

CITY OF SASKATOON
Access Transit Program

The Program faces significant operational and funding challenges. Management is committed to pursuing changes that will continue to improve Program performance while delivering high-quality service to its customers.

October 2008

Report Highlights

City of Saskatoon Access Transit Program

Purpose of the Audit

The objective of this audit was to determine whether adequate systems, practices and controls are in place to effectively manage significant business risks inherent in the Access Transit Program.

What Internal Audit Recommends

- Improvements to the eligibility and certification process.
- A mandatory attendant program.
- Preparation of a strategic plan.
- Evaluation of options to decrease slack time.
- Preparation of taxi usage guidelines.
- First aid/CPR training for all Operators.
- City Council direction regarding certain operational pressures (i.e., provincial funding levels, transfer of responsibility and efforts to address demand on a community-wide basis).

What Internal Audit Found

Management and staff of the Access Transit Program are committed to continuous improvement and delivering a high-quality service to their customers. Over the past five years, 34% more revenue trips have been provided with only a 13% increase in revenue hours. Over 90% of customers are picked up on time, and the average trip takes only 20 minutes. The working environment is very positive and the Program was awarded CUTA's "National Transit Corporate Recognition Award" for exceptional performance and outstanding achievement in 2006.

While there are several significant risks that affect the Access Transit Program, there are adequate systems, practices and controls in place to manage many of these risks, and management has several additional controls planned.

However, we do believe additional steps should be taken to further minimize the likelihood or impact of risks in the following areas:

- Capital funding,
- Eligibility and certification processes,
- Unattended travel,
- Increases in demand,
- Operating funding,
- Use of taxi services,
- Staff levels,
- Advances in technology,
- Scheduling of trips, and
- Passenger safety.

We are also recommending that management obtain direction from City Council regarding the following matters:

- Provincial funding levels,
- Transfer of responsibility from other levels of government/government agencies, and
- Service capacity of other publicly-funded organizations.

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Chapter 1 – Introduction and Background

Introduction

The corporate audit plan included provision to conduct an operational audit of the Access Transit Program.

Background

The City of Saskatoon has provided transportation services for disabled individuals since the 1970's. The manner in which services have been provided has changed over time:

- Prior to January 1, 1999, the Saskatchewan Abilities Council provided services under contract.
- From January 1999 to June 2004, Tel-J Communications (scheduling/dispatch) and Wayne Bus Ltd. (operations) provided services under contract.
- On July 1, 2004, services were brought in-house and renamed Access Transit.

Access Transit services are provided for people who are unable to use the regular transit system with safety and dignity. Service is provided within the city limits using a fleet of 21 lift-equipped buses, 2 no-lift buses and taxi-cabs on an "accessible door to accessible door" basis. Access Transit is a shared ride service where booking and scheduling decisions are made to allow as many riders as possible to use the system while staying within the Program's budgetary guidelines.

The Program is in the process of installing mobile data terminals (MDT's) in each vehicle. MDT's communicate through wireless technology and are, in essence, on-board computers that will display the Operator's schedule on screen rather than on paper.

The costs of operating the service are offset by fares collected from users and funding from the Province of Saskatchewan.

Table 1: Operating Funding 2005 – 2008

	2005 (actual)	2006 (actual)	2007 (actual)	2008 (budget)
Revenue				
Fares	\$129,500	\$146,400	\$156,500	\$157,200
Province of Saskatchewan	574,600	574,600	578,300	594,600
	\$704,100	\$721,000	\$734,800	\$751,800
Expenses				
Staff Compensation	\$1,375,300	\$1,580,600	\$1,733,200	\$1,974,400
Transfer to Reserve	15,000	35,000	40,000	50,000
Debt Charges	109,100	109,100	109,100	156,500
Surplus to Taxation	-	(100,000)	-	-
Operating Costs	379,800	554,500	534,600	602,700
	\$1,879,200	\$2,179,200	\$2,416,900	\$2,783,600
Net Operating Funding Requirements	\$1,175,100	\$1,458,200	\$1,682,100	\$2,031,800
Full Time Equivalents	33.25	33.25	35.75	38.00
Revenue Trips	96,215	100,785	108,088	108,400

Audit Objective

The objective of the audit was to determine whether adequate systems, practices and controls are in place to effectively manage significant business risks inherent in the Access Transit Program. Areas of risk included the following:

- Financial (e.g., inadequate operating and/or capital funding, decreases in provincial funding levels),
- Human (e.g., inability to attract/retain qualified staff, inappropriate staff levels),
- Infrastructure (e.g., vehicle breakdown),
- Technology (e.g., scheduling software/mobile data terminal failure, power outage, failure to identify and/or implement advances in technology),
- Administrative (e.g., ineffective eligibility and certification process, individuals who require an attendant travel alone, inconsistent/inappropriate use of taxi services),
- Strategic (e.g., failure to plan for changes in demand, unfunded transfer of responsibility from other levels of government/government agencies, underutilized capacity of other service providers),
- Service Delivery (e.g., inefficient scheduling of trips, failure to pick up and/or drop off passengers on time, customers spend more than 60 minutes in the vehicle, late cancellations/no-shows, traffic congestion, inclement weather), and
- Accidents and Incidents (e.g., staff injury, passenger injury, vehicle accident).

We also evaluated the risk of theft and fraud. Existing controls appear to be adequate and additional actions are not required.

Acknowledgements

Robert Prosser & Associates Inc. wishes to extend special thanks to the Transit Branch Manager and the Access Transit Manager and their staff for accommodating our requests for interviews, information and documents, and reviewing our audit findings.

Chapter 2 – Business Risk Management

The objective of the audit was to determine whether adequate systems, practices and controls are in place to effectively manage significant business risks inherent in the Access Transit Program.

There are adequate systems, practices and controls in place to manage several of these risks, and management has several additional controls planned (see Appendix A). However, we believe additional steps should be taken to further minimize the risks that appear in the upper and middle quadrants in the chart below, the most significant of which are discussed further on the pages that follow.

Likelihood	Impact		
	Minor	Moderate	Significant
High		<ul style="list-style-type: none"> ▪ Inconsistent/inappropriate use of taxi services 	<ul style="list-style-type: none"> ▪ Inadequate capital funding ▪ Decreases in Provincial funding levels ▪ Ineffective eligibility and certification process ▪ Failure to plan for increases in demand ▪ Unfunded transfer of responsibility from other levels of government/government agencies
Medium	<ul style="list-style-type: none"> ▪ Vehicle breakdown ▪ Power outage ▪ Traffic congestion, inclement weather 	<ul style="list-style-type: none"> ▪ Inappropriate staff levels ▪ Failure to identify and/or implement advances in technology ▪ Inefficient scheduling of trips 	<ul style="list-style-type: none"> ▪ Inadequate operating funding ▪ Individuals who require an attendant travel alone ▪ Underutilized capacity of other service providers
Low	<ul style="list-style-type: none"> ▪ Scheduling software failure ▪ Mobile data terminal failure ▪ Customers spend more than 60 minutes in the vehicle 	<ul style="list-style-type: none"> ▪ Inability to attract/retain qualified staff ▪ Late cancellations/no-shows ▪ Staff injury ▪ Vehicle accident 	<ul style="list-style-type: none"> ▪ Failure to pick up customers on time ▪ Passenger injury

Capital funding will be inadequate to fund vehicle replacements over the next five years

Over the next five years, twenty-one of the fleet of twenty-three vehicles will be due for replacement, having reached the end of their useful life of 5-7 years or 300,000-500,000 km. The vehicle replacement reserve has a balance of \$54,000 as of January 1, 2008, and each vehicle costs an estimated \$110,000.

A long-term reserve sufficiency analysis has been prepared and shows that the reserve will be in a deficit position of over \$730,000 by 2013.

We also note that the sufficiency of capital funding will be a chronic issue if the current level of annual reserve contributions is maintained. In order to fully fund vehicle replacements, annual reserve contributions would have to total \$15,700 - \$22,000 per vehicle (i.e., \$361,100 - \$500,000 per year based on current fleet size). Although management intends to increase the annual reserve contribution to \$275,000 effective 2009, once the Program's debt has been discharged, reserve funding will continue to be inadequate unless alternative capital funding sources are identified.

Provincial funding has not kept pace with operating costs or demand

Provincial funding has only increased by \$3,700 (0.6%) over the past three years while the City's funding has increased by \$507,000 (43%).

Management has brought this matter to the attention of the Province through meetings and correspondence, to no avail. If the current trend continues, the City will either have to continue to fund increasing operating costs or may have to consider options to reduce the funding levels required for the Program, including:

- Limiting or decreasing service hours,
- Changing service levels, and/or
- Changing eligibility criteria.

Such changes would result in an increase in the number of denials and customer complaints, and negative publicity for the City.

