reducing the capitated rate and/or the number of anticipated trips used to fund the broker in each HSTDP region. Moreover, further consolidation of needy populations and government programs might continue to reduce costs to government.

J. Freedom of Mobility Act

Goal:	A Full Range of Transportation for Individuals with Disabilities
Technique:	Greatly Expand Transportation for Individuals with Disabilities
Policy Needs:	Statutory Change and Budgetary Commitment

1. Description of Solution

Transportation is important to individuals with disabilities for purposes far more extensive than medical care. Such individuals need to and enjoy the opportunity to shop, recreate, and interact with other people in the community on a regular basis. Moreover, a large group of persons with disabilities would enjoy the opportunity to join the local workforce and participate in meaningful occupations. Each of these life needs is attainable, but each requires the availability of transportation. Transportation costs in the private market for such services are cost prohibitive. For example, individuals who wish to work must have a volunteer to drive them to their place of employment and pick them up at the scheduled time, or they must pay fees that they may not be able to afford in order for a private carrier to deliver them to the desired destination.

In order to lead meaningful lives, individuals with disabilities need transportation, but they are simply unable to afford it. In the case of the individual trying to reach work, the cost of the transportation likely exceeds the wages that could be earned in that capacity. This discourages workforce participation and results in alienation from society.

The Freedom of Mobility Act would provide a comprehensive solution to the absence of available transportation in the Commonwealth, specifically for individuals with disabilities. This Act would contain three major statutory components to address the holistic problem of transportation inadequacy. First, it would establish transportation services in areas of the state where they currently do not exist. This is especially important in rural areas where no providers currently operate. Likewise, in areas where existing providers are unable to meet demand, the statute would afford for additional providers or vehicles to be offered. This provision could be accomplished by requiring a number of vehicles and drivers commensurate with demand for transportation in each area. Likewise, it may involve the creation of new quasi-governmental entities to provide transportation, or it may be accomplished through contracting with private firms to locate and operate services in specific areas. This initial component is concerned with serving people who need service, no matter where they happen to be located. Individuals with disabilities should have the right to locate on the basis of their preferences, not consideration of available transportation.

The second statutory component consists of an expansion of services available to persons with disabilities. That is, rather than limiting individuals to medical transportation, they would be able to use publicly-provided transportation for a host of life needs. Shopping, entertainment, recreation and employment are among the types of activities in which individuals could engage without worrying about the cost of transportation required to fulfill them. Under this system, the range of trips that could be scheduled and reimbursed through HSTDP brokers would be vastly expanded. Individuals would likely be issued smart cards for identification purposes and for tracking their transportation use for reimbursement purposes, as opposed to the demand-response systems currently in place. In addition to increasing the types of trips that are allowable, eligibility criteria would be adjusted such that persons with temporary or minor disabilities would qualify to utilize the transportation service.

The third statutory provision of the Act pertains to vehicle accessibility and comfort. Persons with disabilities should be entitled to comfortable, safe rides, as would any other user of the public transportation system. Thus, providers under the system will be required to operate and maintain a fleet of vehicles that meet a set of minimum criteria. For example, persons who use motorized chairs must be able to board vehicles easily, have adequate room on board the vehicle, and secure themselves adequately to sustain collisions or abrupt stops safely. Minimum standards will be imposed and required in order for providers to qualify for reimbursement.

In addition to the enabling legislation described above, this solution requires a substantial budgetary commitment, and is likely to derive most of its criticisms over financial considerations.

2. Problems Addressed by this Solution

This solution is intended to resolve many problems faced by individuals with disabilities with regard to transportation. That is, it will provide transport where it is currently underprovided. Moreover, it will allow persons to travel freely by increasing the number and types of trips that are allowable. It will establish standards for vehicles and drivers that ensure safety, comfort, and reliability, and allow individuals with disabilities of varying levels of severity and duration to utilize transportation services. This comprehensive solution seeks to eliminate problems faced by individuals with disabilities as they utilize transportation necessary to lead fulfilling lives as citizens.

3. Guide for Implementation

- 1. Develop Legislative Proposals to Expand Transportation Services**
- 2. Appropriate Funds to Support Expanded Services**
- 3. Recruit Providers**

Implementing the Freedom of Mobility Act will require serious effort through a number of steps. Drafting legislation that meets aforementioned goals can be accomplished easily, and introduction to the General Assembly can also be achieved with little effort. Surviving the amendment procedure is the first difficult step this bill would face. In short, the committee in control of the issue will have much to say about whether the bill ever gets introduced to the full chamber for a vote. Likewise, amendments may be introduced so as to change the purpose and extent of the provisions in the original document. Such an amendment may be introduced in order to kill the bill, or render it useless.

If a suitable compromise is passed by both the House and Senate, whether or not it has been amended, the next barrier to implementation is the availability of financial resources. In the House budgetary process, it is unlikely that the amount of funds required to successfully carry out this Act would be available. Moreover, the political pressures facing representatives are likely to discourage them from appropriating sufficient funds to this program to ensure its success. The bill's legislative and budgetary successes is likely to be a function of the partisan control of each committee and chamber dealing with the issue. As well, personal preferences of the committee chair and chamber leadership may be expected to affect the bill's performance.

Supposing passage and full funding of the Freedom of Mobility Act, the next barrier will be successful implementation. The complexity of this Act will certainly be difficult to sort out. Defining new administrative regulations—defining and assigning tasks to the appropriate administrative unit—is not expected to be easily accomplished. Agencies will want to shape the program to be consistent with their missions and interests. These barriers are not easily overcome, but with appropriate foresight, a reasonable administrative structure can be devised. It is useful that the existing HSTDTP system provides the administrative backbone upon which this greatly-expanded service could be founded.

The agency that assumes responsibility for administering the program may be met with resistance, confusion, and complaints from brokers and service providers. In spite of the increased funding, the requirements for drivers and vehicles are likely to be cost and labor intensive to manage. Thus, this system is not expected to be created without great difficulty.

4. Consideration of Policy Changes

As previously mentioned, this solution is based entirely upon policy change. The specific policy components are provision of service where it does not exist, increasing the services available to all persons with disabilities, and creating stricter guidelines for vehicles and drivers to ensure safety and convenience.

5. Interaction of Solutions

Central coordination of information may be a large component of this program in meeting transportation needs of remote rural areas. Similarly, the use of technology for scheduling, billing, route planning, and reimbursement purposes is likely to make this solution more effective. It may be necessary to encourage new providers to enter a market region or to create new transportation services in order to meet the goal of the legislation. Likewise, it could be possible to allow community organizations, such as churches and schools to provide services under this expanded program. Possibilities for combining techniques to make this solution successful are without limit.

6. Analysis of Costs and Benefits

Individuals-Individuals receiving services are the true beneficiaries of this program. The number of individuals served, the number of trips made, the type of trips allowable, and the comfort and convenience of services will increase. More people will receive better, more dependable, more flexible service to do the things they most desire.

Providers-Providers are also likely to benefit from this program in the end, though they will meet certain difficulties during early stages. Specific costs will come with the need to improve their vehicle fleet, to train drivers, and to incorporate new technology into their process. On the other hand, providers can expect to see increased fees for their service, increased passenger loads, and more trips, which should translate into additional profits for these firms across the state.

Brokers-Brokers will bear limited costs in the form of increased service loads and administrative duties associated therewith. On the other hand, an increase in the number of passengers per vehicle should reduce trip costs paid to providers amid increasing capitation rates. Thus, brokers are expected to benefit from this program in excess of the costs they incur.

Government-The true costs of this program are monetary and political, both of which will be borne by the government. The tax burden that would be required for such a drastic increase in service will be substantial. Scarce government resources are not easily reallocated from one purpose in the state budget to alternative purposes. Assuming no reallocation occurred, the only means to fund such a program is through some form of tax increase. Either scenario is likely to be met with great resistance from the public, who pay taxes, or the recipients of other services that are cut in order to fund the Freedom of Mobility Act program. These interests and the fiscal pressure they create translate into

political pressure for state legislators to support alternative programs in order to please the maximum number of their constituents.

In addition to costs associated with FMA, government can also expect to receive benefits. The provision of a much-needed service to individuals with disabilities is a worthwhile cause, and one for which the government bears responsibility. The superior quality of transportation for persons with disabilities is a laudable cause, and the accomplishment of this goal is a true achievement for which government could be very proud.

Appendix A

A Look at Innovative Practices Which May be Used to Solve Common Transportation Problems

Important transportation problems identified in the Third Age Kentucky study include: short-notice service, job-related transportation, lack of service on holidays, evenings, and weekends, lateness, prioritized trips, and awareness. This appendix describes a variety of innovative solutions to those problems that were identified using the World Wide Web. Many of these possible solutions may alleviate two or more problems; as a result, solutions are listed under the heading to which they most closely relate. Although these innovative practices concentrate predominately on welfare-to-work programs, they may be applicable to needs of individuals with disabilities. The appendix provides the URL of the web pages where the information was found; however, in most cases, we report all information available from the web site. In most situations the web page offers information on what various agencies are doing to solve these common problems but little if any information is provided concerning how these practices are being implemented. Several of these programs utilize geographic information systems.

1.Short-Notice Service

“Quick response mechanism has been essential for situations in which small groups of individuals require transportation on short notice. Toll-free 808-JOBS hotline and web page have been effective in disseminating information about new services to welfare clients and job developers.” (www.apta.com) This region has received national recognition for their coordination efforts; thus, it may prove beneficial to examine their practices more closely. The only other transportation effort that mentions using a web page is Ventura County (www.goventura.org). Although only two organizations mention web pages, each describes the endeavor as “effective.” We may want to examine the possibilities of utilizing a web page.

2. Job-Related Transportation

Bradenton, Manatee County Area Transit, Florida is “asking wages coalition to buy free passes to give to employers for them to give to their employees to help reach “choice” riders and get service underway.” (www.apta.com)

In Baltimore MD Reverse Commute seeks particular areas to target for finding employment. By placing their clients in a concentrated area, it becomes easier to provide transportation. “For each rider the service is free for the first two weeks. Subsequently, the full fare is \$4.00 per round trip with the remaining operating costs absorbed by HEBCAC as part of the Bridges to Work program...The long-term plan is to demonstrate that the service is financially viable, with a fare box recovery ratio of at least 50%.” For more information contact Scot Spencer Historic East Baltimore Community Action Coalition <spencs@rpi.edu> (www.ctaa.org)

Pace Suburban Bus Division of RTA, Arlington Heights, Illinois uses “rescheduling fixed-route service to meet job start/end times during late night hours. Extending fixed route service to remote major activity centers without non-peak service” They use local and feeder shuttles,” is effective. (www.apta.com)

Jacksonville Transportation Authority, Florida suggests that “direct communication with employers to adjust trip times of existing bus lines to better serve employer shifts. Employers communicate new schedules to employees, and ridership in these cases has increased by as much as 30 percent.” (www.apta.com) Notice that in this situation employers relate changes in transportation scheduling to their employees, thus leading to an increase in awareness.

