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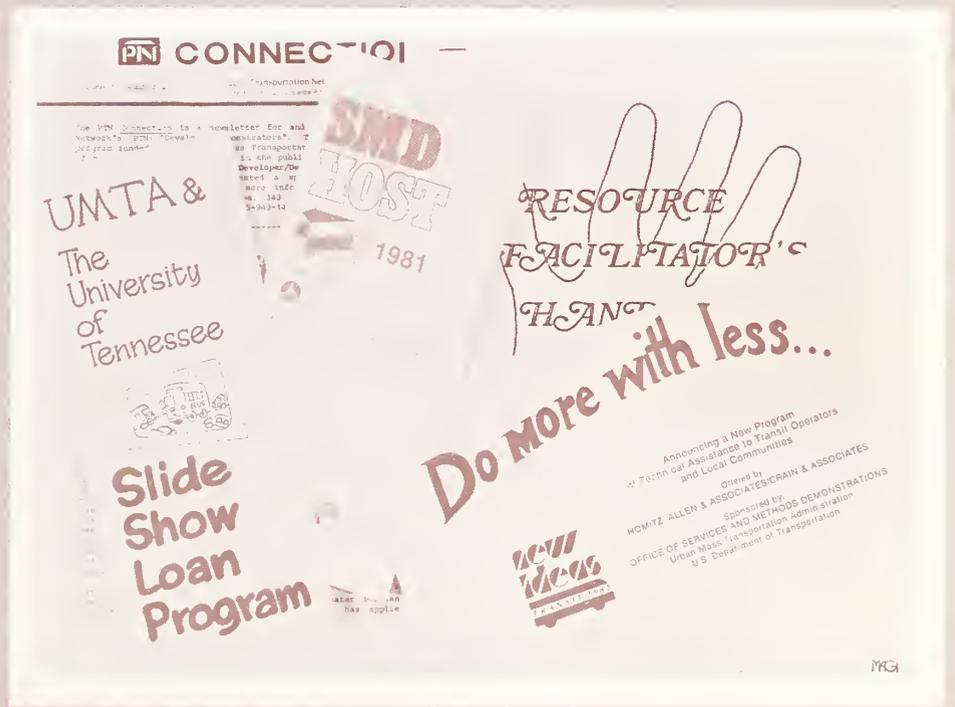
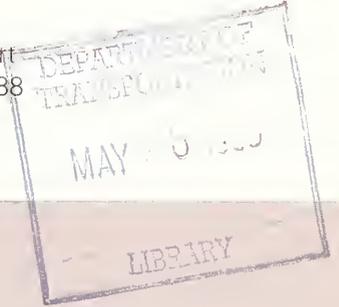
U.S. Department
of Transportation

Urban Mass
Transportation
Administration

Evaluation of the Public Transportation Network: Diffusion of Innovative Transit Practices

UMTA/TSC Evaluation Series

Final Report
August 1988



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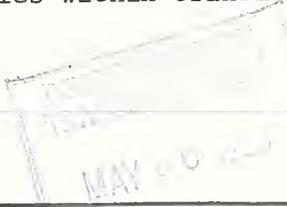
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16. Abstract This report presents an evaluation of the Public Transportation Network (PTN), a technical assistance program established by the Urban Mass Transportation Administration in 1983 to help public transportation agencies adopt better ways of managing and operating public transportation services. The PTN featured an innovative approach to technical assistance designed to foster the diffusion of innovative practices through peer-to-peer contacts. The evaluation covers the first 31 months of the PTN, from February 1983 through August 1985. The PTN's development and activities are documented, and the benefits of the program are assessed based on the number and type of programs it played a role in transferring, and on user and non-user perceptions. The report concludes that the program was viewed positively by its users and had a modest impact on both the adoption of innovative practices, and the manner in which local programs were designed. Major factors which limited the program's effectiveness were organizational inertia, difficulty in getting the attention of local agency decision-makers, and the presence of competing priorities within transit agencies.					
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PREFACE

This report was prepared by Frances Harrison, Ann Weeks, and Carol Walb of Cambridge Systematics, Inc. under contract to the U.S. Transportation Systems Center (TSC). Bruce Spear at TSC served as the evaluation manager, and Larry Bruno of the Office of Service & Management Demonstrations was the UMTA project manager.

The author gratefully acknowledges the cooperation and assistance of many individuals who provided information and insights in support of this evaluation: David Koffman, Eric Harris, and Andrea Lajoie of Crain and Associates; Carol Everett of the Urban Institute; Jim Miller of Penn State University; Dave Cyra of the University of Wisconsin at Milwaukee; Ellen McCarthy and Mary Clayton of the Urban Partnership.

METRIC / ENGLISH CONVERSION FACTORS

ENGLISH TO METRIC

LENGTH (APPROXIMATE)

1 inch (in) = 2.5 centimeters (cm)
 1 foot (ft) = 30 centimeters (cm)
 1 yard (yd) = 0.9 meter (m)
 1 mile (mi) = 1.6 kilometers (km)

AREA (APPROXIMATE)

1 square inch (sq in, in²) = 6.5 square centimeters (cm²)
 1 square foot (sq ft, ft²) = 0.09 square meter (m²)
 1 square yard (sq yd, yd²) = 0.8 square meter (m²)
 1 square mile (sq mi, mi²) = 2.6 square kilometers (km²)
 1 acre = 0.4 hectares (he) = 4,000 square meters (m²)

MASS - WEIGHT (APPROXIMATE)

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 1 pound (lb) = .45 kilogram (kg)
 1 short ton = 2,000 pounds (lb) = 0.9 tonne (t)

VOLUME (APPROXIMATE)

1 teaspoon (tsp) = 5 milliliters (ml)
 1 tablespoon (tbsp) = 15 milliliters (ml)
 1 fluid ounce (fl oz) = 30 milliliters (ml)
 1 cup (c) = 0.24 liter (l)
 1 pint (pt) = 0.47 liter (l)
 1 quart (qt) = 0.96 liter (l)
 1 gallon (gal) = 3.8 liters (l)
 1 cubic foot (cu ft, ft³) = 0.03 cubic meter (m³)
 1 cubic yard (cu yd, yd³) = 0.76 cubic meter (m³)

TEMPERATURE (EXACT)

$$[(x - 32)(5/9)]^{\circ}\text{F} = y^{\circ}\text{C}$$

METRIC TO ENGLISH

LENGTH (APPROXIMATE)

1 millimeter (mm) = 0.04 inch (in)
 1 centimeter (cm) = 0.4 inch (in)
 1 meter (m) = 3.3 feet (ft)
 1 meter (m) = 1.1 yards (yd)
 1 kilometer (km) = 0.6 mile (mi)

AREA (APPROXIMATE)

1 square centimeter (cm²) = 0.16 square inch (sq in, in²)
 1 square meter (m²) = 1.2 square yards (sq yd, yd²)
 1 square kilometer (km²) = 0.4 square mile (sq mi, mi²)
 1 hectare (he) = 10,000 square meters (m²) = 2.5 acres

MASS - WEIGHT (APPROXIMATE)

1 gram (gr) = 0.036 ounce (oz)
 1 kilogram (kg) = 2.2 pounds (lb)
 1 tonne (t) = 1,000 kilograms (kg) = 1.1 short tons

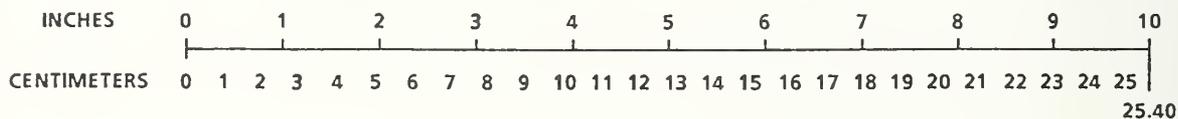
VOLUME (APPROXIMATE)

1 milliliter (ml) = 0.03 fluid ounce (fl oz)
 1 liter (l) = 2.1 pints (pt)
 1 liter (l) = 1.06 quarts (qt)
 1 liter (l) = 0.26 gallon (gal)
 1 cubic meter (m³) = 36 cubic feet (cu ft, ft³)
 1 cubic meter (m³) = 1.3 cubic yards (cu yd, yd³)

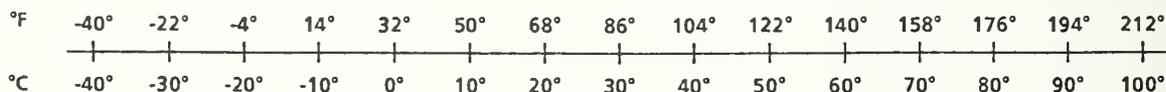
TEMPERATURE (EXACT)

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LIST OF ACRONYMS

AASHTO	American Association of State Highway and Transportation Officials
AOA	Agency on Aging
APTA	American Public Transit Association
ARP	Association of Ridesharing Professionals
CAL-ACT	California Association for Consolidated Transportation
CAPOTS	California Association of Publicly Operated Transit Systems
COG	Council of Governments
COTA	Central Ohio Transit Authority
CTA	Chicago Transit Authority
D/D	Developer/Demonstrator
DOT	Department of Transportation
DRP	Dissemination Review Panel
E&H	Elderly and Handicapped
FHWA	Federal Highway Administration
HOV	High Occupancy Vehicle
IDEA	International Downtown Executives Association
IMCA	International City Managers Association
IPG	Intermodal Planning Group
LACTC	Los Angeles County Transportation Commission
MARC	Mid America Regional Council
MBTA	Metropolitan Boston Transportation Authority
MCTS	Milwaukee County Transit System
MnDOT	Minnesota Department of Transportation
MPO	Metropolitan Planning Organization
MTC	Metropolitan Transportation Commission
NAC	National Association of Counties
NARC	National Association of Regional Councils
NDN	National Diffusion Network
OCTD	Orange County Transit District
PACT	Pennsylvania Association for Consolidated Transportation
PAMTA	Pennsylvania Association of Municipal Transit Authorities
PennDOT	Pennsylvania Department of Transportation
PTI	Public Technology Incorporated
PTN	Public Transportation Network
RF	Regional Facilitator
RFP	Request for Proposal
RP	Resource Person
RTAP	Rural Technical Assistance Program
SCAG	Southern California Association of Governments
SMD	Service and Methods Demonstration
TRB	Transportation Research Board
TSC	Transportation Systems Center
UMTA	Urban Mass Transportation Administration
UWEX	University of Wisconsin Extension
VAPTO	Virginia Association of Public Transit Operators
WashCOG	Washington Metropolitan Council of Governments
WMATA	Washington Metropolitan Area Transportation Authority

1. INTRODUCTION

1.1 BACKGROUND

The Public Transportation Network (PTN)¹ is a technical assistance program established in February 1983 by the Urban Mass Transportation Administration (UMTA) Office of Service and Management Demonstrations (SMD). Its primary objective is to help public transportation agencies adopt better ways of managing and operating public transportation services. The PTN represents an "innovation diffusion" or "technology transfer" approach, designed to complement ongoing SMD efforts, such as the demonstration and evaluation of new service concepts, and the dissemination of evaluation findings. Key features of the PTN include:

- a quality control process--identification and screening of innovative transit practices which are presently in use, based on evidence of positive impacts, cost-effectiveness, and transferability;
- peer to peer assistance--help with program design and implementation by developer/demonstrators (D/D's), who are employees of transit agencies that have implemented a program or practice which had clear benefits and is considered to be transferable to other agencies;
- assistance brokers--regional facilitators (RF's) who identify and/or serve as a contact point for agencies needing assistance, and arrange for appropriate technical assistance to be provided.

¹In November, 1985, the program's name was changed to the Private/Public Transportation Network (PPTN). This new name reflects a change in the program's focus towards dissemination of information on public/private transportation initiatives which was made in accordance with new policy initiatives at the Urban Mass Transportation Administration (UMTA).

Because the PTN is a non-traditional and somewhat experimental approach to technical assistance, an independent evaluation has been sponsored by the Transportation Systems Center (TSC) to document the program's development and assess its effectiveness. This report describes the PTN's evolution, activities, and accomplishments from its initiation through August 1985.

1.2 EVALUATION FRAMEWORK

The objectives of the evaluation are to:

- describe the PTN's structure and activities
- assess the program's impacts on adoption of improved practices
- assess the program's benefits, as perceived by its users
- identify program strategies which have been effective, and areas where the program's effectiveness might be improved

The ultimate test of the effectiveness of the PTN (or any program aimed at transferring or diffusing innovative practices) is the extent to which agencies adopt new practices as a result of the program's activities, and the benefits which result from adoption of these practices. However, in addition to knowing the number and type of adopted practices which have resulted, it is important to understand how different components of the program have contributed to that ultimate goal. This provides insight into why the program is or isn't being effective, and allows for improvements to be identified.

It is also important to understand that simply counting adoptions of new practices will provide only a partial measure of the PTN's benefits. Peer-to-peer assistance which helps agencies become familiar with different options for meeting transportation needs, or helps them to decide

which option to choose is valuable, even if it doesn't result in adoption of a particular practice promoted by the PTN. In addition, it is often the case that such assistance is most useful for design of specific procedures or operational features of programs (which may already be in place) rather than for assisting the larger decisions about the kind of program to implement.

The PTN involves four basic kinds of activities:

- Establishing Program Identity
- Assembling Technical Assistance Resources
- Serving as a Technical Assistance Broker
- Promoting and Assisting Adoption of Improved Practices

Each of these activities is critical to the program's ultimate success. People need to be aware of the program, what it offers, and how to use it; the practices the program is aimed at encouraging must in fact be beneficial, of interest, and transferable; there must be an effective mechanism for identifying potential adopters and providing them with the right kinds of help at the right time; and the kind of assistance provided must be effective at catalyzing change.

Key evaluation issues related to each of the basic program activities are as follows:

Establishing Program Identity

- What methods were used to inform agencies about the PTN?
- Were the awareness strategies successful at reaching the right audience (potential program users)?
- Did the awareness strategies generate interest in the PTN?
- Did the awareness strategies effectively communicate what the PTN offers and how it can be used?

Assembling Technical Assistance Resources

- What kinds of technical assistance resources were assembled?

- What constraints or problems were faced in enlisting and making use of "peers" (D/D's)?
- Did D/D's and other technical assistance resources enlisted by the PTN match with agency needs?
- Were D/D programs viewed as beneficial and transferable by potential PTN users?

Serving as a Technical Assistance Broker

- What kinds of strategies were used by PTN facilitators to be effective technical assistance brokers?
- What kinds of assistance requests were handled by the PTN?
- Was the PTN able to satisfactorily respond to these requests?
- What have been the major problems or constraints faced by the PTN facilitators which have limited their effectiveness?

Promoting and Assisting the Adoption of Improved Practices

- What role have PTN facilitators played in spreading awareness of and generating interest in developer/demonstrator practices?
- What activities have been carried out to assist agencies to adopt new practices?
- How have these assistance activities affected the planning, design, and implementation of new practices?
- How has the peer-to-peer aspect of PTN assistance been instrumental in encouraging program adoptions?
- What have been the major barriers to adoption of new practices in agencies receiving PTN assistance?

1.3 EVALUATION METHODOLOGY

The methodology used to address these issues involved a review of regularly kept PTN program records, interviews with those responsible for administering the PTN and carrying out PTN activities (who will henceforth be referred to as "the PTN team"), and telephone interviews with PTN users, and non-users who have been made aware of the PTN.

PTN program records summarized for the evaluation include monthly progress reports from all PTN team members, and individual reports on technical assistance activities and workshops or conferences which PTN representatives have attended. These records provide reasonable summaries of program administration, awareness and technical assistance activities. They also provide information on the status of PTN users in the process of adopting programs. Unfortunately, program records do not contain a complete account of every phone call made to PTN, or of every person or agency who has been made aware of PTN. This is both because the amount of record-keeping that this would require would be too burdensome and time-consuming, and because there are a large number of people spreading the word about PTN--not only the RF's, but D/D's, UMTA staff, and others as well. While a quantitative measure of the number and types of agencies which have been made aware of the PTN would be useful for the evaluation, it was not judged to be sufficiently important to justify a large scale nationwide survey of transit agencies.

Interviews with the PTN team were conducted periodically to provide an understanding of the kinds of strategies which were being employed and problems which were being faced. In addition to formal, structured interviews, informal discussions were held with PTN team members, and PTN team meetings were attended to provide a sense for how the program was evolving.

The major data collection effort conducted as part of the evaluation were telephone interviews of PTN users and non-users. These interviews provided information necessary for an assessment as to the effectiveness of PTN awareness activities, the reasons why different agencies use or don't use the PTN, the extent to which the PTN is meeting agency needs, how

satisfied the users are with the assistance they've received, what users consider to be the major benefits of PTN assistance, and the influence (or lack of influence) of PTN assistance on program adoptions.