Figure 1: Funding Levels in Thousands 2005-2007

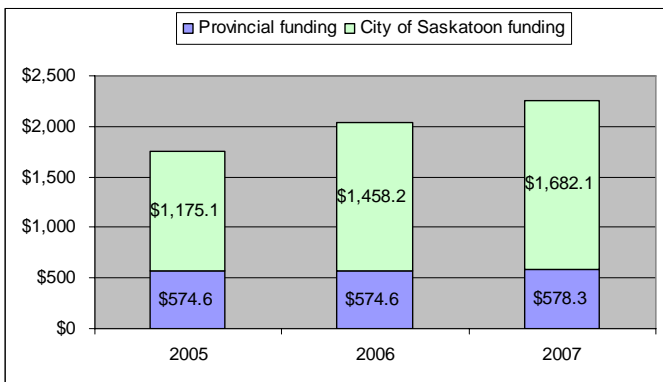
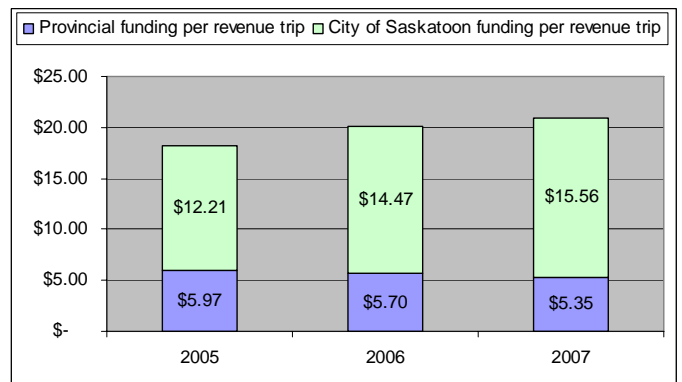


Figure 2: Funding Levels per Revenue Trip 2005-2007



The current eligibility and certification process should be reviewed

Access Transit services are intended for those individuals who are unable to use the conventional transit system with safety and dignity. Services are not intended for those individuals who are unwilling to use conventional transit (e.g., unfamiliar with the system, prefer door-to-door service).

Eligibility and certification processes are the way in which ability is assessed and can be considered on a continuum based on the extent to which functional assessments, interviews and medical verification are utilized. The process currently in use by the Program is at the lower end of the continuum and should be reviewed.

While there would be a cost associated with enhancing the current process, it is also important to consider the costs associated with providing service to an individual who truly does not need it. We estimate this annual cost to exceed, on average, \$1,200 per person per year.

Individuals who indicate they require an attendant often travel without one

Management indicates that there are cases where customers indicate upon registration that they require assistance while traveling but often travel alone, or indicate upon registration that they do not require assistance while traveling but often travel with an attendant. Efforts to enforce the customer's stated traveling requirements have not been successful.

For those individuals who can not travel by themselves, a mandatory attendant program would ensure customer safety by prohibiting the passenger from traveling alone.

A strategic plan has not been prepared

Over the past five years, demand for Program services has increased 37% and this trend is expected to continue as the population ages and rural residents migrate to urban centers.

This situation is not unique to Saskatoon and several service providers throughout North America have shifted their focus from constantly increasing funding for accessible services to diverting demand to conventional transit (i.e., low floor buses).

In addition to the economic benefits (i.e., the incremental cost for one Program trip (2007) is \$21.06; the incremental cost for one conventional transit trip is zero), there are benefits for the customer too (e.g., not having to rely on the service exclusively, the ability to be spontaneous, independence, etc.).

In 2007, the Program provided over 108,000 trips. If just 10% of those trips were diverted to conventional transit, the Program would have been able to accommodate all requests for service – there would have been no denials.

Barriers to conventional transit use may include difficulty locating information on Transit's website regarding routes that are exclusively served by low-floor buses and lack of a training/educational program.

Preparation of a strategic plan that incorporates demand management strategies may also help alleviate the Program's operating funding pressures (see below).

Responsibility for ambulatory patient transport has been transferred to the Program with no corresponding increase in funding

Management indicates that since 2004, when Tri-Hospital Patient & Courier Services discontinued providing ambulatory patient transport services to the Saskatoon Health Region, the Program has been responsible for transporting these ambulatory patients within the city. The most common patient group are those going to and from St. Paul's Hospital for dialysis treatment.

Despite this new customer group, the Program has received no additional funding. Trips to and from Royal University Hospital, City Hospital and St. Paul's Hospital represented 9.4% of all trips provided by the Program in 2007.

Although performance has improved over the past five years, the risk of inadequate operating funding remains

Demand for Program services continues to increase, placing increasing pressure on the mill rate.

Management highlights the Program's accomplishments through annual reporting. Key indicators (below) show that the Program's performance has improved over the last five years.

Unless demand can be stabilized, the City may have to consider options to reduce the funding levels required for the Program, including:

- Limiting or decreasing service hours,
- Changing service levels, and/or
- Changing eligibility criteria.

Such changes would result in an increase in the number of denials and customer complaints, and negative publicity for the City.

Figure 3: Revenue Trips 2003-2007

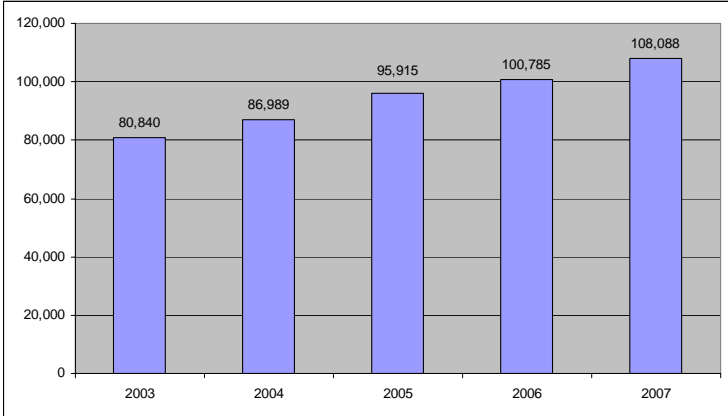


Figure 4: Revenue Hours 2003-2007

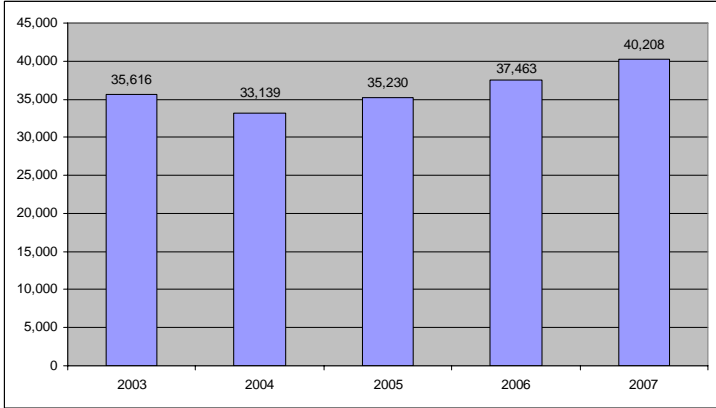


Figure 5: Revenue Trips per Revenue Hour 2003-2007

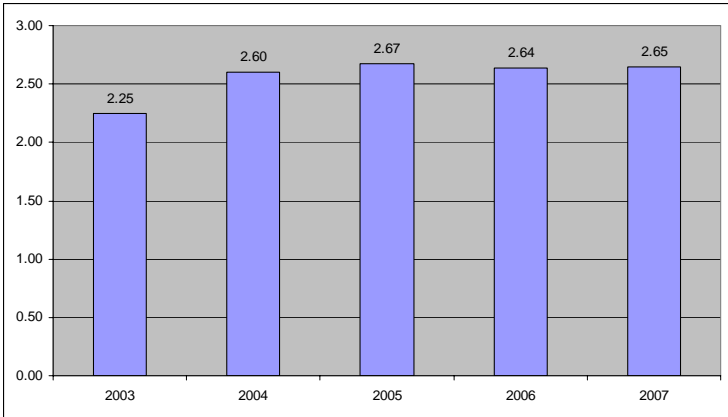


Figure 6: Percentage of Requests Accommodated 2003-2007

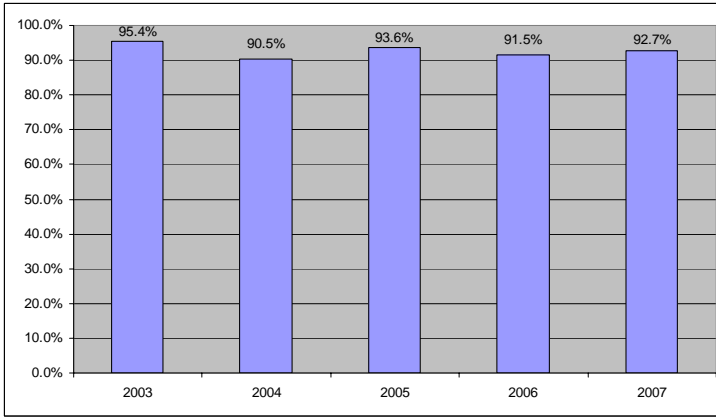


Figure 7: Operating Costs per Revenue Hour 2003-2007

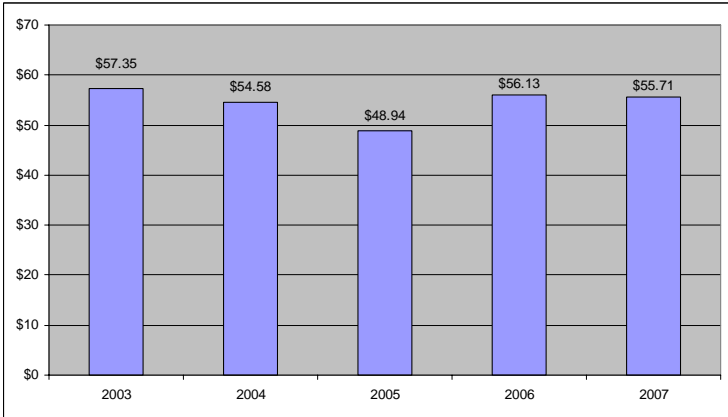
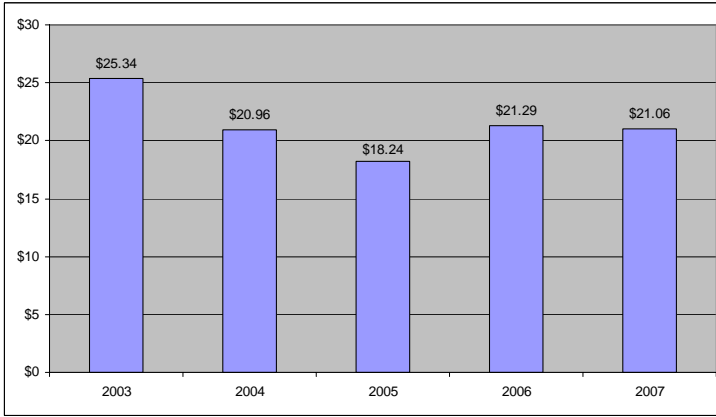


Figure 8: Operating Costs per Revenue Trip 2003-2007



Efforts to manage demand for accessible transportation services on a community-wide basis have not been successful

There are ten publicly-funded long-term care homes in Saskatoon that own and operate their own accessible vehicles. While information regarding capacity and utilization of these vehicles is not available, almost 10% of trips provided by the Program in 2007 were for residents of these facilities.