Miami-Dade Transit Agency, Florida states that offering “transit passes at discount to certified Welfare-to-work agencies. Extensions of existing transit service into industrial areas containing employers committed to hiring Welfare-to-work customers. Commitment of private sector employer to purchase a minimum number of transit passes offset the cost of service.” (www.apta.com)

Miami Valley Regional Transit Authority, Dayton, Ohio receives “information from job Center concerning “transit potential” job sites. Providing direct fixed route access to the Job Center, ridership to this stop is doing well. RTA pass and token donations to the Job Plus program based at DeSoto-Bass, implemented a west corridor feeder route (Route 63) which has connected low income neighborhoods to Job Center, Jobs Plus program at DeSoto-Bass and a major medical center Non-traditional collaborations are forming and promising some success.” (www.apta.com)

Lehigh and Northampton Transportation Authority, Allentown, Pennsylvania has “new late evening service for second and third shift workers” (www.apta.com)

Red Rose Transit Authority, Lancaster, Pennsylvania “targeted fixed-route bus service to industrial areas. RRTA implemented late night service to a local industrial park in June 1998 and to an employment area in the northeast part of Lancaster County. Both exceeded expectations.” (www.apta.com)

Mayor’s Office of Policy and Planning, Philadelphia, Pennsylvania offers “transitional transit subsidy to persons once they have gotten a job. Partnering area TMAs and Greater Philadelphia Works job developers using GIS to map suburban transit accessible entry-level jobs.” (www.apta.com)

Dallas Area Rapid Transit, Dallas, Texas “partnered in regional job fairs where transportation information was provided to employers and employees.” They also “initiated new route to serve DIFW International Airport.” (www.apta.com)

Metropolitan Transit Authority of Harris County, Houston, Texas hosts a “job fair at Transit Center. Broad based collaboration including service agencies that provide bus

tokens for use to attend the fair (60% of the 1,200 attending arrived on regular transit system.) They “had over 50 employer booths.”

Detroit, MI “Since 1994, SMART has revised its fixed-route system to accommodate suburban job centers. This information was secured from the breakfast forums, local chambers of commerce, economic development groups, media reports and by plotting business data on a SMART route map through a GIS (Geographic Information System) mapping system. Consequently, the agency has significantly increased transportation to suburban job centers. The results have been noteworthy. Weekday fixed-route ridership is up over 15 percent since the change. On the weekends, the increase is greater than 25 percent. More than 50,000 businesses, or 40,000 employees, received new or improved service since the SMART tax in 1995. Employee shuttles, suburban-to- suburban park and ride routes and flexible routing are all part of the SMART service system.

SMART has taken the GIS mapping system one step further in helping people find jobs along bus routes. SMART is currently working with three separate employment agencies in identifying job openings along the suburban fixed-route system. SMART provides the job developers with a list of employers within 1/4 mile of the fixed route. Information on the employers includes the business name, address, telephone number, contact person, Standard Industrial Classification code and number of employees in the business. This approach allows job developers to target businesses that historically have openings for unskilled labor. The advantage to the welfare recipient securing a job is less travel time because there is better bus service and a permanent way of travel to work. Less travel time also means less dependency on day care. SMART is even working with a job development group to arrange bus connections and a stop at day care all in one trip.

...SMART also has coordinated with social service agencies to solve employment transportation problems. For example, SMART teamed up with Operation ABLE, a human service agency that provides personalized job search, job placement, occupational training and career-transition services for job seekers 45 years of age or older. SMART had trouble meeting the transportation needs of Operation ABLE's clients in Detroit, since those who lacked their own transportation faced several transfers and discouragingly long travel times to take jobs in the suburbs. Through a Federal Transit Administration Joblinks demonstration grant, Operation ABLE leased a SMART vehicle to bring people from the city to one of the agency's two training sites. Operation ABLE viewed the dedicated vehicle as a boon to customer service because it provided pick-up service at home, which represented a cut above other public transportation and was widely appreciated by clients, especially during the winter months. Based on a survey of riders, the service was warmly received - all of the patrons were satisfied or very satisfied with the service, and used it four or five days a week.

SMART has made a major investment in working with community-based service providers. Many of the 100 communities in the SMART service area operate paratransit service. Since its tax was approved in 1995, SMART has teamed up with many of these providers by contributing operating money and paratransit buses to operate service. While the community-based service is designed around the needs of older adults and

people with disabilities, SMART has begun work-based demonstrations. A number of communities are providing linkages between the SMART fixed-route system and employers not along the fixed-route system. This activity is expected to grow significantly during the next five years.” (www.ctaa.org)

Minneapolis, MN “Selected employers and employment and training agencies are reimbursed \$100 per month for up to three months for each MFIP client whom they provide with transportation service during their first months of employment. Innovative pilot projects initiated by employers or agencies that serve MFIP clients transportation needs have been awarded start-up funding. Employers and agencies are selected to participate in this program if they have one or more of the following:

- On-site child care;
- New transportation service carpools, vanpools, shuttles, etc.;
- Transportation service during second and third shifts or on weekends;
- Reverse commute service; i.e., from Minneapolis to suburban area employment transportation services; and
- Organizing transportation services between malls, industrial parks and other business-intensive developments.

Funding from employers and employment agencies financed transportation service for 700 clients, each for a three-month period. Hennepin County administers this program, including marketing and development of resource materials.” (www.ctaa.org)

3. Lack of Service on Holidays, Evenings, and Weekends

Delaware Transit Corporation provides vouchers for a local private taxi company in order to provide late night service and a database integrates transit routes with jobs, daycare and training. (www.apta.com)

Milwaukee County Transit System, Milwaukee, Wisconsin states, “the selected Wisconsin Initiatives are: Expanded Service Hours: Specific Milwaukee County Transit routes were expanded to provide early morning and later night service including service on weekends. Route extensions: Extended Milwaukee County Transit routes to provide central city residents access to job opportunities in the downtown business district and in a suburban business park.” (www.apta.com)

Reverse Commute Buffalo, N.Y. “Many inner-city residents are employed in service industries, which have night or evening shifts outside traditional working hours. To improve service for passengers traveling to and from work at night NFTA operates a request-a-stop program after 9:00 p.m. which allows riders to alight anywhere along the route if the bus can safely stop...Modifications include implementing timed transfers at suburban hubs and key urban transfer points, expanding access to reverse commute trips on existing and new suburban-to-city express routes and introducing limited-stop service on key routes in reverse directions. New services may include a region-wide vanpool

program subscription buses to the largest employment centers and employer shuttles at suburban work sites.” For more information contact Karen Rae 716-855-7638 (www.ctaa.org)

4. Lateness

It should be possible to make drivers or passengers responsible for tardiness. For example rewarding drivers or passengers may prove beneficial i.e. providing a bonus to drivers who are not late or even having a drawing in which all punctual passengers’ names are entered. Rewarding good behavior may be a better incentive than punishment.

Detroit, MI “Another way that SMART serves the employment transportation niche is by guaranteeing the quality of its service. A widely publicized unconditional money back guarantee costs SMART less than \$100 per month, but earns high marks from employers and riders. The guarantee is also a good incentive for SMART employees, since it encourages them to keep the buses clean and on time. When a complaint comes in, they know a supervisor will follow up with them.” (www.ctaa.org)

5. Prioritized Trips

Multiple Strategies, Chicago Ill “The organization uses custom computer software and scanning equipment to automate bus passenger tracking. Riders are asked to pay as much as \$2 per ride which covers part of the cost of bus transportation while the remainder is covered by Suburban Job-Link... Job-Link coordinates with PACE Suburban Bus Service, turning over the most popular routes to the traditional transit organization.” For more information contact Enid Spector 522-8700. (www.ctaa.org)

Detroit, MI “In compliance with MPO requirements to coordinate, all the transportation providers had a history of coordination. This foundation led to the development of a computerized (Quo Vadis) reservation system allowing social-service agencies to schedule riders onto SMART vehicles, and vice versa. This concept is envisioned as an airline reservation system for transit, whereby users can book rides on vehicles from various providers through one coordinated system. SMART has been working toward this goal for three years, working out the technology and organization to allow a human service agency staff member to directly book client transportation. This approach harmonizes with the general trend in social service delivery to provide all services at a single one-stop location.”

Minneapolis, MN “The Hennepin County (Minn.) Department of Training and Employment Assistance provides an Emergency Ride Home program to every rider who needs to get back home in an emergency. This Emergency Ride Home program serves as an inexpensive incentive for riders to participate in the reverse commute program, although very few have used it.” (www.ctaa.org)

6. Awareness

Rural Coordination, Glendale/Azalea OR have staff members who attend county fairs to promote volunteers and to supply information

North Carolina: Both the DSS and the DOT have encouraged local transit systems to co-sponsor job fairs, along with local DSS offices, local community colleges (which typically provide job readiness training for Work First clients) and employers.

The goals of the job fairs are: To encourage employers to develop a transportation plan for their employees which fosters public transit use and may include incentives such as commuter subsidy benefits and flex time; to increase transit ridership by informing employees and employers about the availability and benefits of public transportation; to allow transit providers to receive input from users and potential users of their services; and to allow attendees to focus on job opportunities that are accessible via public transit. Job fairs have proven to be successful and will be repeated in the future. (www.ntl.bts.gov/DOCS/Welfare/innov3.shtml)

Minneapolis, MN “Central coordination of transportation services was needed during the early stages of the MFIP. A transportation coordinator would be responsible for:

- Distribution, interpretation and referrals of transit schedules;
- Referrals to agency, company and community transportation services;
- Referral to special programs (vanpools, carpools and special low rate purchase);
- Training of workforce center staff on transportation options;
- Assist community volunteer coordinators in identifying opportunities for linking other volunteers with unmet client transportation needs; and
- Update electronic transportation service directory. Continued need for the services will depend on how quickly training and employment providers and MFIP clients become familiar with transportation options “ (www.ctaa.org)

Detroit MI “SMART networks with employers through Buses to Business breakfast forums. SMART works with the Michigan Department of Employment Security, local chambers of commerce, county economic development departments, the Michigan Jobs Commission and others who help get the word out to the business community that the agency wants to work with employers to change schedules and routing and will design special services to meet business needs. At each forum, held at 7:30 a.m., employers complete a survey inquiring about number of employees, hours of business and similar information. SMART compiles this information into a database to guide the creation of new transit services. To find the businesses and invite them to the forums, SMART purchased a commercially-available mailing list of companies in the area.