Chapter 2 of this report describes how the PTN is structured, and how it has evolved. This provides an important context for the summary of the program's activities in Chapter 3. Chapter 4 presents the results of the interviews with PTN users and non-users. Chapter 5 summarizes the PTN's progress to date in encouraging adoptions of new practices, and describes the kind of role PTN has played in these adoptions. As background for understanding variations in the nature of adoptions, Chapter 5 also provides a classification of the different developer/demonstrator practices according to their ease of implementation and transferability. Chapter 6 briefly summarizes the PTN's costs, and Chapter 7 provides a summary assessment of the PTN's accomplishments and presents recommendations about areas in which improvements in the program could be made.

2. STRUCTURE AND EVOLUTION OF THE PTN

2.1 PROGRAM CONTEXT¹

In 1974, UMTA established the Service and Methods Demonstration (SMD) program, with the purpose of promoting the development and adoption of innovative techniques for improving public transportation services. The SMD program's focus is on relatively low cost, short-range improvement strategies for conventional transit (for example, articulated buses, high occupancy vehicle lanes, bus route restructuring, pricing methods, marketing techniques) and on development of new kinds of paratransit approaches for general and special needs travel (for example, ridesharing, demand-responsive transit, brokerage programs, user-side subsidies).

The SMD program's primary activities have involved demonstrations of new service and management techniques in real world operational environments, rigorous evaluations of the costs, impacts, and implementation requirements of these demonstrations, and dissemination of evaluation findings in a variety of publications to appropriate audiences. In addition, SMD has sponsored a variety of conferences, seminars, and workshops and, since 1980 has provided funding for interested local officials to visit certain demonstration sites (through the SMD Host Program) and gain firsthand knowledge of project operations.

In an effort to identify ways to improve the dissemination of SMD findings, UMTA sponsored a study on the diffusion of mass transportation

¹Portions of this section are based on a May 1983 memorandum to the record prepared by Carol Everett of the Urban Institute titled "An Evaluation of the Pilot Developer/Demonstrator Project."

innovations by the Stanford Institute of Communications Research in 1978. This study emphasized the importance of personal communication in the diffusion of new ideas, and recommended that SMD pursue a peer-to-peer approach--making use of persons responsible for successful transportation programs as assistance providers, with regional facilitators to identify priority resources and needs.

Following this study, a highly successful innovation diffusion program featuring peer assistance in the U.S. Department of Education was identified. This program, called the National Diffusion Network (NDN), had been in operation since 1975, serving as an effective means of transferring successful practices (for example, dropout prevention programs, and physical education for disabled students) to school districts across the country. The NDN features:

- a Dissemination Review Panel which validates particular education programs as effective and worthy of diffusion based on objective evidence;
- Developer/Demonstrators (D/D's) of certified programs who are funded to build interest about, and encourage and assist adoption of their programs among their peers; and
- state facilitators who are "well-connected" to the different school districts in their states and knowledgeable about issues and solutions so that they may effectively link appropriate D/D's to potential adapters of validated programs.

The NDN was recognized as an excellent model for the development of a similar program for diffusing new transportation practices. An analysis of the NDN's transferability conducted for UMTA by the Urban Institute concluded that SMD could increase its effectiveness through a more active approach to encouraging actual adoption of new practices such as the one in use by the Department of Education. Specifically, it was recommended that SMD:

- develop a process for soliciting information on locally developed innovations,
- establish standardized procedures for submitting and evaluating information on innovative practices,
- form a review panel of experts to validate exemplary practices,
- fund the developers of exemplary practices to provide assistance to other communities interested in implementing similar innovations, and
- establish facilitators to match potential adopters with funded developers.

Subsequently, a pilot project was carried out by the Urban Institute in 1982 to test the feasibility of the D/D concept. This project identified and enlisted participation of three D/D's (from an initial list of 50 candidates), based on the following screening criteria:

- the innovation was still in use and had a good communicator on site,
- the innovation was small (e.g. adoptable within a year and requiring few institutional changes),
- the innovation would be of interest to a number of other communities, and was a good example of its kind,
- the innovation exhibited positive and significant impacts, and
- the innovation had costs and benefits which could be satisfactorily measured using readily available information.

The three candidate D/D projects were:

- use of transportation coordinators to achieve employer ride-sharing goals at three San Francisco hospitals,
- discounted Metro passes for low-income riders (eligible public assistance recipients) in Arlington County, Virginia, and
- control of transit employee absenteeism.

The three candidates were assisted in the development of submissions documenting the effectiveness of their programs, and brought before a small

UMTA certification panel assembled as part of the pilot project. The panel certified the three projects as exemplary.

The pilot project concluded that the D/D concept was indeed transferable, and that developers of innovative transportation practices will participate in an UMTA review process and make themselves available at low cost to tell potential adopters about their innovations.

Concurrently with the pilot D/D project, UMTA funded another series of pilot projects, carried out by the consulting firms of Homitz, Allen & Associates and Crain & Associates to demonstrate the use of workshops and low-cost, quick response technical assistance techniques, involving telephone assistance and referrals on a variety of topics from transportation experts.

In February 1983, a "diffusion program" was formally established by SMD to continue the efforts begun in the two pilot projects. This new diffusion program was given the name "Public Transportation Network" in the fall of 1983. The structure of the PTN, and how it has evolved is discussed in the following sections of this chapter.

2.2 DEVELOPMENT OF THE PTN

The consulting firm of Crain & Associates in Los Altos, California was awarded a contract to manage the PTN, and serve as the PTN's National Office. Crain, in turn, issued subcontracts to the Urban Institute and two other consultants--Homitz-Allen, and the Urban Partnership to provide assistance in the PTN's development and operation. The PTN was structured to include the basic components of the NDN: Regional Facilitators (RF's) responsible for particular geographic areas, Developer/Demonstrators

(D/D's) to provide assistance to their peers, and a Dissemination Review Panel (DRP) to certify D/D practices as exemplary and transferable. It was decided, however, to have PTN facilitators be responsible for UMTA regions, rather than individual states as in the NDN, and to define the role of D/D's in the PTN a bit differently. In the NDN, D/D's operate like salesmen, and receive financial rewards for stimulating adoption of their projects. In the PTN, a less active role was established for D/D's--they primarily operate in a reactive mode; their involvement is for the most part triggered by RF's, and they don't receive any significant financial incentives for participating, other than reimbursement for their travel expenses (and in certain instances, their time).

While it was agreed that ultimately the PTN's primary function would be to encourage the adoption of D/D practices, initially a broader program of assistance was provided, including participating in workshops, quick-response telephone assistance and referrals on a wide range of public transit-related topics, and funding of limited on-site assistance from both transportation experts (consultants and university researchers) referred to as "resource people," and practitioners who had not been certified as D/D's (peers). Thus, at the beginning, the PTN promoted itself as a one-stop shopping service, for people to call and be provided with or referred to technical assistance appropriate to their needs. Later, as the program evolved, and a reasonable number of D/D programs had been certified, the focus shifted to providing assistance primarily from D/D's and peers. The use of resource people was for the most part phased out, and the direct provision of technical assistance by facilitators was de-emphasized in favor of their serving a stricter brokering function.

In the PTN's first year, efforts were divided between responding to a wide variety of technical assistance requests, and putting the different components of the program's structure into place. Early on, a Guidance Committee composed of representatives of different transportation agencies and organizations was established in order to provide the PTN with general policy input, linkages to the user community, and referrals to potential D/D candidates.

Job descriptions for RF's were defined, and a Request for Proposals was prepared and sent to potential candidates. Six proposals were received, three finalists were interviewed, and two of the three were selected. It was decided to operate the PTN with only two RF's at the beginning, with the addition of more regions after the program had been in operation for a while, and had a critical mass of D/D programs to promote. The two RF's selected were:

- James Miller of the Pennsylvania State University, Pennsylvania Transportation Institute (College Park, PA)
- David Cyra of the University of Wisconsin Extension-Milwaukee, Office of Statewide Programs (Milwaukee, WI)

The facilitator at Penn State was given responsibility for UMTA Region III, which includes five states (Pennsylvania, Virginia, West Virginia, Maryland, Delaware) and the District of Columbia. The University of Wisconsin facilitator's territory was designated initially to be three states in UMTA Region V (Wisconsin, Minnesota, and Illinois), and was subsequently expanded to include all other Region V States (Indiana, Michigan, and Ohio). It was decided that the PTN National Office would serve as a facilitator for the portions of the country not covered by an

RF. Contracts with the RF's called for them to spend approximately half of their time on PTN activities.

A 26-member UMTA Dissemination Review Panel (DRP) was established, representing expertise in a range of areas related to potential D/D programs, including transit marketing, pricing, human resource management, private sector involvement, special needs transportation, and para-transit. A large pool of candidate D/D's were identified and contacted to enlist their participation. Those agreeing to participate were assisted through the process of preparing documentation of their programs, and in January of 1984, almost one year after the PTN's initiation, a first set of D/D's were certified by the DRP.

2.3 PTN STRUCTURE AND ORGANIZATION

Figure 2.1 provides an overview of the PTN organization. UMTA's SMD Office oversees, supports, and provides overall policy direction for the PTN. UMTA staff members serve on the DRP, which reviews and certifies D/D programs. The PTN National Office is operated by Crain & Associates, and serves the functions of overall program administration; development, production, and distribution of information materials about the PTN; reimbursement of the expenses for D/D's and other technical assistance providers; and management of subcontractor activities. The National Office also houses the PTN National Facilitator.²

²The consulting firm of Homitz-Allen was originally under subcontract to Crain & Associates to play the National Facilitator role and to participate in various other aspects of PTN development. These responsibilities were shifted to Crain & Associates in August 1984 when the key Homitz-Allen employee involved in the PTN changed jobs.

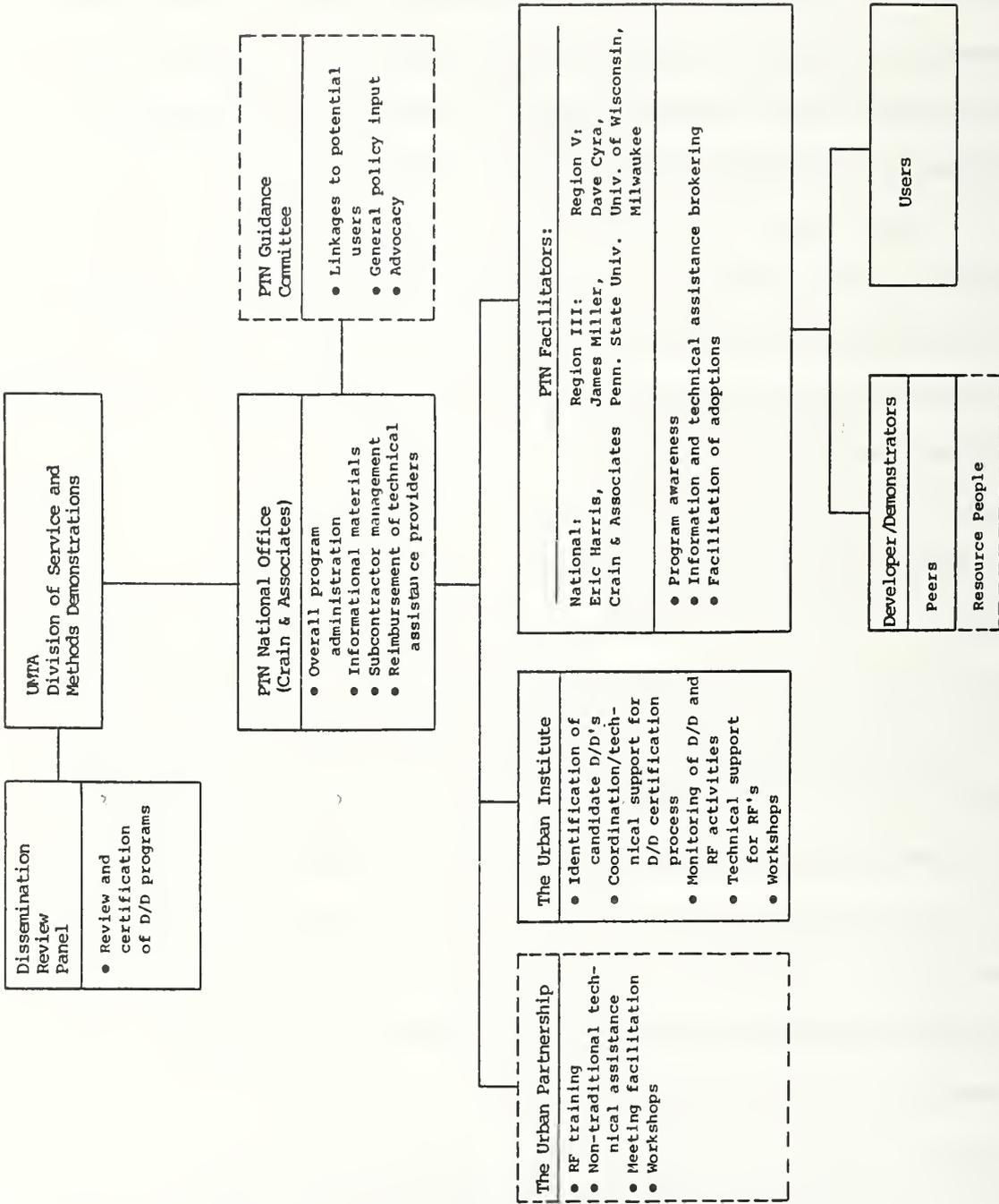


FIGURE 2-1 PTN ORGANIZATION

The PTN Guidance Committee, as described earlier, was established to provide PTN with a link to potential users (in addition to that provided by RF's), and to provide policy input and advocacy for the program. This committee only met as a group once in the PTN's first two and one half years of existence and has not played a major role in PTN's development. Its members were relied upon as resources, however, and some maintained an active interest in the PTN.

The National Office subcontracts with the Urban Institute to identify candidate D/D's, provide coordination and technical support for the D/D certification process (including assisting D/D's in preparing their sub-missions on their program impacts), and periodically monitor and assist D/D's and RF's with their activities. The Urban Institute has also been involved in PTN workshop activities.

From February 1983 to January 1985, the Urban Partnership, a Washington based consulting practice, was a PTN subcontractor with responsibility for training RF's, and developing non-traditional technical assistance methods for the PTN to use, such as focus groups, techniques for improving the climate within agencies for adoption of new practices, and developing program implementation strategies. In addition, the Urban Partnership facilitated PTN meetings and participated in several workshops.

The PTN National Office also subcontracts with RF's in UMTA Regions III and V. The RF's and the National Facilitator are responsible for establishing awareness of the PTN in their areas, brokering information and technical assistance, and facilitating adoptions of D/D practices. Their jobs involve identifying potential PTN users, assessing their needs,

and matching them up with technical assistance--from D/D's if an appropriate one exists, or from other relevant transportation agency employees (i.e., peers). As stated earlier, referrals to consultants (i.e., resource people) were provided early on, but have been substantially de-emphasized.

3. DESCRIPTION OF PTN ACTIVITIES TO DATE

3.1 OVERVIEW

This chapter summarizes the PTN's activities to date, describes the kinds of strategies which have been pursued and the major issues which have been faced in four areas:

- establishing program identity (Section 3.2)
- assembling technical assistance resources (Section 3.3)
- serving as a technical assistance broker (Section 3.4)
- promoting and assisting the adoption of improved practices (Section 3.5)

In each of these areas, information from PTN records is summarized, indicating both the level and nature of activities accomplished. Under program identity, lists of published articles about PTN, and presentations about the PTN at conferences and workshops are provided. Under assembling technical assistance resources, the certification of D/D programs over time is described. In the section on serving as a technical assistance broker, general technical assistance activities which have not involved D/D programs are presented. Finally, the section on promoting adoption of improved practices includes lists of D/D awareness and D/D assistance activities. In order to provide a sense of how PTN's activities have changed over time, all activities are listed chronologically, and grouped into year one of the PTN (February 1983-January 1984), year two (February, 1984-January 1985), and year three (February 1985-August 1985).

It should be noted that most PTN activities do not clearly fall into only one of the above categories. For example, attendance by a facilitator

and a D/D at a workshop to describe the D/D program and how the PTN can provide assistance with implementing this program can be classified as both program identity and promoting D/D programs. However, each activity was assigned to only one category. Any awareness activity featuring a D/D presentation, or focusing only on one specific D/D program was assigned to D/D awareness. Any assistance activity involving a D/D was assigned to D/D assistance, even if non-D/D's (such as peers or resource people) were involved as well.

3.2 ESTABLISHING PROGRAM IDENTITY

The PTN has used a variety of strategies to inform potential users about what it is, and the kinds of assistance it offers. Primary awareness strategies have included:

- published articles in periodicals and newsletters,
- national and regional mailings of PTN information,
- distribution of PTN information at conferences and workshops,
- presentations on the PTN and specific D/D programs at national and local conferences and workshops, and
- networking with a variety of organizations and individuals

Table 3-1 lists publications in which articles on the PTN have appeared.³ These include national publications such as Passenger Transport, the American Public Transit Association (APTA) weekly newspaper for the transit industry, the Transportation Research Board (TRB) Paratransit Newsletter, and local newsletters of transit associations in California, Wisconsin, and Illinois. These articles have been moderately

³Copies of selected articles on PTN are provided in Appendix A.