Several cities across North America face similar circumstances – several parties own accessible vehicles, including the municipality, non-profit organizations and/or health care agencies, and demand continues to increase. Many cities have entered into arrangements whereby demand for accessible transportation is considered on a community-wide basis rather than service-provider basis. The goal is to maximize provision of service regardless of who owns and operates the vehicle.

Management has approached the largest long-term care homes with the goal of addressing demand on a cooperative basis, to no avail.

Guidelines for the use of taxi services would ensure equity and effectiveness

Authority for determining when to use taxi services has been delegated to Scheduling/Dispatch staff. Generally, taxi services are used during off-peak hours, when demand exceeds vehicle supply, for emergencies and to serve outlying trip requests. However, guidelines to assist Scheduling/Dispatch staff in determining when to deny a trip versus when to provide a trip by taxi have not been documented.

Since 2007, the Program has been experiencing difficulties getting access to taxi services when needed. In some cases, this is understandable (e.g., during a snowstorm when demand for taxi's is high and overall availability is limited), but in an increasing number of cases, the reason for the denial is unknown. Discussions with the service provider are underway.

Preparation of a long term staffing plan will ensure customers are adequately served

Workload is increasing at a faster rate than staff levels for Administration staff and Scheduling/Dispatch staff.

Administration staff are supervising 35% more staff in 2007 than in 2005; Scheduling/Dispatch staff are responding to 13% more requests for service in 2007 than in 2005.

As demand for Program services continues to increase, this trend is expected to worsen and management does not believe existing staff levels will be adequate to provide an acceptable level of customer service.

Technology training plans will ensure benefits from significant investments are maximized

The Trapeze scheduling software system was a significant Program investment (\$147,000). While the system has improved the efficiency of the scheduling process considerably, there are several system features that are not being utilized due to a lack of familiarity with, and training on, these features.

The Program is currently investing \$200,000 in mobile data terminals (MDT's). The MDT's are capable of much more than just displaying the Operator's schedule on-screen in real time and management wants to ensure all of these features are implemented in a planned and timely manner.

There may be opportunities to improve performance by reducing slack time

Although the number of revenue trips provided per revenue hour has increased 18% over the past five years, there are times when Operators are not transporting customers – the Trapeze software system defines this as “slack time.”

While we recognize that it is very difficult to address slack time periods of 15 minutes or less (i.e., this may not allow enough time to pick up and secure another passenger before possibly being late to pick up the next passenger), slack time periods of more than 15 minutes have been increasing over the past three years. It may be possible to utilize these larger slack time periods to further improve Program performance.

Passenger safety could be improved through first aid/CPR training and the gathering of relevant medical information

In the event that a passenger is injured while traveling, Operators may be unable to respond effectively because they have not been provided first aid/CPR training. Without this training, Operators may be unable to assist at all, or may attempt to provide care and exacerbate the situation.

We also note that registrants are not asked to provide information regarding medical conditions that may affect their ability to utilize Program services safely (e.g., diabetes, seizure disorder, etc.). Such conditions could significantly affect the ability of the Operator and emergency response personnel to provide care, especially in a worst-case scenario if the passenger is unconscious and their emergency contact can not be reached.

Recommendations

1. That management continue to monitor the long-term sufficiency of the vehicle replacement reserve and give consideration to the development of alternative funding sources (e.g., donations, sponsorships, fundraising, planned giving, etc.).
2. That management improve the effectiveness of the eligibility and certification process.
3. That management implement a mandatory attendant program.
4. That a strategic plan, that includes a long-term staffing plan, be prepared for the Program.
5. That management develop guidelines regarding the equitable and effective use of taxi services.
6. That management develop a training plan regarding the features of the scheduling software system and the mobile data terminals.
7. That management explore options to decrease slack time.
8. That management ensure Operators receive first aid/CPR training.
9. That management request the voluntary provision of information by registrants regarding medical conditions that may affect their ability to use Program services safely and implement controls to ensure the information obtained is protected.
10. That the following matters be referred to City Council for direction:
 - Provincial funding levels that have not kept pace with operating costs or demand,
 - The unfunded transfer of responsibility for ambulatory patient transport, and
 - Efforts to pursue a community-wide plan to cooperatively address demand for accessible transportation services.

Management Response

1. *Agree.*

2. *Agree.*

Implementation of this recommendation will have staffing resource implications.

3. *Agree.*

4. *Agree.*

Management will request capital funding for preparation of a strategic plan.

5. *Agree.*

6. *Agree.*

7. *Agree.*

8. *Agree.*

9. *Agree.*

10. *Agree.*

Chapter 3 – Implementation Plan

	Recommendations	Implementation Date
1.	That management continue to monitor the long-term sufficiency of the vehicle replacement reserve and give consideration to the development of alternative funding sources (e.g., donations, sponsorships, fundraising, planned giving, etc.).	December 2009
2.	That management improve the effectiveness of the eligibility and certification process.	2010 Operating Budget
3.	That management implement a mandatory attendant program.	December 2009
4.	That a strategic plan, that includes a long-term staffing plan, be prepared for the Program.	2010 Capital Budget
5.	That management develop guidelines regarding the equitable and effective use of taxi services.	December 2009
6.	That management develop a training plan regarding the features of the scheduling software system and the mobile data terminals.	September 2009
7.	That management explore options to decrease slack time.	Ongoing
8.	That management ensure Operators receive first aid/CPR training.	December 2010
9.	That management request the voluntary provision of information by registrants regarding medical conditions that may affect their ability to use Program services safely and implement controls to ensure the information obtained is protected.	August 2009
10.	That the following matters be referred to City Council for direction: <ul style="list-style-type: none"> ▪ Provincial funding levels that have not kept pace with operating costs or demand, ▪ The unfunded transfer of responsibility for ambulatory patient transport, and ▪ Efforts to pursue a community-wide plan to cooperatively address demand for accessible transportation services. 	-

Appendix A – Risk Matrix

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
FINANCIAL				
Inadequate operating funding.	<ul style="list-style-type: none"> • Inadequate operating funding would result in the Program being unable to satisfy customer demand for services. • Management minimizes the likelihood of this risk by highlighting the Program’s accomplishments through annual reporting. Such reporting demonstrates to City Council and the public the “return on its investment” in the Program. <ul style="list-style-type: none"> ○ Key indicators show that the Program’s performance has improved over the last five years (note: service brought in-house July 1, 2004). <ul style="list-style-type: none"> ▪ Total revenue trips have increased by 34% with only a 13% increase in revenue hours. ▪ Revenue trips per revenue hour have increased 18%. ▪ Although the demand for trips has increased 37%, the percentage of trips accommodated has only decreased 3%. ▪ Operating cost per revenue hour has decreased by 3% and operating cost per revenue trip has decreased by 17%. ▪ Management has considered various options to maximize operating revenue, including: <ul style="list-style-type: none"> ○ Advertising: although external “sign boards” can not be installed on Program vehicles due to design limitations, “wrap” advertising similar to that being installed on conventional transit vehicles could be utilized. Management has not pursued this revenue option because they believe customers would not be in favor. Lighted sign boards were not installed in the vehicles at the time of purchase, thereby limiting the opportunity for interior advertising. ○ Charter service: charter services could be operated on a cost-recovery basis rather than the general fare structure, consistent with conventional transit practice. However, management indicates that demand for charter services is 	<p>Medium.</p> <p>Although performance has improved over the past five years, demand continues to increase at a significant rate.</p>	<p>Significant.</p> <p>The number of trip denials and customer complaints would increase if Program resources can not meet demand and/or service was reduced to decrease Program costs.</p> <p>The City would face negative publicity.</p>	<p>Additional actions are required.</p> <p>The Program’s strategic plan should include consideration of ways in which to reduce the likelihood and impact of this risk.</p>

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
	<p>either at peak times when most buses are already in use or in the evenings when additional Operators would be required.</p> <ul style="list-style-type: none"> ○ Fare structure: the fare structure can not be increased in order to increase Program revenue due to Human Rights Commission decisions that require equity between regular transit and paratransit fares. ▪ Management minimizes operating expenses through: <ul style="list-style-type: none"> ○ Vehicle preventive maintenance program: by regularly maintaining vehicles, management avoids costly emergency repairs. ○ Staff utilization: Both full-time and part-time staff are utilized in order to respond to fluctuations in customer demand for bookings and trips. Over the past three years (2005-2007) overtime wages have been between 6.6% and 7.7% of total payroll which suggests that management is utilizing staff in a way that minimizes excessive overtime. ○ “Smart Driver Program:” this program emphasizes actions Operators can take to improve safety (defensive driving) and fuel efficiency (gradual braking and acceleration) and is currently being provided to conventional transit Operators. Program Operators will be provided this training in late 2008/early 2009 and lower repairs, maintenance and fuel costs are expected to result. ▪ In the event operating funding is not adequate, there are several options that could be pursued to reduce the operating costs of the Program, including: <ul style="list-style-type: none"> ○ <u>Limit or decrease service hours</u>: Program services are very labour intensive (i.e., over three quarters of the Program’s costs are spent on salaries and benefits) – hours of service provided by Scheduling/Dispatch staff and/or operations staff could be decreased. ○ <u>Change service levels</u>: certain service parameters could be increased in order to allow for more operational flexibility (e.g., increase the pick-up window from 20 minutes to 30 minutes, increase the maximum trip time from 60 minutes to 75 minutes, etc.). 			