Another outreach practice was the hiring of three ombudspersons whose job is to sell SMART. When calls come in from businesses, the ombudspersons are responsible for answering questions, setting up meetings and following through inside the agency to make sure that employer needs are met

Among the most innovative of SMART's employment transportation activities are its marketing programs. The Get a Job, Get a Ride program gives new hires at least one month's free bus fare. The program is advertised through radio commercials. Another marketing mechanism is the Jobline. SMART designates one of its telephone lines to play a recorded message of available jobs located along bus routes. Additional information on potential employment is provided through contacts with the chambers of commerce, shopping malls and other employers. SMART advertises the Jobline on targeted radio stations in the Detroit area with a particular emphasis on radio stations with a large African-American market. The information includes the nature of the job, its pay rate and how to get there using SMART. At a minimum, Jobline generates 1,000 calls each week." For more information contact Dan Dirks or Ron Ristau 313-223-2100. (www.ctaa.org)

Delaware Transit Corporation, Delaware offers training for health and social service workers/contractors to inform them of available transportation. (www.apta.com)

Rockford Mass Transit District, Illinois offers "public support and general awareness through PR and marketing program to support transit." (www.apta.com)

City of Albuquerque Transit & Parking Department, Albuquerque New Mexico gives "bus ridership training classes at welfare training sites." (www.apta.com)

City Transit Management Company, Inc., Lubbock Texas uses "mailings, word-of-mouth and posters in buses and shelters to promote program" (www.apta.com)

Minneapolis, MN "The reverse commute effort was intended to bridge the gap between southwest metro communities, an area with one of the fastest rates of jobs creation in the region, and the inner-city population, which has one of the highest rates of unemployment in the Twin Cities. Prior to launching any service, a job fair was held to identify and recruit sufficient riders with employment in the suburbs -- a key to establishing a viable service. As a result of the job fair, 85 inner-city job seekers obtained employment.

The job fair was a considered a tremendous success because it radically changed the dynamic of reverse commuting and employment options for inner-city residents of Minneapolis. It promoted the concept of reverse commuting and provided a new influx of riders." (www.ctaa.org)

Other Transportation and Funding Ideas

South Carolina is doing the following:

- Contracting with existing general public and specialized transportation providers in South Carolina (bus and van operators) to assist customers in accessing child care, interviews, training and jobs; Purchasing transit tickets, passes and/or tokens from existing providers (where they exist) for customers;

- Reimbursing client providers (relatives, neighbors, or volunteers) for eligible transportation costs; Utilizing certified Medicaid volunteers to transport FI customers for low-volume transportation needs under an approved Memorandum of Understanding with the State's Health and Human Services Department;
- Providing payments to approved vendors for the cost of repairs of customers' personal automobiles so that safe and reliable transportation can be available;
- Referring FI customers who are job ready to transportation organizations for hiring consideration, as drivers and for other available positions. Also, the state has mandated that state agencies hire FI customers; Providing transitional transportation support to customers for up to 24 months after they have become employed;
- Providing temporary van rentals (through approved private vendors) to county offices for transporting customers; Rotating existing SCDSS-leased and owned vehicles among county offices which are used for agency-sponsored programs;
- Actively encouraging cross utilization of the agency's fleet among program areas to meet multiple transportation needs of customers; Modifying transportation policy guidelines to increase the capacity of county DSS staffs and to allow greater flexibility in meeting customer needs; and
- Encouraging employers to use the Transit Benefit Program to subsidize transit costs of employees, with the employer receiving tax credits.

North Carolina is also in the process of developing a state car ownership model whereby individuals, businesses, nonprofit organizations and local and state governments will donate used cars to be sold to Work First participants at a nominal cost. Many of North Carolina's 100 counties have already incorporated some type of car ownership in their local Work First plans for FY 1998-FY 2000...Both the Departments of Social Services and Transportation are promoting the Internal Revenue Service's Transit Commuter Benefit to encourage employers to subsidize their employees public transportation and/or vanpooling expenses. This program is good for all parties: The employer gets a tax break; the employee gets subsidized employment transportation; and the local transit system gets additional riders.

Public School Bus Resolution

An innovative way in which North Carolina has helped improve access to jobs and training for Work First clients is coordination with the school bus network. In May 1997, the North Carolina Board of Education and the Department of Public Instruction passed a resolution in support of welfare recipients, which allows them to ride on school buses to access jobs provided by local school systems -- when there are no other alternative methods of transportation available. The adult riders are trained to serve as bus monitors when riding on the school buses.

How can states utilize existing vehicles that are not public transit vehicles?

In meeting the transportation needs of welfare recipients, states can look to other systems already in place for senior citizens, people with disabilities, Head Start programs, para-transit vehicles, and public schools. Senior citizens centers often have vans available during commuting times, many of which are equipped for those with special needs. These

vehicles are insured and can be used during off-hours to serve the needs of employment transportation. Using school buses as a means of transportation has been quite controversial but it is permissible if state legislatures and boards of education allow it. Often buses are not used during off-hour commuter times when many welfare recipients work. Head Start buses can be used to provide transportation for welfare recipients and their children. Since buses already pick up the children at their homes, the parent can ride to the Head Start center with the children and the center can be used as a central pick-up point for several parents to get to jobs.

How can human capital be used as a means of transportation?

Communities often have many citizens who are willing to be volunteer or paid drivers, including housewives, senior citizens and welfare recipients themselves. Many localities have volunteer service organizations that can be used to link welfare recipients with potential transportation providers. These volunteers can not only offer much needed transportation but can be used as mentors. Leveraging volunteer resources can be accomplished either through non-financial partnerships or through contracts with volunteer agencies, civic organizations or religious congregations. Welfare recipients can also be trained to be dependable drivers. Using a welfare recipient as a driver can serve two purposes: it provides a job for those recipients, as well as a means of transportation for other neighboring welfare recipients to get to jobs.

Should states and counties purchasing cars as a means of welfare recipients getting to jobs and other needed services?

Only a minority of welfare recipients own cars. However, an estimated two-thirds of new jobs are in the suburbs, and three of four welfare recipients live in rural areas and central cities with no public transportation to the suburbs. Purchasing cars may be the only alternative for some welfare recipients. TANF does allow for financial assistance in the form of loans to eligible individuals to lease or purchase cars. In revolving loan programs, recipients are given the money needed to buy or lease a car and then pay back the loan with no interest. The repaid money is made available to other recipients to buy or lease cars. Another loan program is a family loan program in which private or public social service agencies can lend money to recipients to buy or lease cars, who then pay back the money in small, affordable payments

How can private and non-profit entities provide transportation assistance to welfare recipients?

Faith-based organizations in communities are potential providers of transportation. The Charitable Choice provision in PRWORA allows TANF funds to be paid to charities, religious groups and other private organization to provide services such as transportation. Some states also have contracted with congregations to use their vehicles when they were not in use by the church. For examples of how faith-based organization have been involved in welfare reform and support services, refer to WIN's March 1998 Issue Note "Partnerships with the Faith Community in Welfare Reform" at <http://www.welfareinfo.org/faith.htm> or contact Jessica Yates at 202-628-5790.

The Balanced Budget Act of 1997 created a new source of funds that can be used for transportation (the Welfare-to-Work grants). These grants total \$3 billion in formula and competitive grants to be awarded in fiscal years 1998 and 1999. The U.S. Department of Labor has recently announced the award of \$186 million in Welfare-to-Work competitive grants in 34 states. Many of the grantees will be using welfare-to-work funding to increase transportation.

...The Transportation Efficiency Act (TEA-21) legislation, passed by Congress in May and pending presidential signature at this writing, will provide additional federal resources. The TEA-21 legislation allocates \$150 million for Access to Jobs for the next six years. The Access to Jobs Program will have two major requirements: (1) money must be used for families whose incomes are at, or below 150% of the poverty line, and (2) at least \$10 million be spent on reverse commute projects. Access to Jobs grant money may also be used for:

- Financing projects and financing operating cost of equipment,
- Promoting the use of transit by workers with non traditional work schedules,
- Promoting the use of vouchers for recipients,
- Promoting the use of employer-provided transportation,
- Subsidizing for reverse commuting, and
- Subsidizing for the purchase or lease by a nonprofit or public agency for vehicles or services.

For more uses and guidelines for Access to Jobs funding and for the Job Access provisions in TEA-21, refer to <http://www.ctaa.org/welfare/tea-21.htm>. A summary of TEA-21 can be found at <http://www.ctaa.org/news/budget/tea-21.html> or by calling 202-628-1480. For a preliminary analysis of the transportation enhancements program under TEA-21, refer to the Rails-to-Trails Conservancy's, "Transportation Enhancements Funding Estimates Under TEA-21" at http://www.istea.org/docs/may98/te_fund.htm or call 202-466-2636. (Excerpts are from Transportation: The Essential Need to address the "To" in Welfare-to-Work. This is a 12 page report that lists counties that are implementing innovative transportation practices. I didn't see any practices here that I had not covered from other web pages; however, if there are particular programs that we are interested in, we may want to refer to www.welfareinfo.org/transitneed.htm)

Ohio "allows government entities to donate excess vehicles, not to exceed \$2,500 in value, to individual Ohio Works First participants and other entities that provide direct transportation services." This is through Ohio's welfare reform plan. (www.ntl.bts.gov/DOCS/Welfare/innov3.shtml)

Tennessee: Wheels For Work: The *First Wheels* program, based on a Georgia program called *Peach on Wheels*, allows Department of Human Services' clients to purchase a vehicle through a revolving loan process. Eligible Families First participants are those with a valid driver's license, funds to put towards their first insurance payment

and a determination to become self-sufficient. Participants sign contracts agreeing to pay back the cost of the vehicles at a low monthly rate, without paying interest. The money paid back returns to the fund and helps other participants afford cars. The *First Wheels* program is designed to build credit history and teach responsibility.

The *First Wheels* program in Warren County demonstrates community partnership. The local Episcopal Church provided the initial funding with a \$10,000 grant. The Resource Conservation and Development Council (RC&D), which normally works with water and land resources, serves as the administrative entity of the program. It handles funds and holds the automobile liens. Because of RC&D's nonprofit status, it can also accept vehicle donations and offer tax breaks to contributors. County case managers work with welfare recipients to obtain driver's licenses and assist them with schedules to keep the cars in good working condition. This program is currently being replicated in two other counties.

In Blunt County, a local car dealer donated used cars to a foundation. Once a car is given to a recipient, the foundation retains the title of the vehicle for three years, provided the recipient keeps a job for that duration. With this program, recipients do not need to pay back the cost of the car. Moreover, the foundation pays the first two months of liability insurance on the car.