TABLE 3-1

PUBLISHED ARTICLES ON PTN IN PERIODICALS/NEWSLETTERS

Date	Publication
December 1983	ARP News (Association of Ridesharing Professionals)
May 1984	RTAP Newsletter (FHWA Rural Technical Assistance Program)
July 1984	Passenger Transport
September 1984	CAPOTS Newsletter (California Association of Publicly Operated Transit Systems)
September 1984	TRB (Transportation Research Board) Paratransit Newsletter
November 1984	Rural Transportation Reporter (Rural America)
December 1984	TIME Capsule (Newsletter of UMTA's Transit Industry Microcomputer Exchange User Group)
January 1985	Grassroutes (FHWA Rural Technical Assistance Program Newsletter)
May 1985	Wisconsin Urban Transit Association Newsletter
March 1985	CAPOTS Newsletter
July 1985	Illinois Public Transit Association Newsletter

successful at generating inquiries about the PTN, particularly when descriptions of specific D/D programs have been featured.

Mass mailings of PTN information to date have included:

- An introductory letter, description of D/D projects, and needs questionnaire mailed by the Region V facilitator to 125 representatives of conventional transit agencies, and Metropolitan Planning Organizations (MPO's), State DOT's, and State Transit Associations in Illinois, Minnesota, and Wisconsin (February, 1984)
- A letter from the PTN National Facilitator to 38 personal contacts (primarily California transit agencies) describing the PTN (August 1984)
- A letter describing PTN from the UMTA Region IX office to 130 transit agencies in California, Arizona, Nevada, and Hawaii (March, 1985)
- A letter describing the PTN and highlighting four D/D programs from the PTN National Office to 340 agencies nationwide (April, 1985)

Large scale mailings have not been a major focus of PTN's marketing/awareness activity. While the mailings which have been made have resulted in a number of requests for PTN information and/or assistance, other, more personalized and focussed strategies have been preferred by PTN facilitators.

Presentations on the PTN and/or distribution of PTN information at local and national conferences, workshops, and meetings have been the most extensively used awareness strategy. These have included national conferences (e.g., the Association of Ridesharing Professionals (ARP), APTA, TRB), state/regional conferences and specialized workshops training courses and meetings.

These awareness activities have been divided into two categories-- those which featured only general information on what the PTN offers and

how to use it, and those which featured presentations about particular D/D programs (primarily by D/D's themselves). A list of awareness activities in the first category (general) is provided in Table 3-2. While the latter category of activities typically included general PTN information in addition to D/D program descriptions, these activities are described in Section 3.5, which deals with the PTN's role in promoting and assisting with adoption of D/D practices.

It should be noted that records on conferences and workshops only include those which PTN provided financial support for (primarily speakers' travel expenses), or which PTN facilitators attended. It is likely that PTN has been promoted informally at other events by D/D's, members of the Guidance Committee, UMTA staff, and others.

Networking, or use of "the grapevine" has been another important awareness strategy. The PTN National Office and the RF's have devoted considerable effort to contacting a variety of organizations, informing them about the PTN, and exploring ways of coordinating technical assistance activities. Networking activities have included contacts with:

- UMTA and Federal Highway Administration (FHWA) regional offices in regions III, V, and IX
- State Departments of Transportation (DOT's) in Regions III, V, and IX (primarily representatives of technical assistance programs)
- State Transit Associations (CA, PA, VA, IL, WI, IN)
- the Los Angeles County Transportation Commission (LACTC)
- International City Managers Association (ICMA)
- National Association of Counties (NAC)
- National Association of Regional Councils (NARC)

TABLE 3-2

PTN AWARENESS ACTIVITIES

	<u>Date</u>	<u>Region</u>	<u>Description</u>	<u>Attendees</u>
Year 1:	9/83	National	Presentation to meeting of transit agency general managers in Region VII-Omaha, NE	N/A
	10/83	V	Presentation Wisconsin Urban Transit Assn. Meeting, Appleton, WI	80
	11/83	V	PTN Booth at Illinois Public Transit Assn. Meeting, Peoria, IL	120
	12/83	V	Presentation to transit manager training session at U. Penn	N/A
	1/84	III	Presentation at Urban Institute workshop on E&H transportation, Harrisburg, PA	25
	1/84	V	Presentation at Chicago MTA conference on paratransit service delivery, Chicago, IL	N/A
Year 2:	2/84	National	Region III and V facilitator attendance at APTA rural workshop, Lake Lucerne, NY	100 (est.)
	3/84	V	Presentation at Illinois Paratransit Ass'n Meeting, Springfield, IL	N/A
	4/84	V	Attendance at UMTA Region V Technical Assistance Day	10 (est.)
	4/84	III	Presentation at Pennsylvania Mass Transit Conference, Hershey, PA	N/A
	4/84	III	Presentation at Virginia Public Transit Seminar, Charlottesville, VA	25
	4/84	III	Facilitator meeting with Northern Virginia Planning Commission	N/A

TABLE 3-2 (Cont'd)

<u>Date</u>	<u>Region</u>	<u>Description</u>	<u>Attendees</u>
5/84	V	Presentation at APTA Rural Workshop Bloomington, IN	70
5/84	V	Presentation at Minnesota Public Transit Assn./Wisconsin Urban Transit Assn. Joint Meeting	40
6/84	V	Presentation at University of Wisconsin Extension (UWEX) transit management workshop	20
7/84	V	Presentation and booth at ATE Meeting, Cincinnati, OH	28
7/84	V	Presentation at UWEX Rural/Spe- cialized Workshop	25 (est.)
8/84	National	Presentation at Alabama DOT work- shop on routing and scheduling	N/A
8/84	III	Presentation at APTA rural and dis- advantaged providers workshop, Harpers Ferry, WV	80
8/84	V	Presentation and booth at Indiana Transit Assn. Conference	40
9/84	National	Presentation at Region IX IPG Meeting, Tuscon, AZ	50
10/84	III	Presentation at Virginia Assoc. of Public Transit Operators (VAPTO) board meeting, Roanoke, VA	40
11/84	V	Presentation at Illinois Public Transit Association Meeting Rockford, IL	N/A
12/84	III	Presentation at Pennsylvania Assn. for Consolidated Transportation (PACT) meeting, Indiana, PA	N/A
1/85	National	Presentation at TRB Transit Manage- ment and Performance Committee	25
Year 3: 2/85	III	Presentation at APTA Rural and Human Service Providers Workshop, Charlottesville, VA	25

TABLE 3-2 (Cont'd)

<u>Date</u>	<u>Region</u>	<u>Description</u>	<u>Attendees</u>
2/85	National	Presentation at APTA Eastern Conference, to Task Force on Rural and Disadvantaged Transportation	12
3/85	National	Attendance at Rural Transit Coalition meeting, Nevada City, CA	N/A
3/85	National	Presentation at APTA Security Workshop, Oakland, CA	40
4/85	V	Presentation at International City Managers Assn. (ICMA) Meeting, Downers Grove, IL	N/A
5/85	V	Presentation at Ohio DOT Vehicle fair	N/A
5/85	National	Presentation at California Assn. for Consolidated Transportation (CAL-ACT) Meeting, Sacramento, CA	N/A
5/85	National	Attendance at Alameda Paratransit Coordinating Council Meeting	N/A
5/85	V	Participation in Ozaukee County (WI) Office of Elderly Assistance, committee on rural transportation meeting	10
6/85	National	Presentation at APTA Eastern Conference, Norfolk, VA	100 (est.)
7/85	V	Presentation at Small Vehicle Safety and Selection Workshop, Appleton, WI	N/A
7/85	National	Presentation at APTA Rural/Specialized Workshop, Madison, WI	N/A

- American Association of State Highway and Transportation Officials (AASHTO)
- APTA
- Rural America
- International Downtown Executives Association (IDEA)
- Public Technology, Inc. (PTI)
- Other UMTA technical assistance programs (Technology Sharing, TIME Center, Resource Center on Transit Pricing)

For example, the PTN facilitator in Region V has obtained agreements from representatives of the State DOT's in his region to be formal PTN liaisons. These liaisons are kept informed of PTN activities in their states, and refer agencies which may be interested in D/D programs to the PTN facilitators.

Relationships with the various organizations listed above have resulted not only in referrals (in both directions), but have also provided opportunities for PTN involvement and/or distribution of PTN literature at different workshops and conferences, and publication of PTN information in newsletters.

While it appears that the PTN has devoted considerable effort to promoting itself through a range of techniques which have reached appropriate audiences, it is difficult to estimate the number of people who have been made aware of PTN. This is both because records on attendance at PTN presentations are incomplete, and because records of people informed through the grapevine--which is potentially the most effective strategy--are non-existent. However, available records do indicate that the PTN facilitators have made contact (telephone, mail, or personal) with all state transit and paratransit associations, state DOT's, and a majority of

conventional public urban transit operators in their regions.⁴ Less effort has been devoted to establishing contact with smaller transit and paratransit operators (Section 18 and 16(b)(2)), and private providers due to the large number of these agencies, and the sense that very small operators are less receptive to innovations.

More insight into the effectiveness of PTN's awareness strategies is provided in Section 3.4, which summarizes the PTN's activities to date related to D/D's, and in Chapter 4, which presents results of interviews with PTN users and non-users, including their level of understanding of what PTN is, and the channels through which they were informed about the PTN.

3.3 ASSEMBLING TECHNICAL ASSISTANCE RESOURCES

In the first year of the PTN, considerable effort was spent in assembling a variety of assistance resources. In addition to the identification and certification of D/D's (discussed in more detail below), the PTN National Office established a library of publications on various transportation programs, developed a catalogue of U.S. Department of Transportation (USDOT) technical assistance and grant programs in order to provide referrals and avoid duplication of activity, and assembled a catalogue of over 75 resource people.

The resource people were primarily consultants and university personnel with expertise in particular areas (e.g., evaluation, bus route planning, paratransit). It was envisioned that PTN facilitators could

⁴The PTN National Facilitator has focussed active awareness efforts in the State of California.

make referrals to (and partially support assistance from) these resource people when they received assistance requests which would not be appropriately met by a certified D/D. While some resource people were used initially, they were, for the most part, phased out by the end of the PTN's second year. This was done primarily to focus PTN efforts more on promotion of D/D programs, but partly also in response to concerns that the PTN should not be supporting (or competing with) private consulting services, and the PTN National Office should not be put in the position of selecting particular consultants.

While the use of resource persons was phased out, the PTN has identified and makes use of people who are termed "peers". Peers are generally employees of transportation organizations (public and private) who are knowledgeable about particular innovations but who have not been officially certified as D/D's. Several persons initially utilized as peers have subsequently become D/D's.

D/D's are the PTN's primary assistance resource. Figure 3-1 illustrates the certification of D/D's over time. The first DRP meeting of the PTN occurred in January 1984, at which time six D/D's were certified, which brought the number of D/D's to nine, as three had already been certified as part of the Urban Institute's pilot project. As of the end of August 1985, 28 D/D's had been certified.

Figure 3-2 presents the PTN's D/D catalogue (current to August 1985). Four D/D programs are in the category of conventional transit service improvement (timed transfers, HOV lanes, security and safety information systems); five relate to elderly and handicapped transit service alternatives (user-side subsidies, brokerage, human service agency

CUMULATIVE
NO. OF D/D's

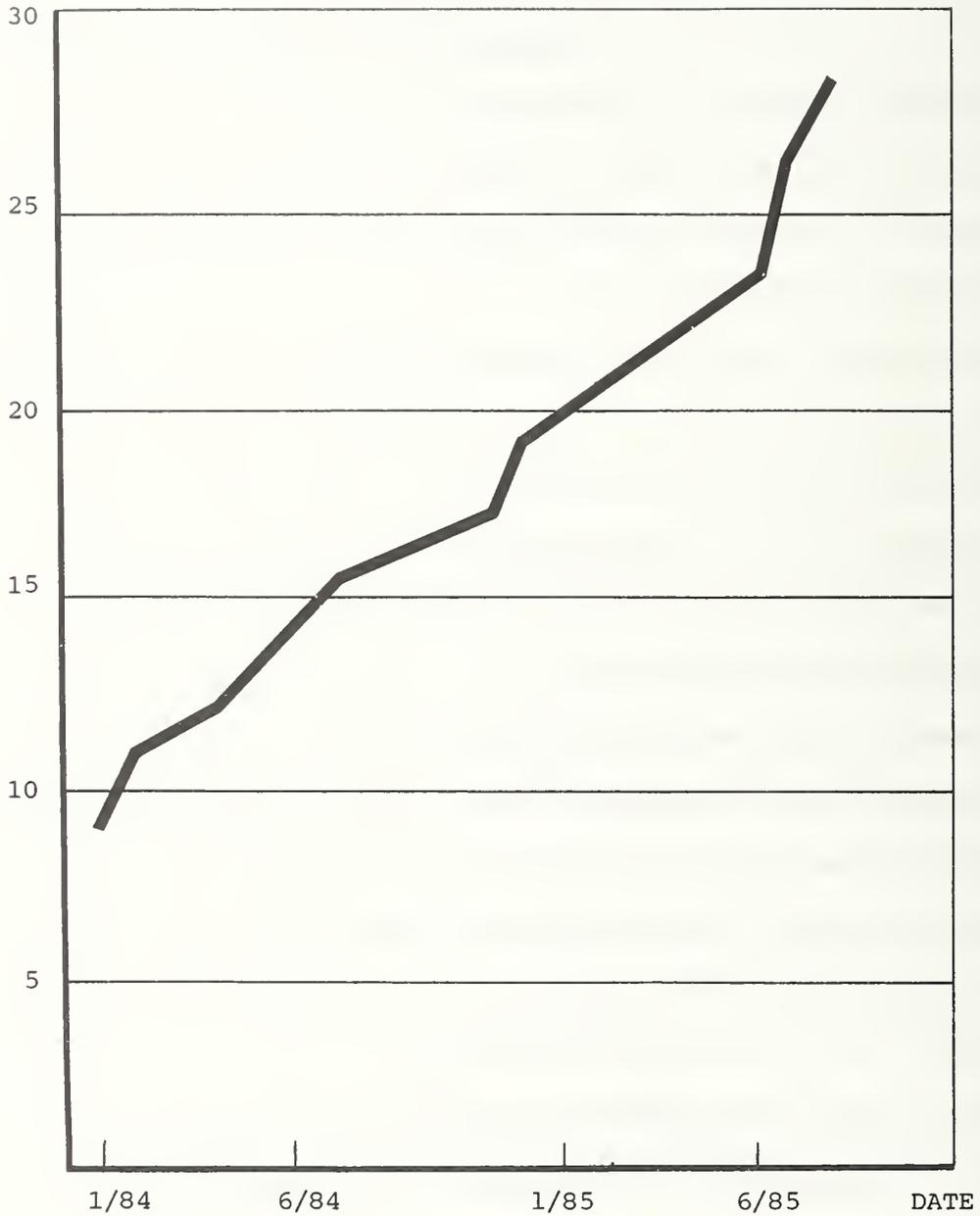


FIGURE 3-1 CERTIFICATION OF DEVELOPER/DEMONSTRATORS

CATALOG OF CERTIFIED DEVELOPER DEMONSTRATORS



Public
Transportation
Network

UMTA Technical Assistance Program

These programs have been proven to save money, improve service and win support for public transportation. Many of them have already been successfully transferred to other sites. The people who have developed and operate these programs are available

to assist you to implement them and achieve similar benefits. The cost to you for their assistance will be minimal. Programs marked with an asterisk feature private sector involvement.

Conventional Transit Service Improvements

PROGRAMS

Timed Transfers. Synchronized transfers between regional trunk lines and reoriented local lines has resulted in improved service, better vehicle utilization, and higher ridership.

Transitways on Existing Freeways. Barrier separated one-way transitways have been developed in the median strip on 15 miles of freeway. Construction cost is low, transit speeds are improved, capacity is increased, and existing freeway lanes are not affected.

Implementation of Commuter Lanes. Careful planning and implementation of an HOV Lane addition to the San Tomas Expressway has resulted in substantial commute-time savings, increased ride-sharing, increased express bus transit use, and reduced congestion, without public opposition.

Information System for Transit Security and Safety. A microcomputer-based system simplifies data-management and produces more reliable statistical information, faster, to develop more effective transit crime and accident prevention strategies.

REPRESENTATIVES

Ken Stanley, Manager of Scheduling, Portland Tri-Met. Certified June 1984.

Robert Taube, Director, Bus Facility Project Management, Houston Metro. Certified December 1984.

James R. Lightbody, Transit Service Development Manager, or **James L. Cardwell,** Supervising Engineer, Santa Clara County Transportation Agency, (San Jose, CA) Certified July 1985.