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
	<ul style="list-style-type: none"> ○ <u>Change eligibility criteria</u>: in 2007, 56,841 trips (52%) were provided for individuals who have physical disabilities (e.g., use a wheelchair, scooter or other mobility device). Narrowing eligibility criteria would reduce the number of customers served by the Program and decrease the demand for service. 			
Inadequate capital funding.	<ul style="list-style-type: none"> ▪ Inadequate capital funding would result in delays in replacement and deterioration in the condition of vehicles since they would be kept in service longer. As condition declines, increasing funds are required for repairs, often on an emergency basis. ▪ The City of Saskatoon has established a vehicle replacement reserve, funded through the Program's operating budget, to help minimize the likelihood of this risk. <ul style="list-style-type: none"> ○ The vehicle replacement reserve has a projected balance of \$54,000 as of January 1, 2008¹. ▪ Each year, \$250,000 of Provincial funding is also available to assist with the purchase of approximately 5 vehicles (\$50,000 per vehicle) throughout Saskatchewan. This funding is not guaranteed for each vehicle purchase and is shared among all service providers in the province. ▪ Management estimates that over the next five years (2009-2013) twenty-one vehicles in the fleet of twenty-three will have reached the end of their useful life (i.e., 5-7 years; 300,000-500,000 km) and will require replacement. ▪ A long-term reserve sufficiency analysis has been prepared and shows that the replacement reserve will be in a deficit position of over \$730,000 by 2013. ▪ The sufficiency of capital funding will be a chronic issue if the current level of annual reserve contributions is maintained. <ul style="list-style-type: none"> ○ Assuming a replacement cost of \$110,000 per vehicle, \$15,700 - \$22,000 is required to be contributed to the reserve each year for each vehicle to fully fund replacement every 5 – 7 years. <ul style="list-style-type: none"> ▪ At the current fleet size of twenty-three vehicles, a 	<p>High. Twenty-one vehicles are due for replacement in the next five years.</p>	<p>Significant. Each vehicle costs approximately \$110,000; the vehicle replacement reserve balance will be in a deficit position in five years.</p>	<p>Additional actions are required. Management should pursue alternative capital funding sources such as donations, sponsorships, fundraising and planned giving arrangements to reduce the impact of this risk.</p>

¹ City of Saskatoon Preliminary Capital Budget and Capital Plan, December 3, 2007, p. 6.

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION																																																	
		LIKELIHOOD	IMPACT																																																		
	<p>total annual reserve contribution of \$361,100-\$500,000 would be required.</p> <ul style="list-style-type: none"> ○ The 2008 budgeted reserve contribution is \$50,000. <ul style="list-style-type: none"> ▪ Management intends to increase the annual contribution to \$275,000 per year effective January 1, 2009, once the Program's debt has been discharged. 																																																				
<p>Decreases in Provincial funding levels.</p>	<ul style="list-style-type: none"> ▪ Decreases in Provincial funding levels would lead to the requirement for additional operating funding. The Program is a "mill rate funded" program and therefore this risk would have an impact on the mill rate. ▪ Although management encourages stakeholders to lobby the Provincial government for additional funding, over the past three years, the dollar amount of Provincial funding has only increased \$3,700 (0.6%); funding is not based on demand for Program services and is a declining proportion of Program costs in total and per revenue trip. Over this same time period, the City's funding has increased \$507,000 (43%). <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th colspan="2">2005 (actual)</th> <th colspan="2">2006 (actual)</th> <th colspan="2">2007 (actual)</th> </tr> </thead> <tbody> <tr> <td>Provincial funding*</td> <td>\$574.6</td> <td>33%</td> <td>\$574.6</td> <td>28%</td> <td>\$ 578.3</td> <td>26%</td> </tr> <tr> <td>City of Saskatoon funding (net of fares)*</td> <td>1,175.1</td> <td>67%</td> <td>1,458.2</td> <td>72%</td> <td>1,682.1</td> <td>74%</td> </tr> <tr> <td>Program Costs (net of fares)*</td> <td>\$1,749.7</td> <td>100%</td> <td>\$2,032.8</td> <td>100%</td> <td>\$2,260.4</td> <td>100%</td> </tr> <tr> <td>Revenue Trips</td> <td colspan="2">96,215</td> <td colspan="2">100,785</td> <td colspan="2">108,088</td> </tr> <tr> <td>Provincial funding per revenue trip</td> <td colspan="2">\$5.97</td> <td colspan="2">\$5.70</td> <td colspan="2">\$5.35</td> </tr> <tr> <td>City of Saskatoon funding per revenue trip</td> <td colspan="2">\$12.21</td> <td colspan="2">\$14.47</td> <td colspan="2">\$15.56</td> </tr> </tbody> </table> <p>* in thousands</p>		2005 (actual)		2006 (actual)		2007 (actual)		Provincial funding*	\$574.6	33%	\$574.6	28%	\$ 578.3	26%	City of Saskatoon funding (net of fares)*	1,175.1	67%	1,458.2	72%	1,682.1	74%	Program Costs (net of fares)*	\$1,749.7	100%	\$2,032.8	100%	\$2,260.4	100%	Revenue Trips	96,215		100,785		108,088		Provincial funding per revenue trip	\$5.97		\$5.70		\$5.35		City of Saskatoon funding per revenue trip	\$12.21		\$14.47		\$15.56		<p>High.</p> <p>The Province's share of total Program funding has been decreasing over the past several years.</p>	<p>Significant.</p> <p>Additional mill rate funding would be required.</p> <p>The number of trip denials and customer complaints would increase if service was reduced to decrease Program costs.</p> <p>The City would face negative publicity.</p>	<p>Additional actions are required.</p> <p>Management should obtain direction from City Council on how to proceed.</p>
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Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
	<ul style="list-style-type: none"> ▪ In the event Provincial funding continues to remain stagnant or decreases, there are several options that could be pursued to reduce the mill rate impact of the Program, including: <ul style="list-style-type: none"> ○ <u>Limit or decrease service hours</u>: Program services are very labour intensive (i.e., over three quarters of the Program's costs are spent on salaries and benefits) – hours of service provided by Scheduling/Dispatch staff and/or operations staff could be decreased. ○ <u>Change service levels</u>: certain service parameters could be increased in order to allow for more operational flexibility (e.g., increase the pick-up window from 20 minutes to 30 minutes, increase the maximum trip time from 60 minutes to 75 minutes, etc.). ○ <u>Change eligibility criteria</u>: in 2007, 56,841 trips (52%) were provided for individuals who have physical disabilities (e.g., use a wheelchair, scooter or other mobility device). Narrowing eligibility criteria would reduce the number of customers served by the Program and decrease the demand for service. 			
HUMAN				
Inability to attract/retain qualified staff.	<ul style="list-style-type: none"> ▪ Program service delivery is at risk if qualified staff can not be hired or retained. Staff must be skilful in dealing with individuals who have disabilities, resolving problems in a diplomatic and sensitive manner and/or navigating the city safely while adhering to schedules. ▪ Regarding Scheduling/Dispatch staff, management indicates that staff turnover has been fairly low since the service was brought in-house (on average 1 individual per year) and they have been able to fill vacancies with qualified individuals. ▪ Regarding Operators, management indicates that staff turnover has been more significant (3 to 4 individuals per year) but they have not had difficulties filling those vacancies with qualified individuals. ▪ The Program has had challenges regarding staff development – there have been no dollars budgeted for staff development (beyond orientation and OH&S training) in the last three years (2005-2007) although some funds were expended in 2007 despite the lack of budget. Only limited training opportunities have been provided 	Low. Existing controls appear to be adequate to reduce the likelihood of this risk to an acceptable level.	Moderate. Replacement staff at overtime rates would have to be utilized in order to deliver Program services.	Additional actions are not required.