School Buses: The East Tennessee Private Industry Council has convinced the local school board in Roane County to use school buses to transport parents who are engaged in training and educational opportunities. Since the adult trips are for educational purposes, their rides are covered by the school system's insurance. As safety measures, adults are not permitted to ride with small children and the Roane County School system reserves the right to decline ridership to someone with a history of violence. (www.ntl.bts.gov/DOCS/Welfare/innov3.shtml)

For more information contact:

Tennessee Department of Human Services Phone: (615) 313-5758

Grants

Social Services Block Grants

Funds may be used for transportation projects that improve the delivery and effectiveness of human services programs.

Contact: Margaret Washnitzer (202) 401-2333

Department of Housing and Urban Development (HUD)

Office of Community Planning and Development

Community Development Block Grants

Some communities have used CDBG funds to assist in the construction of transportation facilities, operating expenses and vehicle acquisition for community transportation services.

Funding Level: \$4.6 billion

Contact: Richard Kennedy (202) 708-3587

Urban Empowerment Zones Enterprise Communities

To be designated an urban EZ/EC, an area had to submit a strategic plan for revitalization, which could incorporate strategies for addressing transportation needs and services.

Contact: Dennis Kane (202) 708-0614

Department of Labor (DOL)

Welfare to Work Grants

This new formula and competitive grant program provides funding for those who are the most difficult to move from welfare to work. The states are recipients of the grants while local Private Industry Councils administer the grants.

Funding Level: \$3 billion

Contact: Dennis Lieberman (202) 219-0181

Department of Transportation (DOT)

Federal Highway Administration (FHWA)

Highway Planning and Construction

The program of federal aid for highways has many components, most of which can only be used for highway construction and rehabilitation projects. However, funding is available to Metropolitan Planning Organizations and states for planning activities including those addressing welfare to work. Funding for other related activities such as ridesharing programs are also available through these organizations.

Funding Level: \$19.7 billion

Contact: Thomas Ptak (202) 366-0371

Urbanized Area Formula Program

This program provides funding to areas of 50,000 or greater population. Funds may be used to support either transit capital, planning, or operating expenses, although there is a statutory maximum of available operating assistance.

Funding Level: \$1.9 billion, up to \$400 million in operating assistance

Contact: Melton Baxter (202) 366-2053

Nonurbanized Area Formula Program and the Rural Transit Assistance Program (RTAP)

This program provides formula funding to states for the purpose of supporting public transportation in areas of less than 50,000 population. The Rural Transit Assistance Program (RTAP) provides formula funding to states for rural transit training and technical assistance.

Funding Level: \$115.1 million, \$4.5 million for RTAP

Contact: Mary Martha Churchman (202) 366-2053

Capital Assistance for Elderly and Disabilities Transportation: This program provides formula funding to states for the purpose of assisting private nonprofit groups in meeting the transportation needs of elders and persons with disabilities.

Funding Level: \$56 million

National Planning and Research Program

This program provides support for public transit research, demonstrations and special projects that are in the national interest, such as advanced technology, transit finance initiatives, transit accessibility, human resource training and development and information initiatives including the RTAP National Transit Resource Center.

Funding Level: \$22 million

Contact: Edward Thomas (202) 366-4052

State Planning and Research Program

This program provides formula funding to states to carry out public transportation planning, research, demonstration and technical assistance activities.

Funding Level: \$8.25 million

Contact: Sean Libberton (202) 366-0055

Joblinks

Since 1995, the Federal Transit Administration has funded this demonstration program. CTAA administers the program, funding projects that demonstrate innovative employment transportation solutions. Available Funding: \$1.0 million

Contact: Charles Dickson

Department of Agriculture (USDA)

Intermediary Relending Program (IRP)

IRP is a program of revolving loans that finance businesses and community development projects in rural communities and towns with less than 25,000 population. Nonprofits, public bodies, Indian tribes, and cooperatives are eligible. Transportation is among the eligible uses of borrowed funds.

Funding Level: \$3715 million

Contact: Wayne Stansbeey (202) 720-1400

Community Transportation Development Fund (CTDF)

CTDF can assist rural communities in improving or expanding local transit services, purchasing vehicles, building facilities and promoting economic development. This program is funded by the Rural Business and Cooperative Services Division.

Available Fund: \$2.1 million

Business and Industrial Guaranteed Loan Program

The Business and Industrial Loan program of direct and guaranteed loans is designed to create and save rural jobs and to improve the economic and environmental climates of rural communities under 50,000 population. This may include financing for

transportation-related facilities, vehicle acquisition or other infrastructure investments. Any legally organized entity is eligible.

Funding Level: \$738.2 million

Contact: Dwight Carmon (202) 690-4100

Rural Business Enterprise Grants (RBEG)

RBEG supports rural economic and community development projects, including transportation facilities, infrastructure improvements, and the capital costs of transportation services.

Funding Level: \$41 million

Rural Economic Development Loans and Grants

Grants are targeted to certain purposes such as community development, medical care, educational technology, job training, business incubators and technical assistance, and can be used for transportation activities that fit with those purposes.

Funding Level: \$32.3 million

Contact: Mark Wyatt (202) 720-1400

Rural Empowerment Zones/Enterprise Communities

The Rural EZ/EC program is an initiative that is designed to help distressed areas improve themselves through a comprehensive, coordinated approach integrating local initiatives with federal support.

Contact: Victor Vasquez (202) 619-7980

Department of Education (DoEd)

Vocational Rehabilitation Grants

Funds are provided to state rehabilitation agencies on a formula basis to provide a full range of rehabilitative services to eligible individuals with disabilities.

Contact: Roseann Ashby (202)205-8719

Centers for Independent Living

This program provides support to local nonprofit centers for independent living, enabling them to provide training, counseling, advocacy and supportive services to individuals with significant disabilities. Transportation services are provided through this program.

Funding Level: \$42.8 million

Contact: John Nelson (202)205-9362

(I obtained grant information from www.ntl.bts.gov/DOCS/Welfare/innov7.shtml. For additional information, we will need to contact the person listed.)

Possible Problems

Amador Valley Transit Authority, Livermore California identifies “attempting to hire Calworks (welfare) recipients” as a problem.

Jacksonville Transportation Authority, Jacksonville, Florida says they are “struggling to establish active partnerships with area employers for new service. A recent example led to the establishment of a new route with four round trips serving specific work shifts. The agreement included the establishment of a stop on the employer’s property and their selling of transit passes to employees. While local management agreed, the regional manager did not issue approval, and ridership has now failed to materialize.” (www.apta.com)

Miami-Dade Transit Agency, Miami, Florida says, “obtaining information from caseworkers and employers necessary to determine transit needs [and] obtaining funding for operation of pilot and proposed Welfare-to-work transportation programs” are major issues. (www.apta.com)

Pace Suburban Bus Division of RTA, Arlington Heights, Illinois claims that high turnover is a problem. (www.apta.com)

An issue that arose numerous times was tracking and documenting the use of services; however, others identify individualized passes as a key to providing optimal service. We may want to look at the possibility of combining individualized passes with a tracking system. This corresponds with another problem which is monthly pick up of passes. It may be a good idea to issue passes that provide an area for riders to record their use of services. Perhaps it could be in the form of a pre-addressed, postage paid post card and riders could then simply drop it in the mail and a new pass could also be sent to the individual. I think this could be an inexpensive and convenient method of tracking.

Appendix B

Transportation Problems and Potential Solutions

The following tables have been constructed to aid understanding of the types of transportation concerns facing individuals with developmental disabilities. The problems that have been identified have been divided into three categories based on the nature of the problem. Within each category are listed those problems that are most closely related to the general concern the category represents, followed by possible general solutions that might be considered in addressing each problem. Listed first are those problems that simply represent complaints or concerns of individuals who are currently receiving transportation services. The second category includes problems that represent service deficiency or lack of service for persons who are eligible for transportation under the Human Services Transport Delivery Program (HSTDP). The third category concerns transportation problems faced by persons who have a type of disability that does not make them eligible for the HSTDP.

Note that there is considerable overlap between problems and possible solutions. For this reason, all of the identified possible solutions have been compiled and cross-referenced with the problems they may help to address. This has been done to aid decision makers in their choice of solution given limited resources with which to address a problem. In other words, a solution that will address ten problems in multiple categories would be preferred to a solution that only addressed five problems at the same financial cost. Similarly, if the decision maker is more concerned with one category of problems than another, these tables will make easier the process of solution comparison.

SECTION A: PROBLEMS & SOLUTIONS BY CATEGORY

Category I: Complaints/Problems Facing Current Service Recipients

<p>Problem I-1: Service is unavailable on short notice, or advance notice periods are too lengthy.</p>
<p>Possible Solutions:</p> <ul style="list-style-type: none"> • web page or hotline to aid individuals who need service on short notice • real-time automated scheduling; demand-response service • automatic vehicle location (GPS) • legislate shorter notice periods • advisory groups

Category I (Continued):**Problem I-2:****Employment opportunities limited by scheduling difficulties, especially during evening and night hours.****Possible Solutions:**

- providing employees with free passes/vouchers
- targeting employment opportunities for clients based on existing transport.
- rescheduling fixed-route to match job start/end times
- offer discount transit passes to welfare to work agencies.
- collecting & distributing info about "transit potential" job sites
- offer late evening and night service for 2nd and 3rd shift workers
- target fixed routes to industrial areas
- make transport info available at job fairs
- use GIS to find jobs along existing bus routes
- reimburse employers who pay for client transportation.
- central coordination of information regarding various transport services
- providers coordinate schedules with clients

Category I (Continued):**Problem I-3:****Lack of service at off-peak times such as evenings, weekends, and holidays.****Possible Solutions:**

- provide vouchers to private transportation providers
- route extensions/extended service hours
- request a stop program allows riders to request public transport to stop anywhere along the route during certain time periods
- use school buses during dormant periods
- real-time automated scheduling; demand-response service

Problem I-4:**Lack of trip prioritization; all trips treated with equal weight.****Possible Solutions:**

- passenger tracking software
- computerized reservation system allows social service agencies to schedule riders onto various vehicles operated by various providers; airline scheduling
- Emergency ride home program for those who have to leave in an emergency

Category I (Continued):

**Problem I-5:
Clients are unaware of existing services available.**

Possible Solutions:

- staff and volunteers attend county fairs to supply information
- transit sponsored job fairs/job readiness training (transit planning, input sharing, transit-friendly job opportunities)
- central coordination of information regarding various transport services
- forums to reap business community input so that routes/schedules can be adjusted
- ombuds to market services
- marketing programs
- health/social service workers trained to provide info about available transport
- bus ridership training classes given at welfare training sites
- recruit riders, then establish service

**Problem I-6:
Tardiness of drivers at scheduled pick-ups.**

Possible Solutions:

- implement incentives and/or disincentives to drivers
- money back service time guarantee
- increased oversight/ombuds
- driver training

Category I (Continued):

**Problem I-7:
Equipment is inaccessible.**

Possible Solutions:

- grants for equipment
- reimburse client providers (relatives, volunteers, neighbors) for eligible transport costs
- cross utilization of provider vehicles to serve clients
- vehicle ownership program

Category II: Service Deficiency or Lack of Service for HSTDP Eligible Individuals**Problem II-1:
Poor scheduling availability.****Possible Solutions:**

- real-time automated scheduling; demand-response service
- providers coordinate schedules with clients
- automatic vehicle location (GPS)
- legislate shorter notice periods
- rescheduling fixed-route to match job start/end times
- offer late evening and night service for 2nd and 3rd shift workers
- encourage private providers to enter market
- route extensions/extended service hours
- computerized reservation system allows social service agencies to schedule riders onto various vehicles operated by various providers; airline scheduling.
- central coordination of information regarding various transport services
- collaboration of private individuals
- vehicle ownership programs

Category II (Continued):**Problem II-2:****Service is expensive for trips not covered by HSTDP.****Possible Solutions:**

- create non-profit transport service
- encourage private providers to enter market
- providing employees with free passes/vouchers
- offer discount transit passes to welfare to work agencies
- central coordination of information regarding various transport services
- route extensions/extended service hours
- community orgs, such as senior citizens centers may provide transport services
- volunteer drivers (citizens, seniors, housewives)
- vehicle ownership programs
- faith-based transport provision
- collaboration of private individuals

Category II (Continued):**Problem II-3:****Absence of transportation alternatives (public or private).****Possible Solutions:**

- use school buses during dormant periods
- community orgs, such as senior citizens centers may provide transport services
- volunteer drivers (citizens, seniors, housewives)
- vehicle ownership programs
- faith-based transport provision
- collaboration of private individuals
- create non-profit transport service

Category III: Service Deficiency for HSTDP Non-eligible Individuals with Disabilities

**Problem III-1:
Unable to reach employment.**

Possible Solutions:

- adjust assistance eligibility criteria
- providing employees with free passes/vouchers
- targeting employment opportunities for clients based on existing transport.
- rescheduling fixed-route to match job start/end times
- offer discount transit passes to welfare to work agencies.
- collecting & distributing info about "transit potential" job sites
- target fixed routes to industrial areas
- make transport info available at job fairs
- reimburse employers who pay for client transportation
- central coordination of information regarding various transport services
- providers coordinate schedules with clients
- create non-profit transport service
- encourage private providers to enter market
- community orgs, such as senior citizens centers may provide transport services
- volunteer drivers (citizens, seniors, housewives)
- vehicle ownership programs
- faith-based transport provision
- collaboration of private individuals
- request a stop program allows riders to request public transport to stop anywhere along the route during certain time periods

Category III (Continued):**Problem III-2:****Unable to obtain medical care and other needs due to travel limitations.****Possible Solutions:**

- adjust assistance eligibility criteria
- advisory groups
- create non-profit transport service
- encourage private providers to enter market
- community orgs, such as senior citizens centers may provide transport services
- volunteer drivers (citizens, seniors, housewives)
- vehicle ownership programs
- faith-based transport provision
- collaboration of private individuals

Problem III-3:**No public transportation.****Possible Solutions:**

- use school buses during dormant periods
- community orgs, such as senior citizens centers may provide transport services
- volunteer drivers (citizens, seniors, housewives)
- vehicle ownership programs
- faith-based transport provision
- collaboration of private individuals
- create non-profit transport service

Category III (Continued):

**Problem III-4:
Private transportation is cost prohibitive.**

Possible Solutions:

- adjust assistance eligibility criteria
- create non-profit transport service
- encourage private providers to enter market
- providing employees with free passes/vouchers
- offer discount transit passes to welfare to work agencies
- central coordination of information regarding various transport services
- route extensions/extended service hours
- community orgs, such as senior citizens centers may provide transport services
- volunteer drivers (citizens, seniors, housewives)
- vehicle ownership programs
- faith-based transport provision
- collaboration of private individuals

SECTION B: PROBLEMS ADDRESSED BY SOLUTION

Solution 1:

Adjust assistance eligibility criteria.

Problems Addressed:

III-1) Unable to reach employment

III-2) Unable to obtain medical care and other needs due to travel limitations

III-4) Private transportation is cost prohibitive

Solution 2:

Advisory groups.

Problems Addressed:

I-1) Lack of short notice service;advance notice period too lengthy

III-2) Unable to obtain medical care and other needs due to travel limitations

Solution 3:

Automatic vehicle location (GPS).

Problems Addressed:

I-1) Lack of short notice service;advance notice period too lengthy

II-1) Poor scheduling availability

Solution 4:

Bus ridership training classes given at welfare training sites.

Problems Addressed:

I-5) Clients are unaware of existing services available.

Solution 5:**Central coordination of information regarding various transport services.****Problems Addressed:**

- I-5) Clients are unaware of existing services available.
- II-1) Poor scheduling availability
- III-1) Unable to reach employment
- II-2) Service is expensive for trips not covered by HSTDP
- III-4) Private transportation is cost prohibitive.

Solution 6:**Central coordination of information regarding various transport services.****Problems Addressed:**

- II-1) Poor scheduling availability
- II-3) Absence of transportation alternatives (public or private)
- III-1) Unable to reach employment
- II-2) Service is expensive for trips not covered by HSTDP
- III-2) Unable to obtain medical care and other needs due to travel limitations
- III-3) No public transportation
- III-4) Private transportation is cost prohibitive.

Solution 7:**Collecting & distributing info about "transit potential" job sites.****Problems Addressed:**

- I-2) Employment opportunities limited by scheduling difficulties, especially during evening and night hours
- III-1) Unable to reach employment

Solution 8:
Community orgs, such as senior citizens centers may provide transport services.

Problems Addressed:

- II-3) Absence of transportation alternatives (public or private)
- III-1) Unable to reach employment
- II-2) Service is expensive for trips not covered by HSTDP
- III-2) Unable to obtain medical care and other needs due to travel limitations.
- III-3) No public transportation
- III-4) Private transportation is cost prohibitive.

Solution 9:
Computerized reservation system allows social service agencies to schedule riders onto various vehicles operated by various providers; airline scheduling.

Problems Addressed:

- I-4) Lack of trip prioritization; all trips treated with equal weight.
- II-1) Poor scheduling availability

Solution 10:
Coordinating information on various transport providers.

Problems Addressed:

- I-2) Employment opportunities limited by scheduling difficulties, especially during evening and night hours.

**Solution 11:
Create non-profit transport service.**

Problems Addressed:

- II-2) Service is expensive for trips not covered by HSTDP
- II-3) Absence of transportation alternatives (public or private)
- III-1) Unable to reach employment
- III-2) Unable to obtain medical care and other needs due to travel limitations.
- III-3) No public transportation
- III-4) Private transportation is cost prohibitive.

**Solution 12:
Cross utilization of provider vehicles to serve clients.**

Problems Addressed:

- I-7) Equipment is inaccessible.

**Solution 13:
Driver training.**

Problems Addressed:

- I-6) Tardiness of drivers at scheduled pick-ups.

**Solution 14:
Emergency ride home program for those who have to leave in an emergency.**

Problems Addressed:

- I-4) Lack of trip prioritization; all trips treated with equal weight.

**Solution 15:
Encourage private providers to enter market.**

Problems Addressed:

- II-2) Service is expensive for trips not covered by HSTDP
- II-1) Poor scheduling availability
- III-1) Unable to reach employment
- II-2) Service is expensive for trips not covered by HSTDP
- III-2) Unable to obtain medical care and other needs due to travel limitations.
- III-4) Private transportation is cost prohibitive.

**Solution 16:
Faith-based transport provision.**

Problems Addressed:

- II-3) Absence of transportation alternatives (public or private)
- III-1) Unable to reach employment
- II-2) Service is expensive for trips not covered by HSTDP
- III-2) Unable to obtain medical care and other needs due to travel limitations.
- III-4) Private transportation is cost prohibitive.
- III-3) No public transportation

**Solution 17:
Forums to reap business community input so that routes/schedules can be adjusted.**

Problems Addressed:

- I-5) Clients are unaware of existing services available.

Solution 18:
Grants for equipment.

Problems Addressed:

I-7) Equipment is inaccessible.

Solution 19:
Health/social service workers trained to provide info about available transport.

Problems Addressed:

I-5) Clients are unaware of existing services available.

Solution 20:
Implement incentives and/or disincentives to drivers.

Problems Addressed:

I-6) Tardiness of drivers at scheduled pick-ups.

Solution 21:
Increased oversight/ombuds.

Problems Addressed:

I-6) Tardiness of drivers at scheduled pick-ups.

Solution 22:
Legislate shorter notice periods.

Problems Addressed:

I-1) Lack of short notice service; advance notice period too lengthy.

II-1) Poor scheduling availability

Solution 23:
Make transport info available at job fairs.

Problems Addressed:

I-2) Employment opportunities limited by scheduling difficulties, especially during evening and night hours

III-1) Unable to reach employment

Solution 24:
Marketing programs.

Problems Addressed:

I-5) Clients are unaware of existing services available.

Solution 25:
Money back service time guarantee.

Problems Addressed:

I-6) Tardiness of drivers at scheduled pick-ups.

Solution 26:
Offer discount transit passes to welfare to work agencies.

Problems Addressed:

I-2) Employment opportunities limited by scheduling difficulties, especially during evening and night hours.

III-1) Unable to reach employment

II-2) Service is expensive for trips not covered by HSTDP

III-4) Private transportation is cost prohibitive.

Solution 27:
Offer late evening and night service for 2nd and 3rd shift workers.

Problems Addressed:

I-2) Employment opportunities limited by scheduling difficulties, especially during evening and night hours.

II-1) Poor scheduling availability

Solution 28:
Ombuds to market services.

Problems Addressed:

I-5) Clients are unaware of existing services available.

Solution 29:
Passenger tracking software.

Problems Addressed:

I-4) Lack of trip prioritization; all trips treated with equal weight.

Solution 30:
Provide vouchers to private transportation providers.

Problems Addressed:

I-3) Lack of service at off-peak times such as evenings, weekends, and holidays.

Solution 31:
Providers coordinate schedules with clients

Problems Addressed:

I-2) Employment opportunities limited by scheduling difficulties, especially during evening and night hours

II-1) Poor scheduling availability

III-1) Unable to reach employment

**Solution 32:
Providing employees with free passes/vouchers**

Problems Addressed:

I-2) Employment opportunities limited by scheduling difficulties, especially during evening and night hours

III-1) Unable to reach employment

II-2) Service is expensive for trips not covered by HSTDP

III-4) Private transportation is cost prohibitive.