Anne Nolan, Manager, Public Safety Division, South-eastern Michigan Council of Governments. Certified August 1985.

Elderly and Handicapped

User-Side Subsidy.* Private taxi operators and van companies provide unrestricted subsidized service to 5,000 severely handicapped persons at a reasonable cost per trip. The service's success lead to dropping of a suit seeking fixed-route accessibility.

Paratransit Brokerage.* A private contractor (ACCESS) designs, contracts for, and administers paratransit services, but does not operate them. In 1984, seven taxicab operators and four nonprofit agencies provided 21,000 trips per month to clients of 45 human service agencies, as well as unaffiliated disabled individuals.

Thomas Knight, Special Transit Services Coordinator, Milwaukee County Department of Public Works. Certified January 1984.

Thomas Letky, Manager of Elderly and Handicapped and Public Services, Port Authority of Allegheny County (Pittsburgh, PA), or **Ervin Roszner,** Manager, ACCESS. Certified February 1984.

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FIGURE 3-2 CATALOG OF CERTIFIED DEVELOPER DEMONSTRATORS

Elderly and Handicapped (con't)

PROGRAMS

Accessible Fixed-Route Service. A committed program of implementing reliable fixed-route, lift-equipped service has led to the highest level of lift ridership in the U.S., with costs per trip lower than many door-to-door services.

Integrated Specialized Transportation.* A transportation broker matches the resources of private providers with requests of human service agencies, and arranges elderly and handicapped transportation for the transit operator. Benefits are better mobility, reduced costs, and coordination of funding resources.

Conversion of D.A.R. to User-Side Subsidy.* More than 5,000 handicapped residents are now served by 18 taxi companies, 4 social service agencies, and 2 wheelchair carriers. The program has improved service quality, reduced cost per trip, involved the private sector, and helped allocate resources more equitably among users.

REPRESENTATIVES

B.J. Carol, Supervisor of Customer Assistance, Seattle Metro. Certified June 1984.

David Griffiths, Executive Director, Lancaster Integrated Specialized Transportation System (LISTS), Lancaster, PA. Certified November 1984.

Barbara Lupro, City Paratransit Administrator, City of San Diego. Certified July 1985.

Marketing

Subsidized Passes. County general funds are used to provide transit passes to low income households at nearly a 50% discount, reaching 40% of those eligible at costs well under those of a specialized system; fare levels can now be considered apart from subsidy issues.

Flex-Time Promotion.* By promoting flex-time to employees, 25 downtown workplaces with 20,000 employees were converted to flex-time, causing reduced solo driving and increased transit use.

Transit Operator Ridesharing Services. Ridesharing services integrated with transit operations have expanded the population served by the transit operator, increased the incidence of ridesharing and transit ridership, and acted as an effective image builder and marketing tool.

Bank-Sponsored Free-Fare Day.* A bank "purchased" the transit system for the day after Thanksgiving, providing opportunities for joint marketing, doubling the normal ridership, and increasing sales for merchants.

Automated Information Directory System. A computerized system helps telephone information agents plan callers' itineraries and provide other transit information. Agents' job satisfaction, productivity and accuracy have improved; more management information is available and other functions benefit from the availability of a computerized data base.

Mark Jinks, Budget Director, Department of Management and Finance (Arlington, VA). Certified October 1982.

Candace Carlson, Supervisor of Market Development, Seattle Metro, Commuter Pool Division. Certified January 1984.

Marian Ott, Assistant General Manager, Metropolitan Transit Authority (Nashville, TN). Certified April 1984.

Al Babinicz, Director of Marketing, Central New York Regional Transportation Authority (Syracuse, NY). Certified December 1984.

Michael Noonchester, Assistant Director of Marketing, Washington Metro. Certified June 1985.

New Service Concepts

PROGRAMS

Taxi Feeder.* A taxi operator under contract provides services to and from bus transfer points in low density suburban areas. Costs per passenger are much lower than for previously discontinued fixed-route service, and riders are happy with the service.

Contracting for Transit Service By Taxis.* A local taxi company provides late night public transportation service under contract, allowing the Authority to extend its service hours at a low total cost and low cost per trip. Taxis also provide elderly and handicapped service.

Volunteer Transportation. Nonprofit neighborhood corporations schedule trips using volunteer drivers and vehicles purchased and maintained with public funds. The program provides low cost transportation and fosters a sense of dignity, participation, and responsibility.

Sunday Dial-a-Ride Provided by Taxicab Contractor.* The city contracts with a taxi company to provide city-wide, general public dial-a-ride service on Sundays and holidays. The service costs much less than it would have cost to extend the regular fixed-route operation to Sundays and holidays. The predominantly transit-dependent users like the service and the added mobility it gives them.

Low-density Transit Service by Private Providers.* Private carriers, paid on a competitively bid, hourly rate, provide cost-effective fixed-route or limited demand responsive service to residents in low density and topographically hard-to-reach areas.

Stimulating the Supply of Private Transportation Services.* A thorough revision of San Diego's paratransit regulations has resulted in a dramatic increase in the amount and variety of taxicab and jitney services, improved the level of service, enhanced business opportunities for small taxicab operators, reduced administrative costs, and stabilized taxicab rates.

REPRESENTATIVES

Sandra Showalter, Paratransit Coordinator, San Diego Transit Corp. Certified January 1984.

G. Christopher White, Manager of Service Development, Ann Arbor Transportation Authority, Certified January 1984.

Ira Doom, Executive Director, Greensboro Agency Transportation Express (GATE), Greensboro, NC. Certified November 1984.

Sharon Dent, Assistant Public Transit Director, Phoenix Public Transit Administration. Certified June 1985.

Karen Rosenzweig, Transit Planner, Seattle Metro. Certified July 1985.

Elaine M. Balok, assistant to the City Manager, and Barbara Lupro, Paratransit Administrator, City of San Diego. Certified August 1985.

Personnel Management

Employee Performance. A new set of procedures to monitor and control absenteeism reduced days lost due to absences, allowed the extra operator list to be reduced, and cut back on worker's compensation claims and unscheduled overtime.

Dennis J. Fitzgerald, General Manager, Capital District Transportation Authority (Albany NY). Certified October 1982.

Personnel Management (Con't)

PROGRAMS

Labor Management Committees. Establishing an executive-level Labor Management Committee and lower-level LMCs has led to improved morale, introduction of a profit center concept for measuring performance at the shop level, and dramatic improvements in labor relations, vehicle availability, shop productivity, and overtime costs.

Group Supervisors. A program of decentralized bus operator supervision has increased monitoring of operator performance and attendance, and sharply reduced operator absenteeism. The program uses 26 dispatchers and supervisors, trained in personnel management and communication skills, each with direct responsibility for a group of operators.

Video Testing. Potential operators are tested using a 90-minute video depicting 65 problematic situations encountered by bus drivers. Test results are computer coded and analyzed. The test is nondiscriminatory, and operators hired with it have better performance records than those hired without it.

Taxicab Driver Training.* Prospective taxi drivers complete a 17-hour course on taxi rules and regulations, local geography and map reading, public relations, and defensive driving. Complaints about taxi drivers have dropped by 50%, drivers find the course useful, and business interests are supportive.

Team Competition. Employee teams, including drivers, maintenance personnel and supervisors, compete in The Contest to win prizes by excelling in desired performance traits. The Contest has improved attendance, adherence to rules, and communication among drivers, mechanics and supervisors.

REPRESENTATIVES

Ronald Contino, Deputy Commissioner, New York Bureau of Motor Equipment. Certified January 1984.

Frank Shipman, Director of Employee Relations, San Diego Transit Corp. Certified February 1984.

Kate Riley, Test Development Analyst, Seattle Metro. Certified April 1984.

Gary Green, Assistant Director, Department of Consumer Services, City of Dallas, or **Nancy Faris,** Program Director, Continuing Education, El Centro Community College. (Dallas, TX) Certified June 1985.

Joseph Calabrese, Assistant General Manager, Central New York Regional Transportation Authority (Syracuse, NY). Certified June 1985.

Planning

PROGRAMS

Route Performance Monitoring System. Use of a microcomputer program to develop and track route performance measures has helped target routes for modification, monitor the effectiveness of modifications, and improve staff's ability to present recommendations for service changes to the board.

REPRESENTATIVES

Chuck Cohen, Senior Planner, Capital District Transportation Authority (Albany, NY). Certified July 1984.

Statewide

Joint Insurance Purchase. Joint purchase of transit insurance by 14 small municipalities has reduced costs by 47% and brought improved risk management programs.

James Beckwith, Chief of Public Transit Section, Wisconsin Department of Transportation. Certified January 1984.

FIGURE 3-2 (con't)

coordination, and accessible fixed-route bus service); five are marketing-oriented (subsidized transit passes, flex-time promotion, transit agency ridesharing services, free-fare days, automated passenger information systems); six are new service concepts (use of taxis as feeders or as substitutes for buses at night or on weekends, contracting with private providers, paratransit regulatory reform; volunteer transportation); six are in the personnel/human resource area (labor-management committees, group supervisor programs, operator video testing, taxi driver training, performance-based team competition); and one program is state-wide in nature (joint purchase of transit insurance by multiple operators). Twelve of the D/D programs feature private-sector involvement reflecting the growing level of interest and initiatives in this area.

The D/D certification process works as follows:

1. The PTN identifies candidate practices (through a variety of sources including UMTA staff recommendations, expressions of interest from candidates themselves, RF contacts, conferences, articles, etc.)
2. An UMTA staff member agrees to sponsor a candidate practice.
3. The candidate D/D prepares a submission (with assistance as needed from the PTN) including: a brief discussion of the practice to be certified, background data on the setting in which the practice is in effect (target market segments, service area size, population), the names of its developers, the objectives, essential features, operational details, and beneficiaries of the practice, its costs and funding sources, documentation of claims and evidence of effectiveness and an assessment of its transferability.
4. The submission is reviewed by the DRP, and the candidate is interviewed.
5. The DRP members vote to approve or disapprove the practice based on three critical questions:
 - Is there persuasive, objective evidence that the results are significantly improved after using the technique or practice?

- Can we be reasonably confident that the described changes or improvements can be attributed to the described technique or practice and not to something else?
- Is it likely that the technique or practice can be readily adopted with similar success by others?

This is a time consuming process--it has taken between 2 and 12 months (with an average of 6) from the time of initial contact and enlistment of the existing D/D's to the time of certification. A substantial amount of time and effort is involved in preparing submissions, which are typically between 10 and 20 pages in length. Concerns have been raised that the effort involved is a barrier to certification of potentially worthwhile D/D programs. It has been suggested that the certification process be replaced or at least supplemented with an easier, quicker method of identifying exemplary practices which involves less extensive documentation. To some extent, this concern has been addressed through the use of peers. However, the D/D certification process remains an important quality control mechanism ensuring that the PTN's primary emphasis is on transferring programs or practices with well documented benefits.

UMTA approval of D/D practices is valued by PTN users--of 50 users interviewed for this evaluation,⁵ over 70 percent felt that UMTA certification would make it more likely for their agency to consider adopting a D/D practice. In comparison, about one-half of the 27 non-users interviewed (those who had received information about the PTN but had not called for assistance) felt UMTA certification made a difference.

⁵See Chapter 4 for further information on user and non-user interviews.

While some felt that UMTA certification lent credibility, others commented that they rely on their peers (rather than UMTA) for judgements about how well different programs work, and that the primary factor influencing their potential adoption would be the program in question itself.

Aside from issues related to the certification process, the D/D concept appears to be working well. In general, the D/D's are enthusiastic about the PTN, and have a kind of "esprit de corps". For the most part, D/D's appreciate the recognition involved, feel that their PTN involvement enhances the image of their agencies and enjoy providing assistance to other agencies. While they are not paid to promote their innovations on a regular basis, many clearly devote a considerable amount of time to PTN activities. This has presented a problem for some D/D's who have been in high demand regarding the time spent. The PTN has responded by attempting to clarify the amount of time each D/D can devote to the PTN and limit usage of them appropriately, reimburse agencies for D/D's time (in certain cases), and certify multiple D/D's for particular programs or program types (e.g., user-side subsidies).

3.4 SERVING AS A TECHNICAL ASSISTANCE BROKER

One of PTN's key characteristics is that it matches users with technical assistance resources through facilitators who function as assistance brokers. While more and more emphasis over time has been placed on matching users with D/D's (as more D/D's have been certified), the PTN has provided a wide variety of other types of assistance, including:

- telephone assistance on a range of issues,
- referrals to reports, other agencies, and other technical assistance programs,

- funding for on-site assistance from resource people and peers,
- funding for speakers at workshops and conferences,
- general support/assistance with arrangements for workshops, seminars and conference seminars.

Table 3-3 lists PTN technical assistance activities (other than telephone assistance) which have not involved D/D's (D/D related activities are covered in Section 3-5). It can be seen that these activities occurred only in the PTN's first two years. Between February and August 1985, all major PTN activities have involved D/D's.⁶

In addition to the assistance activities listed in Table 3-3, PTN facilitators provided a substantial amount of assistance over the telephone, again primarily in the PTN's first two years. Telephone inquiries were received on a variety of topics, such as advice on ridesharing program design, evaluation methods, estimation of costs and ridership, identification of funding sources, bus routing procedures. Assistance provided included brief advice over the phone, referrals to other agencies or technical assistance programs, and mailing of relevant reports or other materials. In some cases, assistance from peers or resource people was arranged.

3.5 PROMOTING AND ASSISTING ADOPTION OF IMPROVED PRACTICES

Promoting and assisting the adoption of D/D programs is the PTN's primary mission. It involves a number of activities:

- creating awareness of the D/D's

⁶Some activities in the third year have involved peers in addition to D/D's.

TABLE 3-3

GENERAL TECHNICAL ASSISTANCE ACTIVITIES

Date	Facilitator Region	Description	Topic(s)
Year 1: 3/83	National	Resource person assistance to MBTA, Boston, MA	Micromputers
3/83	National	Resource person assistance to El Segundo Manufacturing Association	Ridesharing/surveys
4/83	National	Support for Meadowlands (NJ) Ridesharing Brokerage Conference	Ridesharing
4/83	National	Support for Mayor's Conference in San Juan on publicos	Publicos
4/83	National	Resource person assistance to Utica Transit Authority (NY)	Microcomputers
5/83	National	Resource person, peer assistance with Wichita (KS) Seminar	Development of a new transportation strategy
5-9/83	National	Support for UMTA Operations Planning Workshops in Seattle, Denver, Boston, Harrisburg, Atlanta, and Los Angeles	Operations planning
5/83	V	Support for MTC-St. Paul (MN) Rideshare Workshop	Ridesharing
7/83	National	Resource person assistance to greater Portland Transit District (ME)	Microcomputers

General Technical Assistance Activities (cont.)

<u>Date</u>	<u>Facilitator Region</u>	<u>Description</u>	<u>Topic(s)</u>
8/83	III	Support for Urban Institute workshop, Philadelphia, PA	Handicapped transportation
8/83	III	Peer assistance to the Philadelphia Mayor's Office for the handicapped	User-side subsidy, accessible buses
9/83	III	Support for WMATA workshop	Bus/rail operations productivity and staffing
9/83	National	Support for 1983 ARP Conference	Ridesharing
10/83	National	Support for session at Rocky Mountain Transit Conference	Operations/financial planning
11/83	National	Support for IDEA/UMTA Roundtable	Employer-based ridesharing/transit activities
12/83	III	Support for pilot workshop on Planning Innovative Transportation Services, Harrisburg, VA	Planning
12/83	National	Support for UMTA/APTA Seminar, "Human Resource Dimensions of Productivity," San Diego, CA	Human resources
1/84	National	Support for IDEA meeting session	Ridesharing/transit

General Technical Assistance Activities (cont.)

<u>Date</u>	<u>Facilitator Region</u>	<u>Description</u>	<u>Topic(s)</u>
Year 2: 2/84	V	Funded peer to speak at Urban Institute/MnDOT workshop	Private for profit transportation provider
4/84	III	Facilitator assisted city of Alexandria with user-side subsidy program development	User-side subsidy
4/84	National	Resource person assistance to Tahoe Transportation District	Marketing
7/84	National	Resource person assistance to San Diego Paratransit Administration	Pricing/fare structure
9/84	National	Support for site visits by manager of Montana Paratransit System to other programs in Missouri	Paratransit
10/84	V	Assistance to Michigan and Ohio DOT's from PTN D/D on implementation of a non D/D program	Statewide microcomputer purchase
11/84	National	Peer visit to Rochester Downtown Development Corporation	Downtown management programs
12/84	National	Support for site visit by peer (South Carolina DOT) to Florida DOT	Accounting procedures

- active targeting of agencies who might be receptive to D/D programs
- arranging assistance
- follow-up

In the PTN's second year, facilitators began to focus more of their awareness activities on specific D/D programs, rather than simply providing general information on the PTN. This involved taking one or more D/D's along with them to PTN presentations, and getting D/D's on the program of conferences and workshops to describe their innovations. The Region V facilitator incorporated D/D's into his university extension transit management workshops, and other of his non-PTN activities. All three of the facilitators brought D/D's to state transit association meetings, and to specialized workshops sponsored by transit operators or planning agencies in their areas. Table 3-4 lists D/D awareness activities. It can be seen that these kinds of activities have been increasing--there were none in the PTN's first year, 11 in the second year, and 19 in the first seven months of the third year. This increase is due to the fact that the number of D/D's has been growing, and, accordingly, PTN facilitators have shifted from being primarily brokers of general information and assistance to being primarily concerned with the transfer of D/D practices. It should be noted that Table 3-4 lists only those D/D awareness activities which were funded or facilitated by the PTN. D/D's have attended other events on their own, and promoted the PTN.