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION																																																				
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	<p>largely because it is difficult to “backfill” when staff are away.</p> <ul style="list-style-type: none"> ▪ An employee recognition program has recently been implemented and has been received quite positively. ▪ Management plans on making comment cards available on the vehicles to encourage customers to provide feedback on the service and then sharing that feedback with staff. Currently, many positive comments are received verbally but are difficult to share with all staff (i.e., those on night and weekend shifts). 																																																							
Inappropriate staff levels.	<ul style="list-style-type: none"> ▪ Staff levels that are too high result in excessive Program costs; staff levels that are too low may result in increasing pressure on existing staff (which may create morale issues) and may place Program service delivery at risk. ▪ Although management does not formally monitor and report on staff levels in comparison to level of activity, indicators suggest that workload is increasing at a faster rate than staff levels for Administration and Scheduling/Dispatch staff. <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th style="text-align: center;">2005</th> <th style="text-align: center;">2006</th> <th style="text-align: center;">2007</th> </tr> </thead> <tbody> <tr> <td>Administration budgeted fte's</td> <td style="text-align: center;">2.75</td> <td style="text-align: center;">2.75</td> <td style="text-align: center;">2.25</td> </tr> <tr> <td>Direct service delivery budgeted fte's</td> <td style="text-align: center;">30.5</td> <td style="text-align: center;">30.5</td> <td style="text-align: center;">33.5</td> </tr> <tr> <td>Administration fte's: Direct service delivery fte's</td> <td style="text-align: center;">1:11</td> <td style="text-align: center;">1:11</td> <td style="text-align: center;">1:14.9</td> </tr> <tr> <td>Operations budgeted fte's</td> <td style="text-align: center;">22.0</td> <td style="text-align: center;">22.0</td> <td style="text-align: center;">24.0</td> </tr> <tr> <td>Hours of service</td> <td style="text-align: center;">38,474</td> <td style="text-align: center;">40,435</td> <td style="text-align: center;">44,316</td> </tr> <tr> <td>Operations fte's: Hours of service</td> <td style="text-align: center;">1:1,750</td> <td style="text-align: center;">1:1,840</td> <td style="text-align: center;">1:1,850</td> </tr> <tr> <td>Maintenance budgeted fte's</td> <td style="text-align: center;">3.0</td> <td style="text-align: center;">3.0</td> <td style="text-align: center;">4.0</td> </tr> <tr> <td>Fleet size (effective)</td> <td style="text-align: center;">15</td> <td style="text-align: center;">18</td> <td style="text-align: center;">20</td> </tr> <tr> <td>Maintenance fte's: :fleet size</td> <td style="text-align: center;">1:5</td> <td style="text-align: center;">1:6</td> <td style="text-align: center;">1:5</td> </tr> <tr> <td>Scheduling/Dispatch budgeted fte's</td> <td style="text-align: center;">5.5</td> <td style="text-align: center;">5.5</td> <td style="text-align: center;">5.5</td> </tr> <tr> <td>Trips requested</td> <td style="text-align: center;">116,815</td> <td style="text-align: center;">125,308</td> <td style="text-align: center;">132,244</td> </tr> <tr> <td>Scheduling/Dispatch fte's: Trips requested</td> <td style="text-align: center;">1:21,240</td> <td style="text-align: center;">1:22,780</td> <td style="text-align: center;">1:24,040</td> </tr> </tbody> </table>		2005	2006	2007	Administration budgeted fte's	2.75	2.75	2.25	Direct service delivery budgeted fte's	30.5	30.5	33.5	Administration fte's: Direct service delivery fte's	1:11	1:11	1:14.9	Operations budgeted fte's	22.0	22.0	24.0	Hours of service	38,474	40,435	44,316	Operations fte's: Hours of service	1:1,750	1:1,840	1:1,850	Maintenance budgeted fte's	3.0	3.0	4.0	Fleet size (effective)	15	18	20	Maintenance fte's: :fleet size	1:5	1:6	1:5	Scheduling/Dispatch budgeted fte's	5.5	5.5	5.5	Trips requested	116,815	125,308	132,244	Scheduling/Dispatch fte's: Trips requested	1:21,240	1:22,780	1:24,040	<p>Medium. Workload has been increasing faster than staff levels for Administration and Scheduling/Dispatch staff.</p>	<p>Moderate. Staff turnover may increase.</p>	<p>Additional actions are required. Management should incorporate a long term staffing plan into the strategic plan in order to reduce the likelihood and impact of this risk.</p>
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Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
	<ul style="list-style-type: none"> ▪ Management was aware that workload for Scheduling/Dispatch staff has increased over the past three years but due to space constraints in the Transit Body Shop, additional staff can not be hired. Management intends to request additional staff once the new Transit facility is operational (2009). 			
INFRASTRUCTURE				
Vehicle breakdown.	<ul style="list-style-type: none"> ▪ If vehicles break down, Program service delivery is at risk – Operators may not be able to adhere to their schedule (i.e., run late), customers may be stranded and either miss or be late for appointments, work or school. ▪ Management has the following controls in place to minimize this risk: <ul style="list-style-type: none"> ○ Vehicle preventive maintenance program: vehicles are checked and fluids changed every 5,000 km; a comprehensive vehicle assessment is performed every 15,000 km. Necessary repairs are then undertaken. <ul style="list-style-type: none"> ▪ Per management, all preventive maintenance activities are up to date; there is no backlog of outstanding work orders. ○ Circle checks: Operators perform an extensive circle check to ensure the vehicle is in good working condition each morning; another less extensive circle check is conducted as part of the afternoon shift-change. ○ Communication system: each vehicle is equipped with a radio – the operator is in constant contact with dispatch and can immediately notify staff of a breakdown. The new mobile data terminals are also equipped with GPS which allows staff to know exactly where a breakdown has occurred. ○ Customer notification procedures: although not formally documented in procedure, Scheduling/ Dispatch staff engage in several actions to ensure the effect of a breakdown is minimized for customers: <ul style="list-style-type: none"> ▪ Staff can send a spare vehicle and/or taxi to the breakdown location to complete trips for those customers who are on the vehicle. 	<p>Medium. Management indicates that the Program experiences only 1-2 breakdowns per month.</p>	<p>Minor. Controls appear to be adequate to reduce the impact of this risk to an acceptable level.</p>	<p>Additional actions are not required.</p>

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
	<ul style="list-style-type: none"> ▪ Seven spare vehicles in the fleet of 23 vehicles are available to be placed into service if required. ▪ Staff can contact customers to request changes to pick up or drop off times for immediately upcoming trips. Customers who can not be contacted or change their trip time can then be served by a taxi or another vehicle that is able to accommodate the trip in its schedule. These actions would only be required for the time period necessary for the spare vehicle to “catch up.” ○ Contingency plan: although unlikely, if a spare vehicle is not available, management indicates they could approach other service providers (e.g., long-term care homes) to provide short-term assistance. 			
TECHNOLOGY				
Scheduling software failure.	<ul style="list-style-type: none"> ▪ Failure of the scheduling software used to book trips and schedule vehicles could place Program service delivery at risk. ▪ Although this risk has not been experienced to date, management has the following controls in place to minimize this risk: <ul style="list-style-type: none"> ○ User ID’s and passwords are required to gain access to the software system. Privileges vary based on the user-group the individual has been assigned to. ○ The original software is safeguarded at City Hall. ○ The server containing all the system data is located at City Hall. ○ The software has been installed on an off-site computer terminal which has access to the server upon which data is stored. The telephones could be forwarded to this site and the greeting message could inform customers to expect delays. ○ Before each operator leaves to begin their shift, they receive a paper copy of their scheduled customer pick ups and drop offs. Throughout the shift, any changes in the schedule are verbally communicated to the operator (i.e., through the 	<p>Low. Existing controls appear to be adequate to reduce the likelihood of this risk to an acceptable level.</p>	<p>Minor. Existing controls appear to be adequate to reduce the impact of this risk to an acceptable level.</p>	<p>Additional actions are not required.</p>

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
	<p>radio system) and written onto the hard copy. As a result, Operators always have a current record of where they need to be and when.</p> <ul style="list-style-type: none"> ▪ This practice will be continued for a period of time even after mobile data terminals are installed. ▪ Mobile data terminals will reflect the most up to date information through wireless communication technology, eliminating the need for verbal updates over the radio system. <ul style="list-style-type: none"> ○ Scheduling/Dispatch staff back up the next seven days of bookings each night. 			
<p>Mobile data terminal failure.</p>	<ul style="list-style-type: none"> ▪ Failure of one or more mobile data terminal(s) could place Program service delivery at risk – Operators may not be able to adhere to their schedule, customers may be stranded and either miss or be late for appointments, work or school. ▪ Management has the following controls planned to minimize this risk: <ul style="list-style-type: none"> ○ For a period of time (estimated to be 2 years) Operators will still receive a paper copy of their schedule at the start of their shift. <ul style="list-style-type: none"> ▪ Operators will be notified of any changes in the schedule and the operator will write these changes onto the hard copy. In the event the mobile data terminal fails, the operator will have a current record of where they need to be and when. ○ Once paper copies are no longer generated, if the mobile data terminal fails, Scheduling/Dispatch staff can verbally communicate with the operator (i.e., through the radio system) each scheduled pick up and drop off until such time as the operator can meet up with another operator and place a spare vehicle (with a functioning mobile data terminal) in service. ▪ The mobile data terminals are covered by a 1 year warranty. 	<p>Low.</p> <p>Planned controls appear to be adequate to reduce the likelihood of this risk to an acceptable level.</p>	<p>Minor.</p> <p>Planned controls appear to be adequate to reduce the impact of this risk to an acceptable level.</p>	<p>Additional actions are not required.</p>

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
<p>Power outage.</p>	<ul style="list-style-type: none"> ▪ A power outage at the Transit Body Shop could render the scheduling software inaccessible and the radio communication system inoperable, thereby placing Program service delivery at risk. ▪ Management has the following controls in place to minimize this risk: <ul style="list-style-type: none"> ○ Scheduling/Dispatch staff back up the next seven days of bookings each night. ○ Portable radios and cell phones are available to communicate with Operators. ○ An uninterruptible power source (UPS) is available to power the computers, office lights and alarm system for approximately ½ hour. <ul style="list-style-type: none"> ▪ During this limited amount of time, Scheduling/Dispatch staff would generate hard copies of the remaining bookings for the current day and the most current schedules for the next day. ○ The software has been installed on an off-site computer terminal which has access to the server upon which data is stored. The telephones could be forwarded to this site before their backup batteries lose power (approximately 1½ hours) and the greeting message could inform customers to expect delays. ○ A backup generator to power the computers and office lights for longer than the UPS provides for has been planned for the new Transit facility (2009). ▪ A power outage at City Hall would render scheduling data inaccessible. <ul style="list-style-type: none"> ○ It is our understanding that CIS will be requesting 2009 capital budget funding to address the risk of a power outage at City Hall. 	<p>Medium. Power outages have occurred and are unpredictable.</p>	<p>Minor. Installation of backup power supplies at City Hall and the new Transit facility (both planned for 2009) will reduce the impact of this risk to an acceptable level.</p>	<p>Additional actions are not required.</p>