**Solution 33:
Real-time automated scheduling; demand-response service**

Problems Addressed:

I-1) Lack of short notice service; advance notice period too lengthy

II-1) Poor scheduling availability

I-3) Lack of service at off-peak times such as evenings, weekends, and holidays

**Solution 34:
Recruit riders, then establish service.**

Problems Addressed:

I-5) Clients are unaware of existing services available.

**Solution 35:
Reimburse client providers (relatives, volunteers, neighbors) for eligible transport costs**

Problems Addressed:

I-7) Equipment is inaccessible.

**Solution 36:
Reimburse employers who pay for client transportation.**

Problems Addressed:

I-2) Employment opportunities limited by scheduling difficulties, especially during evening and night hours

III-1) Unable to reach employment

**Solution 37:
Request a stop program allows riders to request public transport to stop anywhere along the route during certain time periods.**

Problems Addressed:

I-3) Lack of service at off-peak times such as evenings, weekends, and holidays

III-1) Unable to reach employment

**Solution 38:
Rescheduling fixed-route to match job start/end times.**

Problems Addressed:

I-2) Employment opportunities limited by scheduling difficulties, especially during evening and night hours

II-1) Poor scheduling availability

III-1) Unable to reach employment

**Solution 39:
Route extensions/extended service hours.**

Problems Addressed:

I-3) Lack of service at off-peak times such as evenings, weekends, and holidays

II-1) Poor scheduling availability

II-2) Service is expensive for trips not covered by HSTDP

III-4) Private transportation is cost prohibitive.

Solution 40:
Staff and volunteers attend county fairs to supply information.

Problems Addressed:

I-5) Clients are unaware of existing services available.

Solution 41:
Target fixed routes to industrial areas.

Problems Addressed:

I-2) Employment opportunities limited by scheduling difficulties, especially during evening and night hours

III-1) Unable to reach employment

Solution 42:
Targeting employment opportunities for clients based on existing transport.

Problems Addressed:

I-2) Employment opportunities limited by scheduling difficulties, especially during evening and night hours

III-1) Unable to reach employment

Solution 43:
Transit sponsored job fairs/job readiness training.

Problems Addressed:

I-5) Clients are unaware of existing services available.

Solution 44:
Use GIS to find jobs along existing bus routes.

Problems Addressed:

I-2) Employment opportunities limited by scheduling difficulties, especially during evening and night hours

Solution 45:
Use school buses during dormant periods.

Problems Addressed:

- I-3) Lack of service at off-peak times such as evenings, weekends, and holidays
- III-3) Absence of transportation alternatives (public or private)
- II-3) Absence of transportation alternatives (public or private)

Solution 46:
Vehicle ownership program.

Problems Addressed:

- I-7) Equipment is inaccessible.
- II-3) Absence of transportation alternatives (public or private)
- II-1) Poor scheduling availability
- III-1) Unable to reach employment
- II-2) Service is expensive for trips not covered by HSTDP
- III-2) Unable to obtain medical care and other needs due to travel limitations.
- II-3) Absence of transportation alternatives (public or private)
- III-3) No public transportation
- III-4) Private transportation is cost prohibitive.

Solution 47:
Volunteer drivers (citizens, seniors, housewives).

Problems Addressed:

- II-3) Absence of transportation alternatives (public or private)
- II-2) Service is expensive for trips not covered by HSTDP
- III-1) Unable to reach employment
- III-2) Unable to obtain medical care and other needs due to travel limitations.
- III-3) No public transportation
- III-4) Private transportation is cost prohibitive.

Solution 48:
Web page or hotline to aid individuals who need service on short notice.

Problems Addressed:

- I-1) Lack of short notice service; advance notice period too lengthy

Appendix C

Kentucky Human Service Transport Delivery Program: History and Summary

The 2000 Kentucky General Assembly passed the program, signed into law by the Governor, which became effective July 14, 2000.

Governance for the program is provided by a legislatively-created Coordinated Transportation Advisory Committee, or CTAC, comprised of designated members of the cabinets for Health Services, Families and Children, and Workforce Development. Under this arrangement, the Cabinet for Health Services and the Cabinet for Families and Children each have two votes on CTAC, while the Workforce Development Cabinet has one vote. (KRS 281.270)

The enabling legislation calls for a pool of civil service program coordinators to investigate all complaints regarding recipients, subcontractors, and the broker for the area and to attempt to resolve the problem. Complaints pertaining to Medicaid fraud, however, must be forwarded to the Cabinet for Health Services. Program Coordinators are responsible for assisting any person with a complaint. Specifically, Program Coordinators are responsible for investigating eligibility issues that result in the denial of transportation services. *Brokers are not permitted to deny any individual transportation services until the Program Coordinator resolves the question of the person's eligibility.* Brokers that violate this provision are subject to a fine of \$1,000 and revocation of their contract. Brokers and subcontractors are prohibited from retaliating against any individual who files a complaint, and are subject to revocation of their contract for five years if they are found to have done so. (KRS 281.872)

Levels of eligibility are designated by certification types, and determine the necessity and type of specialty carrier transport for individuals in the program. Upon request by a recipient, a transportation broker must provide *specialty carrier transportation* for a period up to 30 days *without written recommendation forms the person's personal physician.* A broker is prohibited from changing a person's level of eligibility and certification type, but should report questionable specialty classifications to the cabinet. (KRS 281.873)

Persons with level of eligibility that dictates transport under Certificate Type 7 (nonemergency, ambulatory disoriented persons) or Certificate Type 8 (ADA-compliant lift-type vehicles for nonemergency, nonambulatory persons) have the freedom to select any eligible subcontractor in their delivery area to provide their transportation services. The recipient must contact the broker to arrange the transportation, and if they do not specify a provider, the broker has the freedom to select any eligible provider, as long as the distribution of Type 7 & 8 trips among all providers is equitable. Brokers must consider their ability to allow persons of Certificate Type 2 eligibility to have freedom of provider choice, and may offer that freedom if they so desire. Type 2 eligibility refers to taxicab service. (KRS 281.874)

KRS 281.875 requires the cabinet to establish administrative regulations for the program's administration and calls for the cabinet to produce a handbook of standard procedures to be made available to the general public.

Brokers are required to provide transportation services to individuals who request services to be provided with less notice than established by administrative regulations if that person's physician submits verification to the broker that the person needs to be seen by the physician or another physician. Notification can be by telephone, email, fax, or in writing delivered to the broker by the person. (KRS 281.876)

KRS 281.877 permits brokers to coordinate HSTDP with general public transportation where possible.

Brokers are prohibited from imposing requirements and regulations on subcontractors beyond this legislation. (KRS 281.878)

Who does HSTDP Serve?

K-TAP/KWP recipients, Medicaid recipients, and those eligible for Dept. of the Blind, and Vocational Rehabilitation programs may apply for services under the program.

Each rider needing transportation services should contact the regional broker between 6:00 a.m. and 8:00 p.m. M-F, and 8:00 a.m. to 1:00 p.m. on Saturday, local time. Advance scheduling of 72 hours is required. After hours paging services for urgent care and immediate needs are available on Sundays and state holidays.

Upon notification, the regional broker (16 regions) contracts with a subcontractor to provide the necessary transportation service. The Commonwealth pays the broker an annual lump sum, based on estimated need and estimated transport costs, which the broker then uses to reimburse subcontractors for services provided.

The services provided are:

- 1) Non-emergency medical transportation, such as Doctor appointments, treatments, mental health providers, and therapists.
- 2) TANF Transportation for job interviews, job training, employment, child care facilities.

Eligibility Rules

Eligibility for transportation is program dependent; that is, different transport services are provided for different state programs. Eligibility is met by participation in that program, and brokers receive monthly updates of program eligibility lists to consult. Moreover, Program Coordinators are available for consultation when eligibility is disputed. Coordinators have full access to all state databases pertaining to the programs served by HSTDP.

Appendix D

Demand Oriented Solutions to Transport for Individuals with Disabilities

Public transportation problems are often viewed as a matter of insufficient service provision due to the absence of service providers, lack of vehicles, or sparse population distributions. In short, the supply is insufficient to meet the demands for transportation services by persons who utilize them. In rural areas, such as most of Kentucky, it is the case that the public transportation dependent populations are more or less evenly distributed across large areas of land. From a governmental budgeting perspective, leaders and elected officials are forced to make choices between services and programs because of scarce, or limited, resources. In the case of serving low income populations, it is often the government position to fund those programs that are deemed more important, such as health care and meeting a populations' nutritional needs, to the exclusion of programs that are perceived to be less important, such as public transportation.

The government budget decision represents an economic choice of resource allocation; however, governments are not the sole providers of transportation services. It is also an economic decision that leads private sector transportation providers to forego service provision in such areas. For example, a taxi company can generate more rides, and therefore greater fare revenues, from operations in urban areas where demand is higher. It defies logic for a company to provide service in rural areas where profits are less certain. Certainly, as ridership in vans or buses declines, it becomes necessary to increase individual fares for a private firm to break even or generate profits. The prospect of generating profits drive business decisions.

The combination of government decisions and private market decisions has resulted in a service provision structure that leaves important sectors of the population underserved either for lack of available vendors, or from excessive rates. Namely, the elderly, people with disabilities, and low income individuals are less likely to have access to cars, may not be able to drive them if they had access, and are thereby restricted in their mobility. Recipients of certain government programs, such as Medicaid, are eligible for transportation free of charge for medical emergencies and other medical needs. Transportation, though not viewed as the primary need to be filled by government, is recognized as an essential secondary component to fulfilling that primary need. Three groups of individuals are eligible for transportation services free of charge for specific purposes through the Empower Kentucky program—the blind, Medicaid recipients, and participants in welfare to work programs. This type of program demonstrates how public and private sectors are able to work together to provide services. The public sector provides the necessary funding, and the private sector seeks to provide the services as efficiently as possible, in their ongoing effort to derive a profit.

Mobility is recognized as a basic individual need, and individuals have been proven to engage in some basic level of travel for its intrinsic value apart from any secondary benefits they derive from it. Over time, as technologies have improved, travel times have greatly decreased, but the amount of time individuals spend traveling has remained more or less constant. Decentralization has occurred, and people now engage in interactions across greater spatial distributions. The improvements in transportation have essentially made possible the globalization of the economy, and have created new opportunities for individuals in society. The point to be made is that while society in

general consumes some amount of transportation for its own sake, and as society has decentralized and engaged in more spatially dispersed activities, a subset of the population has been left behind, and possibly experiencing a net reduction in quality of life.

How is this possible? Briefly, as activity space has expanded, the services provided have become less centralized, and therefore less accessible to the mobility disadvantaged. To provide an example, in the previous century, when pedestrian or animal dependent travel was the norm, cities were (on average) much smaller than today, and a variety of services were available in a condensed geographic area, such that one trip into town could easily facilitate a number of purposes. Today, cities are large and dispersed, and the distance between (for example) the doctor's office, the grocery store, and the pharmacy has increased dramatically, such that additional physical transportation is necessary to engage in activities, or to consume services.