In some cases general and D/D awareness activities have led to requests for D/D assistance. In other cases, facilitators have had to identify agencies which might be interested in a D/D program, establish

TABLE 3-4

D/D AWARENESS ACTIVITIES

Date	Facilitator Region	Description	D/D Programs	Attendees
Year 1:		----- None -----		
Year 2: 4/84	V	Participation in Urban Institute/Queen City Metro workshop on paratransit	Taxi feeders	10
5/84	V	Facilitator visit to Milwaukee County Transit, provision of D/D information	Volunteer van programs	NA
6/84	National	Presentation at North Carolina Public Transit forum	Joint insurance purchase	NA
7/84	V	Facilitator visit, provision of D/D information	Employee performance, group supervisors, labor management committees	NA
9/84	National	Presentation at Washington State Transit Conference	Taxi feeders, ridesharing contracting with private providers	75 (est)
9/84	V	Presentation UWEX transit management workshop	User-side subsidy, labor management committees	21
10/84	V	Presentation at UWEX rural/specialized workshop	User-side subsidy	26
10/84	National	Presentations at SCAG Paratransit Advisory Committee Meeting	Taxi feeders	25
10/84	V	Presentation at Toledo Metro Area COG tech transfer workshop on specialized transit alternatives	User-side subsidy, brokerage	50
10/84	National	Presentation at AOA-UMTA National Conference on Transportation for the Elderly and Handicapped	User-side subsidy	220 (at full conference)

TABLE 3-4 (Cont'd)

Date	Facilitator Region	Description	D/D Programs	Attendees
11/84	National	Presentation at CAPOTS conference, Ventura, CA	Video testing	100
Year 3: 2/85	V	Participation in UMTA Region V Technology Sharing Committee meeting	Joint insurance purchase	NA
3/85	III	Presentations at Penn State workshop on paratransit dispatching and scheduling, Pittsburgh, PA	Integrated specialized transportation	28
4/85	V	Participation in meeting of Winnebago County Committee on Aging, Oshkosh, WI	Brokerage, integrated specialized transportation	NA
4/85	V	Presentation at UWEX rural/specialized workshop	User-side subsidy	27
4/85	III	Presentation at PAMTA Conference	Employee performance	110
4/85	National	Presentation at APTA Western Conference, San Antonio, TX	Video testing, group supervisors	NA
5/85	V	Presentations at UMTA Region V State Technical Assistance Meeting	Taxi feeders, contracting with private providers	17
6/85	National	Presentation at APTA Rapid Transit Conference	Group supervisors	NA
6/85	National	Presentation at NW Joint Conference Board, Amalgamated Transit Union	Labor management committees	80
6/85	National	Presentation at National Conference on Microcomputers in Urban Transportation	Route performance monitoring	40
6/85	V	Presentation at UWEX transit management workshop	Labor management committees, bank-sponsored free day, user-side subsidy	25 (est)

Table 3-4 (Cont'd)

<u>Date</u>	<u>Facilitator Region</u>	<u>Description</u>	<u>D/D Programs</u>	<u>Attendees</u>
6/85	National	Presentations at Transportation/Air Quality Symposium, Burbank, CA	HOV lanes, flex-time	100 (est)
7/85	National	Presentation at ICMA Transit Conference	Taxi feeders	15
7/85	National	Presentation at APTA Maintenance Conference, Buffalo, NY	Team competition	200
7/85	National	Presentation at Region IV Technical Training Workshop, Atlanta, GA	Volunteer vans, contracting with private providers	250 (est)
7/85	III	Presentation at APTA Small Operations, Regional, Rural and Social Service Workshop Altoona, PA	Integrated specialized transportation	40
7/85	V	Presentation at Indiana Transit Assn. Meeting	Contracting with private providers	NA
8/85	V	Presentation at UWEX Transit Management workshop	Bank-sponsored free fare fare day	25 (est)
8/85	V	Presentations at UMTA Section 10/UWEX "Community Transit Local Options" workshop	Taxi feeders, contracting with private providers, user-side subsidy	NA

contact with the appropriate person in that agency, and identify an appropriate forum in which D/D assistance could be provided.

Table 3-5 lists D/D assistance activities which have occurred through August 1985. These are defined as D/D site visits or participation in workshops or meetings with agencies that were considering some change relevant to a D/D program. In some cases, this involved in-depth assistance with design of a program; in others, it involved meetings with a variety of local agencies to determine feasibility and specific implementation requirements, or provide information on how to deal with operational or institutional problems.

The facilitators have found that encouraging adoption of D/D programs involves more than arranging assistance. Follow-up calls to agencies who have received assistance to determine their progress and additional assistance needs has been an important activity, as has staying in touch with agencies who have been made aware of and/or indicated an interest in particular D/D programs in order to ensure that appropriate assistance can be provided at the right time. As facilitators have come to view their roles more as change agents than general assistance providers, they have begun to place more emphasis on assessing whether the environment in different agencies or areas is ripe for change. In this way, they can set priorities and focus assistance resources on activities which are most likely to have an impact. For example, an agency mandated to institute new service by legislation, or one with a problem of concern to top management relevant to a D/D program (e.g., escalating insurance costs) would be more likely to implement a new program than an agency in which

TABLE 3-5

D/D ASSISTANCE ACTIVITIES

	<u>Date</u>	<u>Facilitator Region</u>	<u>Description</u>	<u>D/D Programs</u>
Year 1:			----- None -----	
Year 2:	8/84	National	Visit to Broward County Transit	Group supervisors
	11/84	III	PTN helped to organized workshop on feeder services to Metro Stations (with WashCOG)	Taxi feeders, contracting with private providers
	11/84	V	Participation in peer group review on contract service for the disabled, CTA Board Meeting, meetings, telephone assistance	User-side subsidy, brokerage
	5/84	V	Participation in MnDOT Metro Mobility Transit Board peer workshop on potential changes to their specialized system	User-side subsidy, brokerage, integrated specialized transportation
Year 3:	2/85	National	Meetings with MARC (Johnson County, MS) staff, county commissioners	Timed-transfer
	2/85	National	Presentation to Arkansas DOT, Arkansas Transit Assn.	Joint insurance purchase
	3/85	V	Presentation to Michigan DOT staff, local transit operators	Joint insurance purchase
	3/85	V	Operational review, interviews, report to general manager of Central Ohio Transit Authority (COTA)	Group supervisors
	4/85	National	Site visit to Colorado DOT	Transitways

TABLE 3-5 (Cont'd)

Date	Facilitator Region	Description	D/D Programs
5/85	III	Site visit to Allied Human Services, New Castle, PA provision of sample program materials	Integrated specialized transportation
5/85	V	Site visit to Lafayette, IN Regional Council on Aging and Community Services	Volunteer vans
6/85	National	Site visit to West Memphis, Arkansas, meetings with mayor, staff	Volunteer vans
6/85	V	Presentation to management personnel, staff at Madison Metro (WI)	Group supervision
6/85	III	PAMTA/PTN workshop	Joint insurance purchase
7/85	National	Site visit to Santa Clara County Transit	Timed-transfers
8/85	National	Co-sponsored workshop with Santa Clara County Paratransit coordinating committee workshop	User-side subsidy
8/85	National	Site visit to Westchester County, DOT	Bank-sponsored free day, team competition
8/85	National	Site visit to Broward County Transit (FL)	Group supervisors
8/85	National	Site visit to Orange County Transit District	Flex-time

there is no identifiable person to spearhead a change, or top-level priorities are focussed on issues unrelated to a D/D program.

Because their resources (both time and budget) are limited, it has been increasingly necessary for the facilitators to establish priorities and negotiate shared-cost assistance activities. The Region V facilitator has instituted a procedure in which agencies receiving assistance from D/D's must indicate in a Memorandum of Understanding their commitment or serious interest in implementing the D/D program, and their understanding that while initial assistance is available at negligible cost, they will be asked to share expenses for subsequent assistance.

For the facilitators, the transition from being general technical assistance providers to encouraging adoptions has required adjustments to a role which is somewhat different from what they were accustomed to. In addition, their need to set limits on the amount of non-D/D-related assistance they provide has presented conflicts with their need to establish and maintain positive relationships with users. Nevertheless, it appears that the adjustments they have had to make are beginning to pay off, in terms of the PTN's impact on innovation transfer. Chapter 5 summarizes the PTN's progress to date in assisting adoptions of D/D practices, and assesses both positive and negative factors influencing this progress.

4. USER AND NON-USER PERCEPTIONS OF THE PTN

4.1 INTERVIEW METHODOLOGY AND SAMPLE CHARACTERISTICS

Structured telephone interviews of PTN users and non-users were conducted during the spring and summer of 1985 to provide an assessment of the level of awareness and understanding of the PTN, determine reasons for PTN use or non-use, and find out peoples' perceptions of the major benefits and shortcomings of PTN assistance and awareness activities. Interviews of both users and non-users were based on a standard format which permitted collection of consistent and comparable information on these and other issues. A number of open-ended questions were also included, providing opportunities for general suggestions and comments. User and non-user interview formats are provided in Appendix B.

4.1.1 User Sample Characteristics

Based on PTN technical assistance and progress reports, 50 PTN users were chosen for interviews. Sample selection was carried out to provide a roughly even distribution of respondents who had received assistance (telephone, site visits, workshops) through the three facilitators (Region III, Region V, and the National Office), and to include the full range of types of assistance which the PTN has provided. The sample is not necessarily representative of all PTN users, however. Table 4.1 displays the characteristics of the user sample, including agency type, geographic location, the sample users' positions in their agencies, and the types of PTN assistance they received.

TABLE 4-1

CHARACTERISTICS OF THE USER SAMPLE

	<u>Number (% of Total)</u>
<u>Agency Type</u>	
Public:	(94%)
Transit Operators	22 (44%)
Local Governments	8 (16%)
State DOTs	8 (16%)
Councils of Governments/RPOs	7 (14%)
Others	2 (4%)
Private:	(6%)
Transportation Providers	<u>3 (6%)</u>
TOTAL	50 (100%)
<u>Position of Users Within Their Organizations</u>	
Executive Director	13 (26%)
Division or Program Director	22 (44%)
Line Staff or Planners	13 (26%)
No Response	<u>2 (4%)</u>
TOTAL	48
<u>PTN Facilitator Region</u>	
Region III (Miller)	14 (28%)
Region V (Cyra)	18 (36%)
National Office	<u>18 (36%)</u>
TOTAL	50
<u>Geographic Scope of Users' Operations</u>	
Urban Areas	31 (62%)
Rural Areas	10 (20%)
Both	<u>9 (18%)</u>
TOTAL	50
<u>Type of Assistance Received</u>	
General Information-Referral (telephone)	7 (14%)
D/D Program Specific Information (telephone)	12 (24%)
Resource Person Assistance	4 (8%)
D/D Presentations at Workshops or Conferences (not PTN-sponsored)	7 (14%)
D/D Presentations at PTN-Sponsored Workshops	13 (26%)
In-depth, Specific Site Visits	<u>7 (14%)</u>
TOTAL	50

Fourteen of the user agencies interviewed are located in UMTA region III, 18 in Region V, and the remaining 18 are in other regions covered by the PTN National Facilitator.

The types of PTN assistance received by users interviewed can be categorized as follows:

- general information or referrals over the telephone (7 users, or 14%),
- telephone assistance related to D/D programs (12 users, or 24%),
- assistance from resource persons or peers referred by RF's (4 users, or 8%),
- attendance at D/D or RF presentations at workshops or conferences set up by other organizations (7 users, or 14%),
- attendance at D/D presentations at PTN-sponsored workshops (13 users, or 26%), and
- in-depth, 'face-to-face' assistance from D/D's (7 users, or 14%).

Public agencies make up 94 percent of the user sample: 44 percent of the user agencies interviewed are public transportation operators (municipal, county, or regional), 16 percent are local government offices, 16 percent are state departments of transportation, 14 percent are regional councils of governments or metropolitan planning organizations, and 4 percent are other public sector organizations. Twenty-nine (58 percent) of these public agencies operate in urban areas, nine in rural areas, and nine are statewide in scope. Three users from private transportation providers were interviewed: two in urban locations and one in a rural area.

Almost one half of the users interviewed (22 of the 50) were division or program directors. The remaining respondents were agency executive directors (26%), or line staff or planners (26%); one respondent was a transit authority advisory board member, and one declined to give her title.

4.1.2 Non-User Sample Characteristics

Twenty seven non-users were interviewed, of an initial pool of 50 candidates selected from general PTN and D/D awareness activity attendance lists. Ten of the 50 interviews attempted were terminated because the person did not recall hearing about PTN. Another 13 non-users selected for interviews could not be reached, or had changed jobs.

As was noted above about the user sample, non-user interview survey results are not necessarily representative of all those who have received information about PTN and chosen not to use it. The sample can be characterized, however, as inclusive of the range of non-user agency characteristics. The agency type, geographic location, and the seniority of non-users interviewed are shown in Table 4-2.

Forty-one percent of the non-user agencies in the sample were public transit agencies; the remainder were local governments, state departments of transportation, councils of governments or metropolitan planning organizations, other public sector organizations (for example a county department of aging), or private transportation providers. The sample includes 11 agencies operating primarily in urban areas, 11 in rural areas, and 5 that are state level agencies. Ten of the non-user agencies are located in UMTA Region III, 10 are in Region V, and 7 are located in the areas covered by PTN's National Facilitator.

As was the case for the users, the majority of non-users interviewed (48%) were division or program directors. Ten of the non-users (37% of the sample) were agency executive directors, and four (15%) were agency line staff or planners.

TABLE 4-2

CHARACTERISTICS OF THE NON-USER SAMPLE

	<u>Number (% of Total)</u>
<u>Agency Type</u>	
Public:	(89%)
Transit Operators	11 (41%)
Local Governments	3 (11%)
State DOTs	4 (15%)
Councils of Governments/MPOs	4 (15%)
Others	2 (7%)
Private: Transportation Providers	3 (11%) (11%)
TOTAL	<u>27</u> (100%) (100%)
 <u>Positions of Non-Users Within Their Organizations</u>	
Executive Director	10 (37%)
Program or Division Director	13 (48%)
Line Staff or Planners	<u>4</u> (15%)
TOTAL	<u>27</u>
 <u>PTN Facilitator Region</u>	
Region III (Miller)	10 (37%)
Region V (Cyra)	10 (37%)
National Office	<u>7</u> (26%)
TOTAL	<u>29</u>
 <u>Geographic Scope of Non-Users' Operations</u>	
Urban Areas	11 (41%)
Rural Areas	11 (41%)
Both	<u>5</u> (18%)
TOTAL	<u>27</u>

Non-users were interviewed between 6 and 14 months after initial information about PTN had been received. The average length of time between non-users' receipt of PTN information and the evaluation interviews was approximately 12 months. Therefore, it should be kept in mind that the length of time that elapsed may have affected respondents' ability to remember what PTN was about.

4.2 USER AND NON-USER AWARENESS AND UNDERSTANDING OF THE PTN

In order to assess the level of awareness and understanding of the the PTN and D/D programs, users and non-users were questioned on the initial and subsequent sources of their information about PTN, whether they had been informed about specific D/D programs, and if they remembered them. Those interviewed were also asked if they shared information about the PTN with others in or outside of their agencies.

Initial and Subsequent Information Sources

Table 4-3 displays users' responses about their first and subsequent sources of information on PTN.

For almost half of the users, the initial source of information about PTN was a presentation from, or other personal contact with, a PTN representative (22 or 44% of those interviewed). Ten users had initially heard about PTN through their professional contacts; six through mailings of PTN literature, six through UMTA, and four through journal or newsletter articles. Of the possible additional sources of information about PTN, the one cited most often (46% of the time) by PTN users was, again, a workshop or conference presentation. Other frequently cited sources included articles (34%) and letters or brochures (30%).