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
<p>Failure to identify and/or implement advances in technology.</p>	<ul style="list-style-type: none"> ▪ Failure to identify and/or implement advances in technology could result in unrecognized and/or unrealized opportunities for improvements in efficiency and data accuracy. ▪ Management has the following controls in place to minimize this risk: <ul style="list-style-type: none"> ○ Management networks with peers individually and in group settings (e.g., CUTA conferences, trade shows). ○ Management subscribes to industry publications and newsletters. ○ Management contributes to the annual CUTA “Specialized Transit Services Fact Book.” ○ Management receives notifications and news releases from the scheduling software vendor regarding their products. ▪ Management indicates that there are features of the scheduling software that are available but not being utilized due to lack of understanding of, and training regarding, these features (e.g., performance monitoring and reporting capabilities). ▪ Management also agrees that in order to avoid a similar situation with the mobile data terminals, a training plan should be developed to ensure the full capabilities of the new technology are utilized. <ul style="list-style-type: none"> ○ For example, the mobile data terminals are capable of calling ahead to the next scheduled passenger with an automated message to let them know the estimated arrival time of the vehicle. This feature has the potential to reduce the number of no-show trips, improve customer service and improve efficiency by reducing waiting time. 	<p>Medium.</p> <p>There are features of the scheduling software that are not being utilized to their full potential.</p>	<p>Moderate.</p> <p>Opportunities for efficiency improvements may not be realized.</p>	<p>Additional actions are required.</p> <p>Management should develop a scheduling software and mobile data terminal training plan to reduce the likelihood of this risk.</p>
ADMINISTRATIVE				
<p>Ineffective eligibility and certification process.</p>	<ul style="list-style-type: none"> ▪ Failure to effectively assess and certify eligibility for Program services could lead to individuals who do not truly need the service consuming limited Program resources at the expense of those who have no other transportation option available to them. ▪ Access Transit services are intended for those individuals who are <u>unable</u> to use the conventional transit system with safety and dignity. Services are not intended for those individuals who are <u>unwilling</u> to use conventional transit (e.g., unfamiliar with the system, prefer door-to-door service). ▪ Eligibility and certification processes can be considered on a 	<p>High.</p> <p>The current process relies on information provided by the applicant with little to no verification.</p>	<p>Significant.</p> <p>Each trip taken by an individual who does not truly need the service reduces the opportunities for those who have no other options.</p>	<p>Additional actions are required.</p> <p>Management should improve the current eligibility and certification process to minimize the</p>

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
	<p>continuum.</p> <ul style="list-style-type: none"> ○ The most comprehensive (and most costly) eligibility and certification process may involve the completion of an application form, in part by a qualified health care practitioner, and confirmation of the applicant’s abilities through an interview and functional assessment by qualified professionals; registrants may periodically be required to confirm their continued eligibility for services (e.g., every 3 years). ○ The least comprehensive process may involve completion of an application form solely by the applicant with no verification procedures; eligibility is not periodically confirmed. <ul style="list-style-type: none"> ▪ Management agrees that the Program’s eligibility and certification process should be reviewed. <ul style="list-style-type: none"> ○ Eligibility criteria exist and are communicated to potential applicants through brochures, the Program’s website and the application form. <ul style="list-style-type: none"> ▪ However, Applicants most often complete their applications over the phone with Scheduling/Dispatch staff. Applications are not available on the Program’s website. ▪ Applicants are not required to provide contact information for a qualified health care practitioner who is familiar with the applicant’s condition and could confirm their inability to use public transit. Provision of such information is voluntary. ▪ Occasionally (approximately 25% of the time) applicants are requested to provide medical support regarding their inability to use public transit. ○ There is no process to periodically confirm continued eligibility for those registrants who have been approved in the past or who have not used the service for a period of time. <ul style="list-style-type: none"> ▪ However, Operators are encouraged to report to management all instances where they suspect the customer may not truly qualify for Program 			likelihood of this risk.

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
	<p>services despite past approval.</p> <ul style="list-style-type: none"> ▪ We also note that for those individuals who are denied registration, the decision is sent to the applicant in writing and information regarding the appeals process is provided. <ul style="list-style-type: none"> ○ However, information about accessible public transit services (i.e., low-floor buses and routes) and/or training on how to utilize such services is not provided. ▪ Other cities provide examples of eligibility and certification process that fall at various points on the continuum. <ul style="list-style-type: none"> ○ The Regina Paratransit Service is available for individuals who are unable to use the regular transit system because of a physical or neurological-related disability. Regina is currently in the process of changing their application process to rely more heavily on functional assessments for ambulatory applicants. Interviews may still be required and any fees charged by the health care professional for the functional assessment will be the responsibility of the applicant. Historically, eligibility has been determined within 15 days. ○ Winnipeg’s Handi-Transit service is available for individuals who can not use the fixed route transit system because they are legally blind or have a physical disability that impairs their mobility. Application forms, available on the internet, must be completed by both the applicant and a health care professional. Any fees charged by the health care professional are the responsibility of the applicant. An Occupational Therapist is on staff to interview applicants and assess eligibility. Applicants are contacted regarding their eligibility within 10 business days. Individuals who have not used the service in the past 18 months are required to reapply for service; ambulatory registrants are recertified every 3 yrs. ○ Edmonton’s Disabled Adult Transit Service – DATS – is available for individuals who can not use regular transit because of a physical or cognitive disability. Application forms include extensive assessment questions and are available on the internet. Forms must be completed by both 			

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
	<p>the applicant and a health care professional or social services practitioner. Interviews with an Eligibility Interview Panel may be conducted and any fees charged by the health care professional are the responsibility of the applicant. Applications require approximately 2 weeks to process.</p> <ul style="list-style-type: none"> ○ Access Calgary service is available for individuals who may not always be able to use Calgary Transit buses and CTrains. Application forms include extensive assessment questions and are available on the internet. Forms must be completed by both the applicant and a health care practitioner. Interviews are conducted with the vast majority of applicants and any fees charged by the health care practitioner are the responsibility of the applicant. Applicants are contacted regarding their eligibility within 5-10 business days. Eligibility is reconfirmed at least every 3 years. ▪ We also note several items that are not on the Program’s application form but are in place for at least one of other cities: <ul style="list-style-type: none"> ○ Applicants are required to sign their application form and attest to its completeness and accuracy. ○ Applicants are required to sign a “release of information” which allows service staff to discuss personal information with the applicant’s health care professionals. ○ The health care professional is required to sign a “professional verification” and attest to the completeness and accuracy of information provided. ○ Personal privacy statements indicate that the personal information collected is subject to the provisions of the Freedom of Information and Protection of Privacy Act and the Personal Health Information Act. ▪ There would be a cost associated with enhancing the Program’s eligibility and certification process. <ul style="list-style-type: none"> ○ However, that cost should be considered against the cost of providing services to a person who truly does not need the service. ○ In 2007, the average active customer took 60 trips; at \$21.06 per trip, the cost of providing those trips was \$1,264. 			