The system that has developed to provide transport services for the disadvantaged in rural Kentucky is commonly known as a demand-responsive system, meaning that when a customer needs to make a trip, they contact the service provider in advance to make an individual appointment. Because it is expensive to serve individuals as such, the advanced notification gives the service provider an opportunity to group multiple passengers with similar points of origin or similar destinations, thereby reducing the cost they incur while providing the service. The advanced notice gives providers an opportunity to attempt to reduce costs, but in fact, it may be the case that no additional riders can be grouped. The result is a system that recipients view as cumbersome and unfriendly, and that doesn't necessarily reduce costs of the service providers. This is important because the Commonwealth, to a large extent, allocates funds based on the cost of providing the services. Thus, if the cost is higher to the providers, it is also higher to the Commonwealth's budget, and to the taxpayers. In effect, such a system works, but is less than ideal from the viewpoint of all involved.

How can the system be improved? This question can be best addressed by first elaborating on the transportation needs of the population in question. The publicly funded program provides transportation only for specific purposes, so for all other desired travel, *including* additional stops on publicly funded trips, individuals must pay for the services they use. These fees, as observed above, are typically very high due to the costs of rural service provision. Individuals are charged high rates to take trips to the grocery, to department stores, or even to a public park or senior citizens center for recreation purposes. These costs are a severe deterrent to low income transportation-disadvantaged populations, and impede their ability to lead meaningful lives.

According to a recent study of the Medicaid transportation program in Kentucky, the transportation brokers often 'cherry pick' the optimum routes and opt to provide services to those routes themselves, while pawning off less profitable routes to other qualified service providers in the area. What constitutes a profitable route? In short, the cost of a given trip is fixed, and includes the depreciation of capital (a van, bus, or car), labor (a driver), the variable cost of gasoline, tires, etc., and overhead administrative costs. If the vehicle carries only one individual, the cost per passenger is very high, as the Commonwealth reimburses the provider for one individual's trip. If, alternatively, fifteen passengers must make the same trip, the costs do not change, but the provider will

be reimbursed for fifteen passengers' trips. This change makes the total costs less than total revenues, and results in a much lower cost per passenger.

Certain trips are known to generate such profitable patterns. For example, Welfare to Work program participants have established travel schedules (morning and afternoon trips to work sites), typically originate from the same general geographic area, and terminate at a fixed number of work locations. These characteristics make it possible to carry multiple passengers in a single trip, thereby leading to higher profits for the provider.

If such trips are known to provide advantages to the providers and reduce costs to the Commonwealth, then a valuable lesson can be learned. We might argue that the system could be improved by striving to group more passengers into fewer trips. We might also argue that set schedules make possible such trip groupings. With this knowledge in hand, it is possible to derive recommendations for a pilot project that would increase mobility while decreasing costs to disadvantaged populations. If successful, such a project could achieve statewide implementation with minimal costs and administrative reorganization.

Pilot Development

Take for example a rural community in one of Kentucky's counties; within this community reside, say, 5,000 persons at a very low population density. Among the total population are persons with disabilities, the elderly, Medicaid recipients, the working poor, and other persons who need and desire transportation services. The elderly population is of particular concern to us for numerous reasons; first, the elderly population is rapidly growing, as people live longer and as the baby boomers reach retirement age. Moreover, the very old age class is the fastest growing of all age categories. As the elderly reach retirement, they do so at the end of a life of dependence on the automobile for private transportation. In many instances, as individuals become too old to drive, the dangers associated with driving require that they relinquish their licenses. As this happens, this group suffers a tremendous loss of mobility and independence. The concern is deeper still. The vast majority of the elderly reside in non-metropolitan areas (75%), and as cities grow and expand, the elderly elect to reside in more remote locations where land and housing is less expensive. This makes increasingly difficult the provision of transportation services.

The point here is that many citizen groups need public transportation for a variety of purposes, and collectively, they represent greater demand than alone. For this reason, it is logical to pursue strategies that bring together various beneficiaries of public transportation. Five persons with disabilities (in the hypothetical community) demanding transport services are less conspicuous than a group of fifty comprised of people with disabilities, the elderly, and other groups. The transport services needed to transport these individuals are not dissimilar, and joint efforts are more likely to gain public notice.

The first step in developing the pilot project is to bring these groups together, and to provide some logistical analysis of their geographic location, and the sites that they need or want to visit. It is likely that patterns will start to emerge between the locations people desire to visit and their homes. If the group can be divided into five subgroups of ten individuals representing geographic areas, it then becomes possible to act collectively. That is, the ten individuals in any given group could agree to schedule their

grocery shopping and their trips to the department store, pharmacy, or hairdresser on the same day, and plan to make the trip weekly or biweekly.

It should be clear now that it is possible to schedule pickups on a given day, say Monday morning, within a set timeframe for all ten individuals. Given their similar destinations, or destinations in the same vicinity, it is also possible schedule drop offs and return pickups at certain periods throughout the day. Essentially, it is possible for the service beneficiaries to charter the transit service for a day. The more appealing point is that the service beneficiaries, through coordination, are able to provide something the provider strongly desires—a lucrative trip with multiple fare-paying passengers. By guaranteeing high ridership, the service users should be able to negotiate a lower rate from the providers, given the fixed nature of the costs. Naturally, this will require the cooperation of the providers as well, which is the next step in the process.

Once the consortia of riders has been identified, and their general travel patterns isolated, it is necessary to solicit the involvement of service providers in the project. Without a vendor, the consortium is of little import. Upon agreement to participate, the provider and the service users can arrange a fixed schedule service at a given cost each week, or every other week. This relationship would be based on trust, and it would be the responsibility of the users of the service to maintain a certain level of ridership on the contract days. Likewise, the provider will be obligated to provide the services agreed upon in a timely manner. The details of scheduling can be worked out between individual consortia of riders and providers.

An additional point presents itself in this example. The concept of trip grouping is assumed as a given. That is, rather than isolating trips for a single purpose, the riders are able to use the service efficiently by performing multiple tasks using the same basic trip. This reduces the need for additional trips, and it thereby reduces fuel consumption, environmental damage, and cost to the user. The cost savings is even greater under the group rate plan than trip grouping by an individual, as the rate structures are lowered by higher ridership.

Secondary benefits accrue as a result of this project. Above and beyond increased profits for providers, increased accessibility for disadvantaged groups, and lower costs for the service users, social benefits are expected. That is, the weekly trips can be seen as social events that encourage interaction by members of society that are otherwise isolated and independent. The experience could lead to new friendships, and the enjoyment resulting might encourage individuals to use the service more frequently, or to generate new ridership. The cyclical result would be increases in the frequency of scheduled group trips, further reductions in fares, and greater profits for service providers. In the long run, it will be seen that doctor's appointments and other trips for which transportation is publicly provided at no cost can be assimilated into the travel structure, further reducing the amount of expense incurred by the Commonwealth per trip—a net savings to the taxpayers vis a vis the public purse. It could become the case that service users began to enjoy the trips to the point that they began to find new reasons to travel simply to justify going along. The result of these changes is expected to manifest itself through improvements in overall quality of life and community development.

How can such coordination take place? Initial group determinations and coordination meetings are likely to be difficult. However, technology provides a solution

to connectivity. Groups can keep informed by email, chat room, or telephone, or by other creative means.

It is important to note that in conjunction with such a ride grouping scheme to improve personal mobility and accessibility, technology can play an additional essential role by reducing the need to travel. Banking online, ordering goods or medicines through the internet, email—each of these activities reduces the need for physical travel. The electronic transfer of information can in fact lead to reduction in the need to travel physically. Moreover, technology allows people to work from their homes, which might prove a viable source of income for many users who would otherwise be unemployed. The possibilities are endless, but technology has been widely recognized for its ability to substitute transportation in the traditional sense.

This general overview is lacking in specificity, but attempts to identify major trends in public transportation in rural areas that affect the provision of services to disadvantaged populations in such places. The above pilot project is intended to exemplify how the existing system can provide knowledge beneficial to constructing solutions that improve quality of life for all involved parties.

Appendix E
Transportation Utilization Statistics for Medicaid and Welfare Recipients

Total number of services provided to Medicaid and AFDC recipients in 1997 – 718,848
Per month 59,904

Total number of services provided to Medicaid and TANF recipients in 1999 – 1,135,380
Per month 94,615 – increase of 58% (During implementation of Empower Kentucky)

Total number of services provided to Medicaid and TANF recipients in 2001 – 2,012,315
Per month 167,693, or 10,480 per region (After Implementation of Empower Kentucky)

Number of counties served prior to Empower Kentucky – 108
Number of counties served after Empower Kentucky – 120

Number of eligible Medicaid and TANF – 557,000
Number of eligible Medicaid and TANF recipients who access trans services – 34,720
Per region - 2,170
Percentage of eligible members who access transportation services – 6.2%

Average number of transportation services per user per month – 4.8

Average number of miles driven per month for transportation in 1997 - 1,464,516
Average length of trip - 25.5 miles

Average number of miles driven per month for transportation in 1999 – 1,180,189
Average length of trip – 12.5 miles

Average number of miles driven per month for transportation in 2001 – 1,643,391
Average length of trip – 9.8 miles

Complaints from consumers filed by the state in 2001 – 442
Number of services rendered per complaint – 4,553
Percentage increase of complaints since the inception of Empower Kentucky – 8%

Appendix F.
Memorandum to the Kentucky Developmental Disabilities Council

MEMORANDUM

TO: KENTUCKY DEVELOPMENTAL DISABILITIES COUNCIL
FROM: MARTIN SCHOOL OF PUBLIC POLICY
AND ADMINISTRATION
SUBJECT: USING SCHOOL BUSES FOR TRANSPORTATION
DATE: APRIL 4, 2002

Using school buses to provide transportation for the general public is one of the most innovative concepts that are currently being considered and implemented in various regions across the country. However, no area is presently utilizing school buses to provide transportation specifically for individuals with disabilities. This development not only has immense potential for providing transport, but in addition it would help Kentucky to become a leader in the provision of transportation services for individuals with disabilities.

Our research reveals that it is feasible to use school buses to augment transportation services for individuals with disabilities. It is possible to incorporate all age groups in such arrangements under current law. It appears that the Cabinet for Families and Children has to play a critical role in implementing such a program. It may also be necessary to address liability and insurance issues.

A significant factor in using school buses to provide transportation is the rural nature of many areas of the state. Although this has traditionally been an obstacle in providing transportation, in this instance it may prove beneficial. According to "Taking People to Work: JOBLINKS Success Stories," an internet article from the Community Transportation Association, rural areas should benefit from smaller bureaucracies and less centralization because each school district has a great deal of discretion for the use of their buses.