TABLE 4-3

USERS' SOURCES OF INFORMATION ABOUT PTN

Number of Users (%)Initial PTN Contact

PTN Presentations at Conferences, Workshops	13	(26%)
Personal Contact with PTN Representatives	9	(18%)
Other Professional Contacts	10	(20%)
Mailings from PTN	6	(12%)
UMTA Regional Offices	6	(12%)
Journal or Newsletter Articles	4	(8%)
Don't Remember	<u>2</u>	(4%)
TOTAL	50	(100%)

Subsequent Information Sources Remembered

Conference or Workshop Presentation	23	(46%)
Journal or Newsletter Articles	17	(34%)
Letters or Brochures from PTN	15	(30%)
Personal Contacts - Networking	8	(16%)
UMTA Regional Offices	6	(12%)
UMTA Technical Assistance Directory	0	(0%)

Table 4-4 displays non-users' responses. Again, a conference or workshop presentation given by a PTN representative was the initial source of information for most (59%) of the non-users interviewed (which would be expected given that the sample was drawn primarily from attendance lists); other personal contacts, whether with PTN representatives or others, accounted for 30 percent of non-users' initial information sources. Subsequent information sources cited most often by non-users included (other) conference/workshop presentations, articles, and PTN literature.

Awareness and Understanding

Non-user and user awareness of the assistance offered by PTN was investigated through a number of general questions about PTN as well as more specific questions about the familiarity of those interviewed with D/D programs. Non-users were asked to describe the general types of assistance offered by the PTN. A majority (78%) could correctly name one or more of PTN's functions. As can be seen in Table 4-5, non-user respondents most often describe PTN's role as an information brokerage or idea exchange; provision of general technical assistance and a conduit for peer-to-peer contacts were the next most common activities cited. When asked if they were aware that PTN offered assistance from D/D's, 20 (74%) stated that they were, and 13 (46%) remembered receiving information on them from PTN. However, only three (11%) could remember specific D/D programs well enough to describe them. When asked if the D/D programs they heard about were relevant to their agency's needs, 70 percent of non-users could not remember enough about the programs to say if they were relevant or not. This indicates that the information provided about D/D programs

TABLE 4-4

NON-USERS' SOURCES OF INFORMATION ABOUT PTN

	<u>Number of Users (%)</u>	
<u>Initial PTN Contact</u>		
PTN Presentations at Conferences, Workshops	16	(59%)
Personal Contact with PTN Representatives	6	(22%)
Other Professional Contacts	2	(8%)
Mailings from PTN	3	(11%)
UMTA Regional Offices	0	(0%)
Journal or Newsletter Articles	0	(0%)
TOTAL	27	(100%)
<u>Subsequent Information Sources Remembered</u>		
Conference or Workshop Presentation	14	(52%)
Journal or Newsletter Articles	14	(52%)
Letters or Brochures from PTN	15	(56%)
Personal Contacts - Networking	3	(11%)
UMTA Regional Offices	2	(8%)
UMTA Technical Assistance Directory	1	(4%)

TABLE 4-5

NON-USER AWARENESS OF PTN PROGRAMS AND CONTACTS

<u>Types of PTN Assistance With Which Non-Users Were Familiar</u>	<u>Number of Non-Users (%)</u>
Information Brokerage--Idea Exchange	11 (41%)
Conduit for Peer-to-Peer Contacts	6 (22%)
General Technical Assistance Program	6 (22%)
Sponsors Workshops and Site Visits	3 (11%)
Helps Users Implement New Programs	2 (7%)
Innovative Program Transfer	2 (7%)
Not Familiar With Any PTN Programs	6 (22%)
 <u>Knowledge of Developer Demonstrator Programs</u>	
Aware That PTN Offers Assistance Through D/Ds	20 (74%)
Received Information About D/D Programs	13 (48%)
Remembered Specific D/D Programs	3 (11%)
 <u>Developer Demonstrator Program Relevance to Agency Needs</u>	
Felt that D/D Programs are Relevant	4 (15%)
Felt that D/D Programs are Not Relevant	2 (8%)
Felt that D/D Programs are Relevant to Someone Else; Would Refer Them	2 (8%)
Cannot Remember, No Answer	<u>19</u> (70%)
	27 (100%)

was either not read (or listened to) or if it was, it did not leave a lasting impression.

Users were asked a series of questions about their awareness of specific D/D programs other than those they may have used. Thirty five (70%) of the user agencies interviewed remembered receiving written or verbal information on D/D's and their programs during the course of their contact with PTN. Only six (12%) remembered specific D/D programs other than those they used. Users typically had contact with PTN for a very specific purpose, and did not see it as a place to shop for new programs. Many indicated, however, that they had a list of D/D programs in their files that they could refer to if the need arose.

Both users and non-users were asked if they had told other people about the PTN, or showed them PTN brochures. The purpose of this question was to determine the extent to which PTN information was being networked, thereby increasing the likelihood that it would get into the hands of the people most likely to have a need for PTN services.

Thirty-nine (78%) of the users had told others about PTN and its D/D programs (see Table 4.6). Of those users sharing information, 77 percent passed it to others in-house, and 54 percent passed it to persons outside their agency. Most such networking (74%) took place among peers (i.e., people at the same level of seniority), although 38 percent of the respondents passed information about PTN on to their staff, and 33 percent told their supervisors. The average number of persons told was seven, with a range from zero (14 users) to thirty (1 user). Division or program directors were far more likely to have shared information on the PTN than executive directors or staff--95 percent of the program directors had passed

TABLE 4-6

USER AND NON-USER NETWORKING PATTERNS

	<u>Users (%)</u>	<u>Non-Users (%)</u>
<u>Total Sample Size</u>	50	27
Total Respondents Who Told Others	39 (100%)	15 (100%)
Told Peers	29 (74%)	5 (33%)
Told Supervisors	13 (33%)	7 (47%)
Told Staff	15 (38%)	5 (33%)
Told Persons In-House	30 (77%)	9 (60%)
Told Persons Outside the Agency	21 (54%)	6 (40%)
<u>Position of Those Sharing Information About PTN</u>		
Executive Directors	8 (of 13)	3 (of 7)
Program or Division Directors	21 (of 22)	8 (of 14)
Staff	7 (of 13)	4 (of 6)

information on to others, while 62 percent of the executive directors and 54 percent of planners and staff had shared information. Division directors were also the most likely group to have shared information with large numbers of other people--32 percent of the division directors shared information with 15 or more persons, compared with 15 percent of the staff-level users, and 23 percent of the executive directors.

Of the non-users interviewed, 56 percent had told others what they knew about PTN. About one-half of non-users sharing PTN information did so with their supervisors, one third told their peers and one-third told their staff. Of the 15 non-users who told others about PTN, 9 (60%) told only persons in-house and 6 (40%) told persons in other agencies. Of the 7 executive directors surveyed, 3 had told others; 8 of 14 program or division directors had shared information, and 4 of 6 line staff had told others. The average number of persons told by non-users was again seven, the low was zero (12 non-users), and the high twenty (1 non-user).

The interview findings indicate that PTN users are more likely to tell others about the PTN than non-users (as might be expected), and that in general, for each person directly reading information about PTN, an average of seven persons will hear indirectly about the program. Most networking takes place among peers, and those at the program or division director level in an agency were most likely to share information. This would be expected, as persons at the middle management level in an organization are likely to interact with others at both the supervisory and staff levels.

4.3 REASONS FOR USE OR NON-USE

Most of the users interviewed called PTN because they had a specific question or problem they needed to address, or because they were seeking a source of financial support for assistance from a resource person, peer, or D/D. To learn more about agencies' reasons for using or not using the PTN, non-users were asked whether or not they knew how to contact PTN, whether they had ever planned to call; and also why they had not. Both users and non-users were asked if they plan to use PTN (again) in the future.

Non-users knew how to get in touch with the PTN--only 3 of the 27 interviewed said they weren't sure who to call for PTN assistance. Eight non-users in the sample had considered calling PTN for assistance (6 of whom were interested in particular D/D's), but had not done so, primarily due to time pressures and other priorities.

When asked if they planned to use PTN in the future; 92 percent of users and 70 percent of non-users responded positively (see Table 4-7).

Reasons given for not calling PTN included:

- they were not in the position to call
- they had no reason to call
- they felt that PTN is geared more towards a different type of agency than theirs
- they did not know what PTN has to offer
- their agency already had a good set of contacts in place
- they were too busy

As discussed earlier under awareness issues, other important reasons for non-use probably relate to the retention of information about D/D programs, and the relevance of these programs to agency needs.

TABLE 4-7

PLANS FOR FUTURE PTN USE

<u>Planning to Use PTN in the Future</u>	<u>Users (%)</u>	<u>Non-Users (%)</u>
TOTAL	46 (92%)	19 (70%)
To Learn About Other Agencies' Programs	40	16
To Answer Technical Questions	42	16
For Assistance in Implementing Programs	40	13
<u>Not Planning to Use PTN in Any Way in the Future</u>	4 (8%)	8 (30%)

Finally, the availability of other technical assistance resources was a factor influencing the use of the PTN. Four of the 50 users surveyed said that they could not have received assistance such as that provided by PTN from any other source. (Of these four, two had participated with D/D's, in PTN-sponsored workshops, one had received assistance from a resource person; and one had a D/D visit her agency.) Users most often stated that they typically sought assistance from peers (62%), state or federal programs other than UMTA (40%), UMTA (32%), and private consultants (24%). Other sources mentioned included trade journals, state or regional transit associations, APTA, and regional councils of governments.

Non-users also stated that they frequently seek information and technical assistance from their peer contacts (89%). Consultants were used by 41 percent of the non-users, 37 percent used other federal or state technical assistance programs, and 33 percent called UMTA regional offices for assistance.

4.4 REPORTED BENEFITS OF PTN ASSISTANCE

Ninety-four percent of users interviewed said they were satisfied with the PTN assistance they received; as mentioned above, 92 percent said they would use PTN again. The three users indicating dissatisfaction had only had telephone contact with PTN.

Users' perceptions of benefits associated with various types of PTN assistance are shown in Table 4-8. Major benefits of PTN assistance reported by users included:

TABLE 4-8

PERCEIVED BENEFITS OF PTN ASSISTANCE

<u>PTN Assistance:</u>	<u>Number of Users (Percent)</u>
Made Users Aware of Others' Response to a Problem	42 (84%)
Saved Users Time in Planning	29 (58%)
Assisted in Users' Analysis of Costs and Benefits	28 (56%)
Helped Convince Others of a Project's Merits	22 (44%)
Gave Users New Ideas for Programs or Projects	17 (34%)
Helped Users Diagnose a Problem	10 (20%)

- providing an opportunity to reach policy makers, in addition to planners, through D/D workshops and site visits. This peer-to-peer approach to technical assistance was viewed as a critical factor in 'selling' new programs or approaches to local decision-makers;
- getting a candid picture of how D/D programs operate; that is, what the problems and pitfalls were in addition to the successful features of innovative programs. This kind of information is not readily available through written reports;
- saving time in program planning and implementation. PTN assistance provided users with access to sample contracts, RFPs and other materials that saved them from the need to 'reinvent the wheel';
- providing a source of new ideas about entire programs as well as specific operational or planning procedures.

Those few users who were dissatisfied with the technical assistance they received or who were unhappy with some aspect of the PTN cited the following reasons:

- the kinds of assistance actually offered by the PTN did not conform to their expectations or understanding about what was available. This can be attributed to the fact that the PTN was initially marketed as a very broad resource for information and technical assistance, but subsequently narrowed its scope to focus on D/D programs;
- PTN assistance is not geared to the size and character (urban vs. rural) of their agency. (This comment was made both by large and small agencies;
- Users should not be asked to cover a portion of D/D site visit expenses; the PTN should cover 100 percent of technical assistance costs.;
- PTN should focus on 'basics' as opposed to 'innovations' (such as driver training techniques, planning procedures, etc.).

Another important measure of benefit is the extent to which PTN assistance has been instrumental in effecting change in user agencies. Users were asked whether they have taken steps (or plan to) toward implementation of programs or program changes since their contact with PTN. Table 4-9 shows their responses. Of the 46 users providing answers to

TABLE 4-9
 USER PLANS TO IMPLEMENT PTN-SPONSORED INNOVATIONS

<u>PTN Assistance Type</u>	<u>Have Taken Steps Toward Implementation of Programs or Program Changes</u>	<u>Possible Implementation in Future-Not Certain</u>	<u>Total Responding</u>
1. General Information and Referral (phone)	3	1	5 of 7
2. D/D Program Specific Information (phone)	6	4	11 of 12
3. Resource Person Assistance	4	0	4 of 4
4. RF or DD Presentations-Non-PTN Meeting	4	1	6 of 7
5. D/D Presentation-PTN-Sponsored Meeting	13	0	13 of 13
6. In-depth Site Visit	5	1	7 of 7
Total Responding	35	7	46 of 50

this question, 35 said they had either already implemented programs or program changes based on their PTN contact, or were planning for program implementation. Seven said it was possible but not certain that changes would be made, and 4 respondents said that no action would be taken.

4.5 USER AND NON-USER SUGGESTIONS AND COMMENTS

User and non-user interviews also included several open-ended questions designed to elicit comments and suggestions to improve PTN usefulness and effectiveness. Seventy three percent of users providing comments said that PTN needs either a regular periodic newsletter or update on D/D programs, sent to all users; better marketing, or better RF follow-up on informational mailings. A few people felt that PTN should clarify its mission and present the services it offers and the cost of these services in a more honest way. Twelve of the 40 users offering suggestions said that PTN needs more D/D's or more RF's or both; one person noted that a PTN 800 phone number would be useful. Three PTN users said that they thought that more emphasis should be placed on reaching and working with rural agencies.

Non-users interviewed also cited the need for improvements in PTN's outreach and information activities; 15 of 27 respondents indicated that they would like more information about PTN. Again, most suggested a periodic newsletter or update on PTN programs; some called for improved marketing techniques. Program-specific suggestions for what PTN should be offering included:

- management information systems
- rural transportation agency concerns

- basic planning methods
- personnel
- vehicle maintenance
- driver training for paratransit systems
- private non-profit transportation provision (request for a D/D from a private non-profit provider)
- fare structures
- shared-ride taxi for the general public
- contracting with private providers

5. THE PTN'S ROLE IN INNOVATION DIFFUSION

5.1 CLASSIFICATION OF D/D PROGRAMS

As background for analysis of adoptions to date, it is useful to classify the different D/D programs according to the following characteristics:

- **Scale:** How costly and time-consuming is it to implement? How complex is it? How many people would be affected?
- **Acceptability:** Are there likely to be significant institutional barriers to implementation? Will the program address high-priority concerns?
- **Transferability:** Are the essential features of the program easy to transfer as is, or will it have to be substantially adapted to meet local circumstances? How dependent is the success of the technique on local conditions (e.g., personalities, regulations, population characteristics)?

The 28 D/D programs can be grouped into 6 categories based on these characteristics. (See Figure 5-1.) These groups are numbered in ascending order of difficulty of adoption. The first group includes techniques such as video testing and route performance monitoring which are relatively small scale, easy to implement, and generally non-controversial. These techniques, by nature are likely to be the easiest to adopt, and are likely to be adopted with most of their essential features intact.

The second group includes personnel management techniques such as group supervisor programs and labor-management committees. Like the first group, these are small scale (although this will depend on the size of the agency in which they are implemented). However, these techniques are more

- Group 1: small scale, high acceptability, high transferability
- video testing
 - route performance monitoring
 - security/safety information system
 - taxi driver training
 - bank-sponsored free day
 - automated information directory system
- Group 2: small scale, medium acceptability, medium transferability
- labor-management committees
 - group supervisors
 - employee performance
 - team competition
- Group 3: medium scale, medium acceptability, high transferability
- flex-time
 - transit operator ridesharing
 - subsidized passes for low-income
 - volunteer transportation
- Group 4: medium to large scale, medium acceptability, medium transferability
- time-transer
 - private operator contracting (3 programs)
 - taxi feeder
 - regulatory revision
 - joint purchase of insurance
- Group 5: large scale, medium acceptability, medium to low transferability
- user-side subsidy (2 programs)
 - brokerage
 - integrated specialized transportation
 - accessible fixed route service
- Group 6: large scale, low acceptability, medium transferability
- transitways
 - HOV/commuter lanes

FIGURE 5-1. CLASSIFICATION OF D/D PROGRAMS

controversial than those in the first group, often requiring both union and management support. In addition, their success is also more dependent on personalities and thus, they were given a "medium" transferability rating.

Group 3 includes flex-time, transit agency ridesharing programs, subsidized passes for low-income persons, and volunteer transportation. These can be considered medium in scale. While these measures are generally seen as positive, they are not likely to address top-priority concerns of transit agencies and therefore may be somewhat difficult to generate support and budget allocations for. However, if a decision is made to implement one of these programs, it is likely that its essential features will be maintained. Of course, the actual success of these programs, particularly ridesharing and flex-time, will vary according to local employment and travel characteristics.

Group 4 includes measures such as timed-transfer programs, taxi feeders, and joint purchase of insurance. While the scale of these measures can vary considerably according to their particular application, they are generally more institutionally or technically complex and time-consuming to implement than the measures in Groups 1-3. However, these measures tend to be higher priority than those in Group 3, as they offer the potential for cost savings and/or highly cost-effective service improvements. While these measures are unlikely to be replicated exactly (like a video testing procedure might be)--their basic concepts and particular implementation or operational procedures (such as Requests for Proposals (RFP's) or bid packages) may be transferred.