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RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION																
		LIKELIHOOD	IMPACT																	
<p>Individuals who require an attendant travel alone.</p>	<ul style="list-style-type: none"> ▪ Allowing an individual who requires an attendant to travel alone places that individual's safety at risk and may also place the safety of the Operator and other passengers at risk. ▪ Management indicates that there are cases where: <ul style="list-style-type: none"> ○ Customers indicate on their registration form that they <u>require</u> assistance while traveling (i.e., require an attendant) but often travel alone, and ○ Customers indicate on their registration form that they <u>do not require</u> assistance while traveling (i.e., do not require an attendant) but often book trips with an attendant. ▪ In Edmonton, a mandatory attendant policy is in place (i.e., a customer who indicates they require assistance while traveling is not permitted to travel alone) 	<p>Medium. Such travel is occurring.</p>	<p>Significant. The safety of passengers and Operators may be at risk. Legal action could result.</p>	<p>Additional action is required. Management should implement a mandatory attendant program in order to reduce the likelihood of this risk.</p>																
<p>Inconsistent/inappropriate use of taxi services.</p>	<ul style="list-style-type: none"> ▪ Inconsistent or inappropriate use of taxi services can lead to unrealistic customer expectations and/or perceptions of preferential treatment. ▪ Management has delegated the authority to make decisions regarding when to utilize taxi services versus denying a trip request to Scheduling/Dispatch staff. ▪ Generally, taxi services are used in the evening when the number of vehicles in service is lower, during the winter months when demand exceeds vehicle supply, and during peak times to serve emergency requests and "outliers" (i.e., an origin or destination is not in close proximity to another). ▪ Management agrees that the current decision making process is subjective and does not adequately minimize risk (e.g., the decision to deny a trip request versus utilize a taxi). ▪ Over the past three years, management has consistently spent less than the amount budgeted for taxi services. <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th>2005</th> <th>2006</th> <th>2007</th> </tr> </thead> <tbody> <tr> <td>Budgeted dollars</td> <td>\$33,500</td> <td>\$35,200</td> <td>\$38,000</td> </tr> <tr> <td>Actual dollars</td> <td>\$30,931</td> <td>\$32,260</td> <td>\$27,863</td> </tr> <tr> <td>Revenue trips provided</td> <td>1,710</td> <td>1,994</td> <td>1,731</td> </tr> </tbody> </table>		2005	2006	2007	Budgeted dollars	\$33,500	\$35,200	\$38,000	Actual dollars	\$30,931	\$32,260	\$27,863	Revenue trips provided	1,710	1,994	1,731	<p>High. The current decision making process is not documented and is subjective.</p>	<p>Moderate. The City may face negative publicity.</p>	<p>Additional actions are required. Management should develop guidelines for the usage of taxi services in order to reduce the likelihood of this risk.</p>
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Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
	<ul style="list-style-type: none"> ▪ In 2007, management started experiencing difficulties getting access to taxi service when needed and only 73.3% of the budget was spent. Per management, the situation has not improved in 2008 and discussions with the service provider are underway. 			
STRATEGIC				
<p>Failure to plan for increases in demand.</p>	<ul style="list-style-type: none"> • Given the aging population in Saskatchewan (as in the rest of the country), and recent trends in migration from rural to urban centres, management anticipates demand for Program services to increase over the next several years. • If the Program does not plan for this anticipated increase, service will be inadequate, resulting in increasing denials and customer complaints. • A strategic plan has not yet been prepared for the Program and the historical approach to increasing demand has largely been reactionary. • Many accessible transit programs are facing similar situations and demand management strategies are becoming a key component for addressing future increases in demand. <ul style="list-style-type: none"> ○ The underlying premise of demand management is to divert demand to less costly strategies, namely conventional transit, by: <ul style="list-style-type: none"> ▪ Removing physical and informational barriers (e.g., converting to accessible buses, reconfiguring bus stops, promoting the accessibility of the conventional transit fleet, providing training on how to use conventional transit, provide bus identification and/or destination card kits), and ▪ Providing incentives to utilize the conventional transit system (e.g., reduce or eliminate fares for registered users if they use conventional transit). ○ Management agrees that adopting such strategies could significantly alleviate the pressures on the Program. <ul style="list-style-type: none"> ▪ In 2007, the Program provided 108,088 trips at a cost of \$21.06 per trip. ▪ If just 10% of those trips were diverted to conventional transit, at an incremental cost of zero 	<p>High. A strategic plan has not been prepared.</p>	<p>Significant. The number of trip denials and customer complaints would increase if Program resources can not meet demand.</p>	<p>Additional actions are required. Management should prepare a strategic plan for the Program in order to reduce the likelihood of this risk. Low floor bus routes should be clearly identified as such on Transit's website.</p>

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
	<p>dollars, the Program would have been able to accommodate all requests for service – there would have been no denials.</p> <ul style="list-style-type: none"> • Approximately 50% of Saskatoon Transit’s conventional transit fleet consists of low floor buses, and this percentage is increasing as replacement vehicles are also accessible. <ul style="list-style-type: none"> ○ We note that although certain routes are exclusively served by low floor buses, this information is not readily identifiable on Transit’s website. ○ Scheduling/Dispatch staff do not have access to this information so they are unable to provide an alternative transportation option to customers who have been denied a trip. It is our understanding that the scheduling software can be programmed with low floor bus route information (e.g., an accessible route is a ½ block from your home and will take you to within 25 feet your destination). ○ The Program does not provide registrants with educational material or training opportunities on how to use the low floor buses. <ul style="list-style-type: none"> ▪ Winnipeg, Edmonton and Calgary offer free training opportunities to teach individuals how to use their accessible conventional transit systems. 			
<p>Unfunded transfer of responsibility from other levels of government/ government agencies.</p>	<ul style="list-style-type: none"> • If responsibilities are transferred to the Program from other levels of government or government agencies, with no corresponding increase in funding, the City must fund the additional operating costs and demand increases. • Management indicates that this situation has occurred regarding the Saskatoon Health Region’s transport of ambulatory patients and is placing significant pressure on the Program. <ul style="list-style-type: none"> ○ In 2004, Tri-Hospital Patient & Courier Services (Tri-Hospital) discontinued providing ambulatory patient transport services to the Saskatoon Health Region. ○ Since that time, the provision of ambulatory patient trips (e.g., to St. Paul’s Hospital for dialysis) has become part of the overall demand for Program services. • In 2007, a total of 10,168 trips were provided to and from Royal 	<p>High.</p> <p>This has occurred regarding the Saskatoon Health Region’s ambulatory patient transport.</p>	<p>Significant.</p> <p>The requirement to provide services to this new customer-group has resulted in fewer trips available for other customers.</p>	<p>Additional actions are required.</p> <p>Management should obtain direction from City Council on how to proceed.</p>

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
	University Hospital, St. Paul's Hospital and City Hospital. While some of these trips may have been for personal reasons (e.g., appointment, visiting a patient), baseline data from prior to 2004 is not available (i.e., a manual scheduling/booking system was in use at that time).			
Underutilized capacity of other service providers.	<ul style="list-style-type: none"> • There are several publicly-funded facilities in Saskatoon that own and operate their own accessible vehicles (e.g., long term care homes). If residents of these facilities can not book a trip on their vehicles, they will often request trips through the Program. This places pressure on the Program to deliver services to individuals who have other transportation options available to them at the expense of others who may not. • In 2007, the Program provided 10,600 trips to residents of publicly-funded long term care homes that owned and operated accessible vehicles – representing 9.9% of all trips provided. • In order to help alleviate increasing pressure on accessible transit programs and make the best use of significant investments in accessible vehicles, other cities (mainly in the United States) have entered into arrangements with other service providers with the goal of cooperatively addressing demand – the intent is to maximize provision of services regardless of who owns and operates the vehicle. • Management has approached two of the largest long-term care facilities who own and operate their own buses but has not made any progress in pursuing a cooperative arrangement. 	Medium. There are ten publicly-funded long-term care homes in Saskatoon that own and operate their own accessible vehicles. Yet almost 10% of trips provided by the Program were for individuals who reside at these facilities.	Significant. Each trip taken by an individual who has other transportation options reduces the opportunities for those who have no other options.	Additional actions are required. Management should obtain direction from City Council on how to proceed.
SERVICE DELIVERY				
Inefficient scheduling of trips.	<ul style="list-style-type: none"> • If trips are not scheduled efficiently, fewer trips are provided within established hours of service, there is unnecessary wear and tear on the vehicles and both customers and the public could perceive the Program poorly. • Management has the following controls in place to minimize this risk: <ul style="list-style-type: none"> ○ A computerized scheduling software package is utilized to schedule trips. <ul style="list-style-type: none"> ▪ The software takes into account the mobility device required by each customer (e.g., a customer in a wheelchair requires more time to embark and 	Medium. Slack time has been increasing over the past three years.	Moderate. Fewer trips could be provided with Program resources. Customer complaints and denials would increase.	Additional actions are required. Management should explore options to decrease slack time and reduce the likelihood of this risk.

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
	<p>disembark than an ambulatory customer).</p> <ul style="list-style-type: none"> ▪ The software has a winter and summer setting. The winter setting takes into account slower travel speeds under snowy and icy driving conditions. However, the summer setting does not allow for detours and construction projects. Therefore, management leaves the software on the winter setting all year long in order to take such obstacles into account. ▪ Management indicates that waypoints (e.g., bridges) can be established in the software to improve scheduling, but they have not yet been activated. <ul style="list-style-type: none"> ○ As Scheduling/Dispatch staff book trips, the system automatically flags violations (e.g., there is not enough time for the vehicle to travel from point A to point B, the customer will be on the vehicle for more than 60 minutes, etc.). Staff review these violations and make the booking amendments or overrides necessary to ensure service delivery parameters will be achieved. ○ Scheduling/Dispatch staff negotiate trip times with customers in order to try and accommodate as many requests as possible. <ul style="list-style-type: none"> • Over the past 5 years, revenue trips per revenue hour has increased from 2.25 to 2.65, an 18% increase. • Management attempts to reduce service hours during times of historical slack time and tries to match waiting list customers with slack periods. Over the past 3 years, slack time (i.e., periods during which no passengers are on the vehicle) has remained relatively stable. <ul style="list-style-type: none"> ○ In 2005, slack time represented 14.61% of total revenue hours. This worsened slightly in 2006 when the percentage was 15.34%. 2007 saw an improvement to 14.68%. ○ We agree with management that slack time of 15 minutes or less is difficult to address before placing on-time performance in jeopardy (i.e., 15 minutes or less may not be enough time to travel to another location, assist the passenger onto the vehicle and secure the passenger). In addition, there may be no trip requests for the specific time period. 			