To begin a program for the use of school buses for non-school purposes, each local school district superintendent and transportation director must approve the plan. Moreover this will be time consuming because there are 176 school districts in the state. There will be issues with liability as well because it may be necessary to increase insurance coverage. This, too, would go through each school district. There will also be obstacles with regard to availability of special needs buses; average school bus travel is 60 miles per day for non-accessible buses and 250 miles per day for buses that are accessible. However, these miles are driven predominantly during the day. Thus accessible buses could be available during evenings, weekends, and holidays.

In the following report you will find information with regard to the following:

- The use of school buses for transportation in Glendale-Azalea, Oregon as well as information pertaining to Washington State's goals for implementing a similar program
- How employing school buses may assist in alleviating some of the problems outlined in the Third-Age Study
- Implementation, legal, and liability issues
- Policy changes that may be required in order to execute this solution
- How this solution may be used in conjunction with other solutions proposed in our report
- As well as thoughts pertaining to the relationship of implementing the use of school buses for transportation to the Council's "State Plan Performance Targets."

Examples of School Bus Use

By searching web pages and newspaper articles, we learned of one area that is employing school buses to provide transportation services for the general public. In Glendale-Azalea Oregon this region has used school buses to transport residents to job training classes, employment sites, healthcare appointments, and social services through Joblinks (1996). This demonstration project combined ride matching, vouchers, and drivers to isolated local residents in order to provide transportation. Sources of funding for this project include: County Health, Social Services Department, and the Oregon Department of Human Resources.

- In Glendale-Azalea Oregon this region has used school buses to transport residents to job training classes, employment sites, healthcare appointments, and social services through Joblinks (1996).

The use of school buses for the general public was implemented by linking adults with school bus routes. Using school bus routes for non-school transportation was a difficult sell with many school boards. However, because of high unemployment rates, and the rural nature of this area, local officials were encouraged to seek and consider almost all options. Additionally, Joblinks reports that the rural nature of this area proved advantageous when coordinating and communicating between officials and agencies because Glendale-Azalea lacks the rigid bureaucracy of larger cities.

Over 1,800 rides to 350 individuals, or 6 percent of the service area population, were provided within eight months of implementation. In a sample of 115 participants in the program, Joblinks found that 21 percent obtained employment, and 9 percent completed their GED. The program's success prompted the school district to accept "financial responsibility for dispatching medical and employment carpools and coordination between the school district and community transportation efforts will continue" after their one-year of funding is complete.

- Over 1,800 rides to 350 individuals... were provided within eight months of implementation.

Another area that is currently trying to establish a transportation program with school buses is Washington State. The Agency Council for Coordinated Transportation (ACCT) is seeking to use school buses for senior citizens. The agency is currently considering laws, policies, and funding formulas in order to begin implementing this project. It is important to note that Jay Inslee, US House of Representatives, First Congressional District, is an avid supporter of this project and the use of school buses for the general public.

- Jay Inslee, US House of Representatives, First Congressional District, is an avid supporter of the use of school buses for the general public.

If school buses are used outside of existing routes during weekends, evenings, and holidays, this solution would assist in providing services during off-peak times. Poor scheduling availability may be addressed by implementing this program by using existing bus routes and by adding additional services for nights, evenings, and weekends. The absence of transportation alternatives may be dealt with by this solution because with the presence of school bus routes, individuals with disabilities will have more choices for obtaining adequate transportation for their needs. Other problems such as the lack of accessible transportation, inability to reach employment, and incapacity to pay for private transportation may be addressed as well by this project.

- If school buses are used outside of existing routes during weekends, evenings, and holidays, this solution would assist in providing services during off-peak times.

Legal and Other Implementation Considerations

A variety of provisions of public law are relevant in considering the possibilities for the use of school buses. KRS 160.305, "Contracts for Use of School Buses to Transport Persons Eligible for Transportation Services," authorizes the use of school buses for purposes other than transporting school children. It was effective July 15, 1990 and outlines criteria for providing transportation to the public.

- (1) The Cabinet for Families and Children may enter into a contract with the local board of education of any school district in the

Commonwealth for the use of school buses to transport persons eligible for transportation services at times when the buses are not needed to transport students to or from school events. Persons eligible for these transportation services shall be:

- (A) Sixty-two (62) years of age or older
- (B) Those with physical or mental disabilities: or
- (C) Any other person designated by the Cabinet for Families and children as appropriate for these transportation services.

(2) Before this contract is entered into, the Cabinet for Families and Children shall formulate a plan for the use of school buses for these purposes and shall submit it to the local board of education for its approval or disapproval. The plan for use of school buses for these transportation purposes shall include routes, schedules, cost, and any other matters deemed necessary by both parties.

(3) The cost of transporting persons eligible under the provisions of section (1) of this section shall be borne by the Cabinet for Families and Children.

- Persons meeting the following criteria may be transported on school buses:
 - Sixty-two years of age or older
 - Those with physical or mental disabilities: or
 - Any other person designated by the Cabinet for Families and Children as appropriate for these transportation services.

Thus, it is legal for school buses to provide transportation to individuals with disabilities and there is no minimum age requirement. However, provisions may need to be made in order to include services for individuals outside of the Cabinet for Families and Children and for service payment.

Other concerns include liability and legal issues. Liability issues are dealt with in KRS 160.310, effective July 13, 1990. "Each board of education may set aside funds to provide for liability and indemnity insurance against the negligence of the drivers or operators of school buses, other motor vehicles, and mobile equipment owned or operated by the board." Each school board must have adequate insurance to "pay any final judgment, not to

exceed the limits of the policy, rendered against the insured for loss of damage to property of any school child or death or injury of any school child or other person,” and each policy must meet the minimum requirements of the Division of Pupil Transportation (KRS 160.305, KRS 156.070, KRS 156.160). Thus, since each school board provides insurance coverage for its drivers and vehicles, liability issues will have to be addressed on a district by district basis. Richard Capel, Head of Transportation for Jefferson county school states, “The Department of Transportation requires that each district have a minimum of five million dollars worth of liability coverage.” Because individuals with disabilities may be more susceptible to injury, more liability coverage may be desired. However, some counties may already have liability coverage that exceeds minimum requirements; thus, it is possible that no additional insurance will be necessary for some areas. For example Jefferson County has ten million in liability coverage.

- Each school board provides insurance coverage for its drivers and vehicles. Liability issues will have to be addressed on a district by district basis.

- Because individuals with disabilities may be more susceptible to injury, more liability coverage may be desired.

Moreover, each school board makes “provision for the mechanical maintenance of the district’s school buses and shall maintain these buses in safe operating condition” (702 KAR 5:040 District Board’s Responsibilities). Therefore it may be necessary to make provisions for assisting or reimbursing school districts for any maintenance that may be necessary due to route extensions or extended services. Another issue will be ensuring that there are drivers to provide services. Because special needs buses are already being driven a great deal throughout the week, it is possible that drivers who are accustomed to driving accessible buses may be unable to work additional hours.

- School buses transporting three and four year old children are to be staffed with a minimum of one driver assistant, and it shall not be the school bus driver’s responsibility to provide safe supervision to and from the bus stop.

“Transportation of Preschool Children,” (702 KAR 5:150) outlines regulations for preschool children that may need to be dealt with if children under 3 years of age are to receive transportation. School buses transporting three and four year old children are to be staffed with a

minimum of one driver assistant, and it shall not be the school bus driver's responsibility to provide safe supervision to and from the bus stop. Thus, it may be necessary to ensure that an assistant be present on school buses that will be transporting children and to assist individuals with disabilities. Another complication that arises when considering transportation for very young children is child restraint. Federal regulations are still being made with regard to restraints and car seats on school buses. However, if the child has a disability, the possibility of receiving transportation by school bus increases. David Mangum of the Department of Pupil Transportation for the state says, "Children with special needs get first priority."

- Federal regulations are still being made with regard to restraints and car seats on school buses.

A first step for implementing this solution should be to establish a communication network among advocates for individuals with disabilities, school district superintendents, school board members, and special needs bus drivers. Each school district superintendent, transportation director, and insurance provider must approve. Needs and concerns from all parties should be considered and then a plan of action should be proposed. This solution may be implemented using either existing routes and/or by establishing new services during periods of time when school buses are not in use.

Policy Changes That May be Needed

Policy changes may need to be made in order to utilize existing routes, to provide transportation for individuals outside of the Cabinet for Families and Children, and to require that school districts cooperate with eligible individuals in order to provide transportation services. Policy changes may need to be made if school districts refuse to cooperate. Hence, a policy requiring school districts to make their special needs buses available to the general public may need to be considered. However, judging from this research, it appears that the school transportation community is very cooperative and open to

- Because there are as many as 31,000 Kentuckians with disabilities who consider themselves to be in the workforce and unemployed, it is possible that Kentucky may be able to use this high unemployment rate to encourage school boards in order to implement this project.

the notion of assisting in providing transportation for individuals with disabilities in any way possible. Moreover, because there are as many as 31,000 Kentuckians with disabilities who consider themselves to be in the workforce and unemployed, it is possible that Kentucky may be able to use this high unemployment rate to encourage school boards in order to implement this project.

Other Solutions that may Relate to This Project

This solution interacts with “Central Coordination of Information,” and “Service Extension” from the solutions outlined in our report. Using school buses to provide transportation would require networking among various individuals; thus, it would be convenient to integrate these solutions by having representatives from the school board, community, bus drivers, and individuals with disabilities assemble on a regular basis in order to discuss possibilities for implementing this solution. Using school buses to provide transportation will extend services by providing transportation during evenings, weekends, and holidays. In addition routes may be extended by using existing bus routes.

Effect on KDDC Performance Targets

Kentucky Developmental Disabilities Council has set forth State Plan Performance Targets that may be influenced by implementing a school bus transportation project. Thus, establishing a project such as this may assist The Council in achieving multiple objectives. KDDC targets that may become more effective include employment, education and early intervention, transportation, and formal and informal community supports.

- KDDC targets that may become more effective include employment, education and early intervention, transportation, and formal and informal community supports.

Employment rates among individuals with disabilities may decline due to an increase in transportation, especially if Kentucky can execute a project similar to Glendale-Azalea where transportation for the public is

provided through existing school bus routes. By utilizing existing school bus routes, individuals with disabilities who live in very rural areas may still have access to transportation and employment. Early intervention would be increased if it becomes routine for small children to receive transportation on special needs buses. Travel services for people to go to work, school, medical, and personal visits will increase transportation for individuals with disabilities and therefore assist the Council in reaching its target for increased transportation. Formal and informal community supports will be augmented because individuals with disabilities will be able to gain access to the community as transportation is made more readily available. Thus, it is feasible that concentrating on implementing a major project such as this would be worthwhile because by doing so, the Council could move more quickly toward achieving various goals.

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