Group 5 includes alternatives for providing elderly and handicapped (E&H) transportation. With the possible exception of user-side subsidy programs, which can be implemented on a relatively small scale, these are costly, time-consuming and complex programs. However, due to the proposed 504 regulations, there is a very high degree of interest in and need for these programs. They are less likely to be transferred intact than programs in categories 1-4 (with the possible exception of accessible fixed-route bus service) as their design must be closely tailored to local conditions (e.g., the type of implementing agency, existing E&H services, social service agency programs, etc.).

Finally, Group 6 includes transitways and high occupancy vehicle (HOV) lanes, which are large scale, often controversial, and involve cooperation of a number of local (and federal) agencies. While the concept of an HOV lane is fairly transferable, its success is highly dependent on local conditions, how it is designed, and how enforcement is carried out.

5.2 ADOPTION PROGRESS TO DATE

Table 5-1 summarizes the PTN's progress to date in assisting with adoptions of D/D practices. An "adoption site" has been defined as an agency (or agencies) which has participated in a PTN awareness or assistance activity, and is in the process of implementing a D/D practice or making significant changes in existing programs or procedures based on a D/D practice. This includes agencies who have made a definite decision to implement a change, those that have taken steps toward instituting the change, and those who have completed implementation. It does not include agencies who have adopted programs based on contact with D/D's acting independently of the PTN.

TABLE 5-1 ADOPTION PROGRESS TO DATE

D/D Program Area (category)	Number of Adoption Sites	ADOPTION SITES	
		Decision to Implement	Implementation in Process Program in Operation
Timed Transfers (4)	1		Santa Clara County, CA
Transitways (6)	1	Denver	
User-side Subsidy/ Brokerage/ Integrated Specialized Transportation (5)	2		New Castle, PA Chicago, IL
Flex-time (3)	1		Orange County, CA
Bank-Sponsored Free Day (1)	1	Westchester County, NY	
Taxi Feeders (4)	1		Northern Virginia
Contracting with Private Providers (4)	1		5 Minnesota towns
Volunteer Vans (3)	1		Rock County, WI
Labor-Management Committees (2)	1		Milwaukee, WI
Group Supervisors (2)	2	Madison, WI Broward County FL	
Video Testing (1)	18	National City, Santa Cruz, El Dorado County, Golden Gate Transit, Vallejo, Napa, San Bernardino, Sacramento, San Luis Obispo, E. Contra Costa, CA; Salt Lake City, UT, Dallas, TX	Sonoma County, CA
Team Competition (2)	1	Westchester County, NY	
Joint Insurance Purchase (4)	3	Michigan	Pennsylvania Arkansas
TOTAL	34	(16 excluding video testing)	

A total of 34 adoptions of D/D practices have occurred as of August 1985. A little over one-half of these (18) are purchases of the video testing tape from Seattle Metro for bus driver selection or training. Aside from the video tape, four adoptions are in the personnel management area (labor management committees, group supervisor programs, team competition); two are conventional transit improvements (timed transfers, transitways), two are E&H transportation programs (user-side subsidy, brokerage, integrated specialized transportation), two are marketing-oriented (flex-time, bank-sponsored free day), three are in the new service concept area (taxi feeders, contracting with private providers, volunteer vans), and three are of statewide joint insurance programs.

The adoptions to date represent 15 of the 28 certified D/D practices. However, of the remaining 13, 8 were only recently certified (during or after June 1985).

It is important to note that adoptions which have been assisted to date vary considerably in terms of the role played by PTN, the extent to which PTN was a causal factor, the difficulty or magnitude of the change involved, and the faithfulness or fidelity to the D/D programs. To illustrate these variations, selected adoptions in each of the six categories of D/D programs presented in Section 5.1 are discussed below.

5.2.1 Group One (19 adoptions)

The video test for driver selection/training has been very well received, accounting for 18 of the 19 adoptions in this category. With fairly minimal effort (D/D appearances at a California Association of Publicly Operated Transit Systems (CAPOTS) meeting, and publicity in California and Wisconsin transit association newsletters), 18 copies have

been sold, and a number of other agencies are considering purchases. The success of this D/D program is clearly due to the fact that it meets a need, does so effectively, and is low cost and easy to adopt.

5.2.2 Group Two (4 adoptions)

The Milwaukee County Transit System (MCTS) instituted labor/management committees on a trial basis for its overhaul shops and garages after hearing the D/D for this program speak at a University of Wisconsin extension transit management workshop (conducted by the Region V facilitator). MCTS implemented the program on their own, thus the PTN's role was one of familiarizing them with the concept. In contrast to the Milwaukee experience, the group supervisor D/D has had extensive contact with Madison Metro and Broward County Transit, including on-site meetings with management personnel and staff to provide detailed advice on implementation. Both Madison Metro and Broward County had heard about the group supervisor program from a non-PTN source, but arranged for assistance through the PTN. Neither agency has begun actual implementation--Broward county is awaiting an UMTA Section 4(i) grant before proceeding, and Madison Metro only recently decided to implement the program.

5.2.3 Group Three (2 adoptions)

The Orange County Transit District (OCTD) is in the process of implementing a flex-time program. After hearing a D/D presentation on this at a transportation/air quality symposium in Burbank, CA, they arranged a site visit from the D/D. OCTD had already decided to add a flex-time element to their services (as a result of the 1984 Olympic games experience and a commuter attitude survey), but needed assistance with the design of the program. They are closely modelling their program after the D/D's.

5.2.4 Group Four (6 adoptions)

Following a seminar arranged by the Region III facilitator of Pennsylvania transit systems (sponsored by the Pennsylvania Association of Municipal Transit Operators) with the D/D representing a joint purchase of insurance program, the group proceeded to survey its members on their insurance coverage, and obtain agreement from the Pennsylvania State Department of Transportation (PennDOT) to pursue the program. The program is presently in the initial stages of implementation (an RFP has been issued). The PTN played a significant role in this adoption.

Similarly, the PTN played an important role in the adoption of taxi feeder services to three Washington Metro stations in Northern Virginia. The Region III facilitator helped to arrange a workshop with the Washington, D.C. Council of Governments (WashCOG), featuring two D/D's, and the taxi provider from one of the D/D's programs. While establishing feeder services to Metro Stations was already planned prior to PTN involvement, the workshop was instrumental in gaining the support of the local taxi operators and for working out operational details of the program.

5.2.5 Group Five (2 adoptions)

Following an order by the Chicago Transit Authority's (CTA) board to increase specialized transit services by 100 percent with no significant increase in budget, in November 1984 the PTN arranged for D/D's representing user-side subsidy and brokerage programs to participate in a CTA peer group review session on privatization of their existing dial-a-ride system (which they were operating themselves). CTA was already familiar with the two D/D programs and used the PTN as a facilitator and funder of

assistance from these D/D's. As of August 1985, CTA was in the process of implementing a combination user-side subsidy and brokerage program using private providers. After the workshop with the D/D's, they have received limited additional assistance by telephone.

5.2.6 Group Six (1 adoption)

Following a visit by the D/D representing a transitway project, the Denver Transit Authority board approved a transitway in the I-25 corridor. The Colorado DOT had been considering this project for several years, and had a number of contacts with the D/D which were not facilitated or funded by PTN. The PTN did fund a site visit by the D/D in April 1985, during which in-depth assistance was provided on the development process (environmental requirements, enforcement) and concerns were addressed regarding Regional Transit District/state DOT cooperation, building political support, and funding.

It is interesting to note that some of the D/D's have assisted other agencies in adoptions of their programs without involvement of the PTN (either facilitation or funding). For example, a taxi feeder program has been implemented by the City of Los Angeles (in the Northern San Fernando Valley), with assistance from the taxi feeder D/D from San Diego. The transitway D/D from Houston Metro has also assisted the Texas Department of Highways and Public Transportation in planning for a bus contraflow lane in Dallas.

It is clear that many agencies, particularly the larger ones, routinely make use of their peer network for assistance in planning and implementing innovative projects or programs. For agencies that already have access to a network, the PTN's primary value will be in enabling

these agencies to obtain more in-depth assistance than they might otherwise be able to afford. Peer networks are less well developed for smaller agencies, who typically only have contact with other agencies in their region or state. For these agencies, the PTN's facilitation role will be of value in addition to its provision of funding for D/D assistance.

6. PROGRAM COSTS

The PTN program costs between its initiation in February 1983 and the end of August 1985 are shown in Table 6.1. The program's average annual cost, based on 31 months of data, has been approximately \$350,000 or \$29,000 per month.

Table 6-1 provides a breakdown of costs among the PTN National Office (program administration and national facilitation); the Urban Institute and the Urban Partnership (subcontractors which have played a support role in the program's development and operation), the two RF's and resource persons and D/D's.

Costs for the PTN National Office and its subcontractors (excluding RF's) have accounted for a little over 70 percent of the total costs to date. RF's activities have accounted for about 13 percent, with the remaining 14 percent for expense reimbursements to resource persons and D/D's. RF costs are low for the first year because they were not hired until October 1983.

It can be seen from Table 6-1 that resource person costs have declined over the three years, as D/D costs have risen. This reflects the certification of D/D's over time, and the shift in program emphasis from general to D/D-related technical assistance.

Table 6-2 provides a more detailed breakdown of D/D and resource person (RP) costs according to the facilitator arranging the assistance (National, Region III, or Region V). National Office D/D costs include not only technical assistance, but reimbursement of expenses for interviews with the DRP (certification panel). The table also shows hours

TABLE 6-1 PTN COSTS

	<u>Year 1</u> <u>2/83-1/84</u>	<u>Year 2</u> <u>2/84-1/85</u>	<u>Year 3 (partial)</u> <u>2/85-8/85</u>	<u>Total</u>
National Office (Crain & Associates, Homitz-Allen)	\$185,419	\$130,741	\$ 84,023	\$400,183
Urban Institute	76,951	74,496	58,571	210,018
Urban Partnership	23,369	21,450	1,107	45,926
U. Wisconsin (Region V Facilitator)	13,121	37,615	9,301	60,037
Penn State (Region III Facilitator)	6,213	32,883	20,653	59,749
RP's	65,167	2,207	853	68,227
D/D's	9,735	24,562	23,504	57,801
TOTAL	\$379,975	\$323,954	\$198,012	\$901,941

TABLE 6-2 DEVELOPER DEMONSTRATOR/RESOURCE PERSON TIME AND EXPENSES

	<u>\$</u>	<u>HOURS</u>	<u>\$</u>	<u>HOURS</u>	<u>\$</u>	<u>HOURS</u>	<u>\$</u>	<u>HOURS</u>
National Office								
D/D'S	\$ 9,735	406	\$19,164	531	\$16,321	455	\$60,200	2,250
RP'S	\$64,904	1,165	\$ 2,089	49	\$ 853	26	\$67,846	1,240
U. Wisconsin (Reg. V Facilitator)								
D/D'S	0	0	\$ 4,069	94	\$ 3,118	168	\$ 7,187	262
RP'S	0	0	\$ 118	8	0	0	\$ 118	8
Penn State (Reg. III Facilitator)								
D/D'S	0	0	\$ 1,329	25	\$ 4,065	73	\$ 5,394	98
RP'S	\$ 263	4	0	0	0	0	\$ 263	4

spend by D/D's and RP's on PTN activities. However, these include con-
tributed hours. Labor costs for RP's account for 77 percent of total RP
costs. Labor costs for D/D's account for less than 1 percent of total D/D
costs. RP's are primarily consultants who had to be reimbursed for their
time, while nearly all of the D/D assistance costs paid by PTN are for
travel expenses, with labor donated by individual D/D's and their agencies.

7. SUMMARY AND CONCLUSIONS

Over its first 31 months, the PTN has evolved from providing and brokering a wide range of assistance to focussing on assisting with adoptions of D/D programs, with other technical assistance activities serving as a secondary support role to this primary mission. This shift in emphasis has provided a focus for the program which was lacking at the beginning and which may have contributed to a lack of a consistent understanding--both on the part of users and PTN facilitators about the scope of services which were being offered.

In assessing PTN's activities and accomplishments to date, it is important to keep this evolutionary process in mind. Development of a program of this nature requires a considerable amount of time and effort. Establishing program procedures, defining roles, hiring Regional Facilitators, certifying D/D's, and creating awareness were primary activities over the program's first two years.

It was not until a critical mass of D/D's were certified, the Regional Facilitators had had a chance to become personally familiar with these D/D's, and had established themselves in their regions as PTN facilitators through various general awareness activities, that the PTN could fully turn to the business of encouraging and assisting with adoptions of D/D practices.

Based on the number and type of awareness and assistance activities which the PTN has been involved in to date, it appears that a large audience has been reached with both general information about the PTN and information about specific D/D programs. A mix of "mass media," and targeted awareness strategies have been used, with an emphasis on networking

and informal personal communication. These more personalized strategies are not very efficient in terms of reaching large numbers of people, but are likely to be the most effective way of reaching the right people and generating interest in the program. It also appears that information about PTN tends to propogate--people receiving information on the program have circulated it within their agencies, and many of the people who have called PTN for assistance heard about the program from professional contacts who were not affiliated with PTN. While it is difficult to say what proportion of potential PTN users have received information on the program, the Regional Facilitators report informing at least one contact in a majority of conventional transit operators, and all state DOT's in their regions. (This comment applies only to the state of California for the National Facilitator.)

Despite the fact that considerable efforts have been made to establish program awareness, interviews with both PTN users and non-users indicate the need for improvements in this area. It appears that awareness activities have left most people with name-recognition and a basic understanding of what PTN is. However, people tend not to remember specific D/D programs, even when they remember receiving information on them. Most of the people interviewed said that they'd like more information on what PTN offers and what kinds of assistance it has actually provided. Many also commented that they needed to be periodically reminded about PTN; otherwise it wouldn't occur to them to call. There appears to be a need for better continuing communication with people who have already used or received information about PTN, such as a newsletter reporting on the program's activities, certification of new D/D's, etc. This kind of awareness

strategy would effectively complement initial activities aimed at conveying a basic level of information about PTN. It would also increase the likelihood of catching an agency's attention at a time when they were facing a particular problem. Based on the experience to date, the PTN has been most successful with innovation transfer when it has been in the right place at the right time--that is, when it has caught agencies that were facing a specific pressing problem to which a D/D program was relevant.

In terms of assembling technical assistance resources, the PTN has been able to enlist the participation of 28 D/D's representing a wide variety of programs and practices. The D/D's are generally enthusiastic about the PTN, good communicators, and are willing and able to assist other agencies with information of similar programs. While the D/D certification process has been time-consuming, a majority of PTN users interviewed for this evaluation felt that UMTA "seal of approval" was a good idea, and would make them more likely to consider adopting a program. Many also felt, however, that the PTN should be providing referrals to and/or assistance from peers representing programs or practices which have not been certified. This is compatible with PTN's mission, and the program has been involving peers for assistance in areas for which there is no D/D.

The vast majority of PTN assistance recipients interviewed (including those assisted by D/D's, resource people, peers, or only Regional Facilitators) were very satisfied with the program, and said that they would use it again. They reported time savings in program planning, help with selling particular approaches to local decision makers and other actors

whose cooperation was essential for program implementation (e.g., private operators), and the opportunity to get a candid picture of how programs operate as benefits of PTN assistance. Those who were not satisfied had not received in-depth assistance, and their dissatisfaction was based on the fact that the types of assistance offered didn't conform to their expectations. This can be partly attributed to the fact that the PTN was initially marketed as a very broad resource for information and technical assistance, but subsequently narrowed its scope. It was clear from the interviews, however, that confusion exists as to what type of agencies (small vs. large; urban vs. rural) PTN assistance was geared for. The PTN needs to clarify its image with respect to this issue, and be sensitive to agency characteristics when matching D/D programs to users.

Regional Facilitators are the "critical link" in the PTN. Working only on a half-time basis, they must create and maintain awareness of the PTN and D/D programs, arrange assistance, and follow up with agencies who have received assistance. The Regional Facilitators have learned that all of this must be done in an active, personalized fashion--not by mailing out letters and sitting in the office responding to telephone calls. Thus, even as the number of D/D's increase and interest in and awareness about the PTN grows, the time availability of the Regional Facilitators is probably the limiting factor in what the PTN can accomplish. One strategy which is being used by the PTN to address this constraint is to encourage D/D's to pursue opportunities for transferring their programs on their own. They must still, of course, coordinate with a facilitator in order to arrange PTN support for their assistance. This appears to be working well, particularly in light of the fact that many D/D's are frequently contacted by other agencies which have heard about their programs and

want information. In fact, many D/D's were providing "PTN-like" assistance prior to their involvement in PTN.

The PTN has played a role in 34 adoptions, involving 15 different D/D practices to date (16 total adoptions excluding sales of a video test for driver selection/training). The kinds of practices which have been adopted vary considerable in scale and complexity, and accordingly, the PTN's role in encouraging and assisting these adoptions has also varied widely. In many cases, adopting agencies were already familiar with the D/D program and used the PTN to support assistance (in the form of a site visit or participation in a workshop) from the D/D. This was particularly true for large-scale program adoptions--for example, Denver's efforts to implement a transitway (assisted by the D/D from Houston Metro), and the Chicago Transit Authority's implementation of a user-side subsidy/brokerage specialized transportation program (assisted by D/D's from Milwaukee County, WI and the ACCESS program in Pittsburgh, PA). In the case of smaller-scale practices such as the bus driver video test (purchased by 18 agencies) and the use of labor-management committees (instituted by Milwaukee County Transit), the PTN's role was one of acquainting the adopting agencies with these practices and providing only limited assistance. In some cases, Regional Facilitators played a crucial role in encouraging adoptions. For example, the state of Pennsylvania is planning to go ahead with joint purchase of insurance for transit operators following a workshop organized by the Region III facilitator with PAMTA, and the D/D responsible for Wisconsin's joint insurance program. In other cases, the facilitators played only a minor role--for example, in the Orange County Transit District's design of a flex-time program with

assistance from the D/D from Seattle Metro. In both of these cases, the D/D's provided the adopting agencies with detailed assistance or advice on program design.

While it is difficult to assess how important a role PTN has played in the diffusion of D/D programs, it is clear that PTN assistance has had an impact on the ways programs are designed, and, in many cases, has served as a catalyst to program adoption by convincing decision makers that the programs are feasible and showing how obstacles to their implementation can be overcome.

PTN faces a number of obstacles in encouraging the diffusion of innovative transportation practices:

- organizational inertia--most agencies will not be innovative without a strong motivation to make a change;
- getting information into the right hands--innovation is slow to occur without the support and efforts by key high-level people in an organization to "spearhead" a change;
- "fire fighting" priorities--many transit agencies are too busy dealing with funding crises and getting service on the street to spend time on development of new programs;
- staff expertise--many agencies (particularly smaller ones) have a need for improving basic planning expertise, which necessarily must take priority (and is often a prerequisite) to implementation of new programs.

To successfully overcome these obstacles, the PTN must:

- continue Regional Facilitator activities aimed at discovering what the pressing problems of concern to agencies in their region are, and actively target D/D awareness efforts toward agencies with problems that D/D programs can address;
- incorporate more of a problem focus in D/D awareness activities--that is, stress the problems that the D/D program has been successful at solving;
- gain access to top-level agency decision makers by continuing to work with established national and local peer networks (e.g., APTA, state DOT's, state transit associations);

- continue to focus on personal communication as the primary PTN and D/D awareness strategy;
- play up the aspects of PTN assistance which users have found to be of most value (e.g., selling programs to policy makers, providing an awareness of program pitfalls);
- strengthen mechanisms for keeping past users and other potential users reminded and informed about PTN on a regular basis.

APPENDIX A

SAMPLE PTN ARTICLES

Technical Network Focuses on the Innovative, the Exemplary

UMTA's Service and Methods Demonstrations Division has begun a new program of technical assistance called the Public Transportation Network. PTN is operated for UMTA by Crain & Associates, Inc., of Los Altos, Calif.

PTN is an effort to spread knowledge gained from federally-sponsored research and demonstrations, and from new programs initiated by individual transit operators. It emphasizes a person-to-person approach, connecting transportation providers who have a need or problem with their peers who have successfully dealt with that problem or need.

A unique aspect of PTN is its focus on adoption of innovations and exemplary practices, rather than simply on the spreading of information. Public transportation providers who have developed or demonstrated a solution to a problem can become certified by an UMTA panel. These developer-demonstrators are then eligible for compensation of expenses incurred in helping others adopt their methods.

The key points of contact between the transportation community and PTN are called regional facilitators. They connect state and local professionals in their regions with PTN resources, including: the developer-demonstrators, workshops, literature, brief consulting help, and referrals to other technical assistance programs.

So far, two regional facilitators are working, one in UMTA's Region III and one in Region V. For the rest of the country, the national office in Los Altos is the contact point.

There are 14 certified developer-demonstrators with innovations such as: improved operator supervision and testing; statewide joint purchase of transit insurance; taxi service at night and as a feeder

to fixed route; timed-transfer service; and a variety of successful elderly and handicapped services.

One recent PTN workshop was held by Minnesota DOT. Participants included members of the Metro Mobility Board as well as specialized transit providers from around the country.

PTN brought operators of four successful specialized transit operations to make presentations at the workshop. The presenters included: Tom Letky (Access, Pittsburgh, Pa.); Tom Knight (Milwaukee County, Wis., Department of Public Works); David Griffiths (Lancaster, Pa., Integrated Specialized Transportation Program); and Park Woodworth (Special Needs Transportation, Portland, Ore.).

PTN Regional Facilitator Dave Cyra arranged for the operators to come to St. Paul and conducted the peer-to-peer interchange.

Minn. DOT is currently conducting an evaluation of Metro Mobility and used the workshop to review new service delivery ideas which may be appropriate in the Twin Cities area.

Donna Allan, project manager, was delighted with the outcome of the workshop. "Workshop participants were given the opportunity to discuss firsthand the specialized transit provision characteristics they were interested in with the project operators," she said.

"The benefit of discussing the issues face to face can't be overemphasized. As we move through the Metro Mobility evaluation, there will be numerous occasions to reflect back on those conversations and we will be able to incorporate some of the ideas presented."

For more information on PTN, contact David Koffman at (415) 949-1472.

RTAP Newsletter

Number 1, Spring 1984

Network Reaches Into The Mid-west

The Public Transportation Network (PTN) is a nationwide program formed to help people in local transportation adopt better ways of managing and operating public transportation services. Funded by the Urban Mass Transportation Administration and begun as a pilot program in 1980, the PTN uses peer-to-peer information exchange among local transportation professionals to encourage the spread of new solutions to problems.

The PTN has three major components and operates like this: a local requestor with a particular problem responds to an offer of assistance from a regional facilitator; the regional facilitator then matches the local requestor with a developer demonstrator who is a local professional (peer) who has dealt with similar problems successfully. In this way solutions for problems are found because professionals who speak the same language share their experiences.

The PTN also offers other types of assistance such as site visits, workshops and printed materials. The service is available to transit operators, ridesharing agencies, paratransit providers, local governments, regional planning agencies and state governments.

The PTN facilitator for Federal Region V is located right here in Wisconsin. For more information about PTN and how it may help you, contact

Dave Cyra
Regional Facilitator
Region V
UWEX-Office of Statewide
Transportation Programs
P.O. Box 413
Milwaukee, Wi. 53201
(414) 963-4427



Paratransit

NEW UMTA TECHNICAL ASSISTANCE PROGRAM: THE PUBLIC TRANSPORTATION NETWORK

A new UMTA technical assistance program is available to help public transportation providers adopt "best practices" at low cost. It is different from other technical assistance programs in that

1. It uses a peer-to-peer approach,
2. It focuses on the adoption of exemplary practices rather than simply focusing on spreading information about such practices, and
3. It is flexible, that is, it can respond to requests for help quickly with a minimum of red tape and with a variety of resources.

The Public Transportation Network (PTN) is sponsored by UMTA's Technical Assistance Program, Office of Management Research and Transit Services, and builds on earlier UMTA technology transfer efforts such as evaluation reports from the Transportation Systems Center and the Service and Management Demonstration Host Program. It also draws on UMTA-sponsored research on technology transfer, which has found that communication among peers is the most effective means for transferring new ideas, and that facilitators—information brokers who are neither technical experts nor proponents of any particular concept—are the most effective means for linking individuals who have problems with individuals who have solutions.

How PTN Works

PTN puts organizations (such as transit agencies, social service organizations, and ridesharing programs) with public transportation problems in touch with resources that will help them solve those problems. Regional Facilitators will help organizations define their problems and arrange for the appropriate form of technical assistance to address them. As of

June 1984, two Regional Facilitators have been established: Jim Miller in UMTA Region III (Pennsylvania, West Virginia, Virginia, Maryland, Delaware, and the District of Columbia) and Dave Cyra in UMTA Region V (Illinois, Wisconsin, Indiana, Michigan, and Ohio). For other regions of the country, the PTN National Office is currently the point of contact.

The types of technical assistance available are varied. In some cases it will involve a simple referral to another UMTA program such as the Transportation Research Information Service. In some cases it will involve sending out reports and identifying other cities that have dealt with a similar problem.

Sometimes the assistance rendered will involve putting together a workshop and inviting individuals who have come up with exemplary practices or techniques to talk about their approaches to the particular problem in question. In still other cases it will involve short-term consulting by telephone and mail. These are examples of the more likely forms of technical assistance, but they are by no means the only types possible. Organizations should determine what they believe are their needs and inquire about the possibilities for assistance.

Sometimes the PTN will pick up the full cost of whatever assistance is provided, although the requesting organization may be asked to provide a local match. This will vary with the level of effort involved.

Developer/Demonstrators

Individuals who have developed and demonstrated a technique or practice that has been certified as exemplary by an UMTA panel are a major focus in the PTN. They are called Developer/Demonstrators and will be the primary peer resources used to help cities adopt best practices. Paratransit Developer/Demonstrators available through the PTN, as of June 1984, are

- Candace Carlson, Seattle Metro (innovation: flexible workhours)

Paratransit reports on innovative applications, policy, regulations, legal issues, and research related to paratransit. It is published intermittently by the Committee on Paratransit: Ronald Kirby, chairman; Carol Everatt, Urban Institute; and James Scott, TRB staff. Publication of this newsletter is made possible by the financial support of the Urban Mass Transportation Administration. Submit items to Paratransit at TRB, 2101 Constitution Avenue, Washington, D.C. 20418. ISSN 0149-1229

- Diane Davidson, Nashville MTA (innovation: transit-operated ride-sharing program)
- Thomas Letky, Pittsburgh PAT/Ervin Roszner, ACCESS, Inc. (innovation: centralized management of specialized services)
- Sandra Showalter, San Diego Transit (innovation: taxi feeders)
- Christopher White, Ann Arbor Transportation Authority (innovation: late-night, shared-ride taxi service)
- Thomas Knight, Milwaukee County Department of Public Works (innovation: user-side subsidies for the handicapped)

For more information contact Dave Koffman, PTN National Office, c/o Crain & Associates, Inc., 343 Second Street, Suite A, Los Altos, Calif. 94022, telephone 415-949-1472.

APPENDIX B

USER AND NON-USER INTERVIEW FORMATS

USER INTERVIEW FORMAT

1. First, can you tell me what your job title is and briefly describe your responsibilities?

2. a. How did you first learn about the PTN? _____

- b. Have you been informed about the PTN through any of the following other sources?

(Interviewer: Leave out source already mentioned)

_____ article in a journal or newsletter

which one? _____

_____ conference or workshop presentation

which one? _____

_____ letter or brochure from a PTN regional or national facilitator?

name of person _____

_____ communication with your UMTA regional office

_____ UMTA Technical Assistance Directory

_____ through any of your professional contacts

Agency, City, State: _____

_____ Other

3. a. Have you told other people in your organization about PTN, or showed them brochures or articles about it?

_____ Yes

_____ No (go to question 4)

b. (If yes), who have you told?

[Prompts: people in your agency? Staff or management level?
people outside your agency?]

c. (Ask only if unclear from b.) About how many people have you told about PTN? _____

4. Now I'd like to find out about the kind of contact you've had with the PTN. I understand that:

(Interviewer: select appropriate kind of contact)

o you called _____ for information about
(name)
_____. (go to a)
(topic)

o you participated in a workshop with _____
from the PTN. (go to b) (names)

o the PTN arranged for _____ to visit you. (go to b)
(person(s))

o the PTN arranged for you to visit _____. (go to b)
(person(s))

a. Telephone Assistance Recipients

Were your questions answered?

_____ Yes

_____ No

Were reports or other written material provided?

Yes What kinds? _____

No

Were you referred to anyone for further information?

Yes Who? _____

No

Was information provided in a timely fashion?

Yes

No

b. Workshop/Site Visit Participants

What did you learn from the workshop/site visit that was of value to you?

c. All users

Are you planning to adopt a _____ program? _____

(if they are):

What steps have been taken since the workshop/visit toward implementing the program? What are the next steps?

5. a. Were you generally satisfied with the assistance you received from PTN?

_____ Yes

_____ No Why not? _____

b. Was the assistance you obtained from the PTN helpful in any of the following ways?

_____ gave you a new idea for a program or project

_____ saved you time in planning

_____ made you aware of how other people have addressed a particular problem which you were facing

_____ helped you to analyze the costs or benefits of a project or program

_____ helped you to convince others in your agency about a project's merits

_____ helped you to diagnose a problem

_____ was the assistance you obtained beneficial in some other way?

6. If the PTN didn't exist, where would you have sought assistance:

_____ from somebody else in your organization?

_____ from the UMTA Regional Office?

_____ from some other federal or state technical assistance program?
which one? _____

_____ from people in other agencies?

_____ from a private consultant?

_____ other: _____

7. (if d/d's not involved in assistance provided): When you had contact with the PTN, did they give you information about any developer/demonstrators, who have implemented specific transit innovations and are available to help agencies implement similar programs?

(If d/d involved in assistance provided): When you had contact with the PTN, did they give you information about any other developer demonstrators besides _____?

(interviewer: specify)

_____ YES

_____ NO (skip to Part b)

a. (If yes), Do you remember which ones?

Were any of these developer/demonstrator programs relevant to the needs of your agency?

- b. Developer demonstrators in the PTN must be approved by an UMTA panel which reviews their program to make sure that benefits have been clearly demonstrated. Would the fact that a program had been certified by UMTA make you more likely to consider it for your agency?

8. In the future, how do you think you might use the PTN?

Prompt: _____ to answer a technical question

_____ to get information about transportation programs in other cities

_____ to get assistance in planning or implementing a particular project or program

(If yes) Can you think of any specific things that the PTN might help you with?

(If no) Why not?

NON-USER INTERVIEW FORMAT

1. First, can you tell me what your job title is and briefly describe your responsibilities?

2. a. How did you first learn about the PTN? _____

b. Have you been informed about the PTN through any of the following other sources? (interviewer: leave out source already mentioned)

_____ article in journal or newsletter
which one? _____

_____ (some other) conference or workshop presentation
which one? _____

_____ letter or brochure from a PTN regional or national facilitator
name of person? _____)

_____ communication with your UMTA regional office

_____ UMTA Technical Assistance Directory

_____ through any of your professional contacts
Agency, City, State: _____

_____ other

3. a. Have you told other people about PTN, or showed them brochures or articles about it?

_____ YES

_____ NO (go to question 4)

b. (If yes), Who have you told?

(Prompts: People in your agency? Staff or management level?
People outside of your agency?)

c. (Ask only if unclear from b.) About how many people have you told about PTN? _____

4. a. If you wanted to get in touch with the PTN, who would you call?

b. Can you describe the kinds of assistance the PTN offers that you are aware of?

c. (interviewer: skip if d/d's were mentioned in b)

Are you aware that the PTN offers assistance from people called developer/demonstrators, who have implemented innovative transit programs, and are available to help agencies implement similar programs?

_____ YES

_____ NO (skip to part e)

d. (If yes) Have you received written descriptions about any of the developer demonstrators?

_____ YES

_____ NO

Do you remember which ones? _____

(If yes) Were any of the developer/demonstrator programs you heard about relevant to the needs of your agency?

e. Developer demonstrators in the PTN must be approved by an UMTA panel which reviews their program to make sure that benefits have been clearly demonstrated. Would the fact that a program had been certified by UMTA make you more likely to consider it for your agency?

5. Have you considered calling the PTN for assistance?

_____ YES

_____ NO (go to b)

a. (If yes), what kind of assistance? _____

Why didn't you call? _____

b. (If no), why not? _____

6. In the future, do you think you might use the PTN in any of the following ways:

_____ to answer a technical question?

_____ to get information about transportation programs in other cities

_____ to get assistance in planning or implementing a particular project or program?

(If yes) Can you think of any specific things that the PTN might help you with?

(If no) Why not?

7. Do you have any suggestions as to what the PTN might offer to better meet your needs?

a. (ask only of people outside of Regional Facilitator Regions)

If there were a PTN contact in your region, do you think you would be more likely to use the PTN?

_____ YES

_____ NO

8. Finally, can you tell me where you have gone in the past for technical assistance and information about programs or projects which your agency was pursuing?

_____ consultants

_____ UMTA regional offices

_____ other federal or state technical assistance programs

(specify) _____

_____ people in other agencies

(give example) _____

_____ Other

(specify) _____

That's all--Thank you so much for your time. Your answers will be very helpful to us for evaluating the PTN.

HE 18.5 "A3"
UMTA-88-2

Harrison, F

Evaluation
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