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION																																
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	<ul style="list-style-type: none"> ○ However, we do note that the proportion of slack time periods greater than 30 minutes has increased over the past three years. <table border="1" style="margin-left: 40px;"> <thead> <tr> <th></th> <th>2005</th> <th>2006</th> <th>2007</th> </tr> </thead> <tbody> <tr> <td>0-5 minutes</td> <td>43.12%</td> <td>43.77%</td> <td>43.08%</td> </tr> <tr> <td>6-10 minutes</td> <td>29.10%</td> <td>22.29%</td> <td>21.37%</td> </tr> <tr> <td>11-15 minutes</td> <td>11.95%</td> <td>13.77%</td> <td>13.49%</td> </tr> <tr> <td>16-20 minutes</td> <td>5.85%</td> <td>7.21%</td> <td>7.74%</td> </tr> <tr> <td>21-25 minutes</td> <td>3.40%</td> <td>4.41%</td> <td>4.73%</td> </tr> <tr> <td>26-30 minutes</td> <td>2.35%</td> <td>2.90%</td> <td>3.11%</td> </tr> <tr> <td>> 30 minutes</td> <td>4.23%</td> <td>5.65%</td> <td>6.48%</td> </tr> </tbody> </table>		2005	2006	2007	0-5 minutes	43.12%	43.77%	43.08%	6-10 minutes	29.10%	22.29%	21.37%	11-15 minutes	11.95%	13.77%	13.49%	16-20 minutes	5.85%	7.21%	7.74%	21-25 minutes	3.40%	4.41%	4.73%	26-30 minutes	2.35%	2.90%	3.11%	> 30 minutes	4.23%	5.65%	6.48%			
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Failure to pick up customers on time.	<ul style="list-style-type: none"> • Customers who are not picked up on time may be stranded and either miss or be late for appointments, work or school. • The most significant control to ensure customers are picked up on time is the scheduling software system, described above. • System information indicates that over the past three years, the Program has picked up over 90% of its customers on time. Of those trips that were late, 80% were less than 10 minutes late. 	Low. Existing controls appear to be adequate to reduce the likelihood of this risk to an acceptable level.	Significant. Customers may be stranded or miss or be late for appointments, work or school.	Additional actions are not required.																																
Customers spend more than 60 minutes in the vehicle.	<ul style="list-style-type: none"> • The stated service level objective of the Program is that trip duration will not exceed 60 minutes. • The most significant control to ensure achievement of this service level objective is the scheduling software system, described above. • System information indicates that over the past three years, customers only spend, on average, 20-21 minutes in the vehicle. 	Low. Existing controls appear to be adequate to reduce the likelihood of this risk to an acceptable level.	Minor. Customer complaints would increase.	Additional actions are not required.																																
Late cancellations/no-shows.	<ul style="list-style-type: none"> • When a customer cancels their trip less than 3 hours in advance, it is very difficult to schedule a replacement trip. When customers do not appear for their trip once the vehicle has arrived, resources have been wasted and inefficiencies result. In both cases, a trip that had been denied could have been accommodated had the Program been notified that the original customer no longer needed their trip. • Management has the following controls in place to minimize this risk: <ul style="list-style-type: none"> ○ Late Cancellation/No-Show guidelines have been communicated to customers (i.e., “customers who repeatedly cancel trips at the last minute, or appear as no 	Low. Only 5% of trips are late cancellations and no-shows.	Moderate. Late cancellations and no-shows negatively affect productivity and represent a trip that could have been provided to someone else.	Additional actions are not required.																																

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
	<p>shows for their scheduled trip, may be subject to a suspension of service.). Management indicates that to date phone calls and letters have been sufficient to remedy the practices of repeat offenders. There has never been a suspension of service.</p> <ul style="list-style-type: none"> ○ A waiting list is maintained. If customers cancel their trip on short notice, Scheduling/Dispatch staff will contact a person on the waiting list to determine if they still desire a trip. In 2007, 1,819 such trips were accommodated (44% of all late cancellations). ○ If the customer is not at the pick up location, Operators contact Scheduling/Dispatch staff and attempts are made to contact the customer (e.g., they may just be running late). The Operator will wait 5 minutes before considering a customer a no-show. ○ If a customer is a no-show for their trip and a return trip has also been scheduled, the return trip is automatically cancelled. <ul style="list-style-type: none"> ▪ This practice has not been communicated to customers and has created some confusion in the past. <ul style="list-style-type: none"> ● Over the past three years, late cancellations and no-shows as a percentage of booked trips have been consistent at 3% and 2% respectively. 			
Traffic congestion, inclement weather.	<ul style="list-style-type: none"> ● If traffic is congested or inclement weather affects driving conditions, Program service delivery is at risk – Operators may not be able to adhere to their schedule (i.e., run late), customers may be stranded and either miss or be late for appointments, work or school. ● Management has the following controls in place to minimize this risk: <ul style="list-style-type: none"> ○ Management is in the process of working with EMO to develop a contingency plan for emergency situations. ○ Each vehicle is equipped with a radio. The operator is in constant contact with Scheduling/Dispatch staff and can immediately notify them of a traffic problem. The new mobile data terminals are also equipped with GPS which 	<p>Medium.</p> <p>Traffic accidents and inclement weather occurs and are unpredictable.</p>	<p>Minor.</p> <p>Planned and existing controls appear to be adequate to reduce the impact of this risk to an acceptable level.</p>	<p>Additional actions are not required.</p>

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
	<p>allows staff to know exactly where the problem is occurring and notify other Operators to avoid the area if possible.</p> <ul style="list-style-type: none"> ○ Each day all civic public service announcements and traffic detours are posted for Operators to read and take into account as they carry out their duties. ○ Although not formally documented in procedure, if traffic and/or weather conditions are severe, Scheduling/Dispatch staff can contact customers to request changes to pick up or drop off times for immediately upcoming trips. Customers who can not be contacted or change their trip time can be served by a taxi or another vehicle that is able to accommodate the trip in its schedule. 			
ACCIDENTS AND INCIDENTS				
Staff injury.	<ul style="list-style-type: none"> • If staff are injured, replacement staff must be scheduled, often at overtime rates. If replacement staff can not be scheduled, Program service delivery is at risk. • Management has the following controls in place to minimize this risk: <ul style="list-style-type: none"> ○ Two Program staff are members of the OH&S Committee. ○ Staff receive OH&S training upon starting employment and annually thereafter (e.g., proper securing of passengers, defensive driving). ○ Management receives and reviews injury reports received from OH&S on a monthly basis. ○ Operators will be receiving training through the “Smart Driver Program” in late 2008/early 2009. This program emphasizes actions Operators can take to improve safety (defensive driving) and is currently being provided to conventional transit Operators. ○ Each vehicle is equipped with a radio that has a direct connection to emergency services (911). ○ Management is in the process of installing mobile data terminals on all vehicles. In the event the Operator can 	<p>Low.</p> <p>Planned and existing controls appear to be adequate to reduce the likelihood of this risk to an acceptable level.</p>	<p>Moderate.</p> <p>Replacement staff at overtime rates would be required to provide service coverage.</p>	<p>Additional actions are not required.</p>

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
	<p>not respond, the terminals are equipped with GPS which allows staff to know exactly where the vehicle is located.</p> <ul style="list-style-type: none"> ○ The Transit Department recognizes staff who have been accident free over the past year through annual safety awards. ○ Operators have professional driver endorsements on their drivers' licenses and SGI requires physical examinations every 5 years. ○ Scheduling/Dispatch staff who work late hours are encouraged to park close to the Transit Body Shop entry; the parking lot is well lit. Operators park in the compound at the back of the shop which is surrounded by fencing and also well lit. ○ Workplace Risk Assessments have been conducted at the Transit Body Shop by corporate OH&S staff. <ul style="list-style-type: none"> ● There is a residual risk that Operators could become incapacitated while driving a vehicle (e.g., heart attack, seizure) and be unable to engage the emergency connection on the vehicle radio. Passengers with limited mobility or cognitive impairments may not be physically able, or understand how, to reach the emergency radio connection. <ul style="list-style-type: none"> ○ Management indicates that other motorists would be relied upon to contact emergency services in such situations. ● Over the past three years, the number of lost time injuries and the lost days associated with those injuries has increased greatly. The vast majority of injuries are being incurred by Operators. <ul style="list-style-type: none"> ○ Management is working with OH&S to implement several measures that will reduce the number of Operator injuries (e.g., new buses are more ergonomic and have more automated features, skid-resistant shoe covers will prevent slip and falls, more frequent safety meetings will keep safety issues at the forefront, etc.). 			

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
Passenger injury.	<ul style="list-style-type: none"> • If passengers are injured while using Program services, legal action may be taken and negatively publicity would result. • Management has the following controls in place to minimize this risk: <ul style="list-style-type: none"> ○ Procedures for the safe and secure embarking, travel and disembarking have been developed and communicated to all customers. ○ Operators receive training on the proper securing of passengers upon starting employment and annually thereafter. ○ Operators report all instances of passenger injury and the need for corrective action is determined. ○ Each vehicle is equipped with a radio that has a direct connection to emergency services (911). ○ An emergency contact person has been obtained and is on file for every registered customer. • However, we do note that: <ul style="list-style-type: none"> ○ Operators have not received first aid/CPR training. This may prevent Operators from responding to an emergency and/or injury. ○ Information is not requested from registrants about potentially relevant medical conditions (e.g., diabetes, seizure disorder, asthma, heart condition). <ul style="list-style-type: none"> ▪ There is a risk that an emergency situation and/or injury may not be addressed properly due to an underlying medical condition of which the Operator and/or emergency response personnel are unaware. 	<p>Low. Existing controls appear to be adequate to reduce the likelihood of this risk to an acceptable level.</p>	<p>Significant. Operators would be unable to provide medical care, placing the safety of passengers at risk.</p>	<p>Additional actions are required. Management should request relevant medical information from registrants and ensure all Operators receive first aid/CPR training in order to reduce the impact of this risk.</p>
Vehicle accident.	<ul style="list-style-type: none"> • A vehicle accident can result in injuries to the Operator, passengers and other motorists/pedestrians. Program service delivery would also be at risk – the Operator can no longer adhere to their schedule, customers may be stranded and either miss or be late for appointments, work or school. • Management has the following controls in place to minimize this risk: <ul style="list-style-type: none"> ○ Only Operators with the proper driver's license endorsement (Class 4) are hired. ○ Operators are required to submit a driver's abstract to be 	<p>Low. Planned and existing controls appear to be adequate to reduce the likelihood of this risk to an acceptable level.</p>	<p>Moderate. Personal injuries and property damage can result.</p>	<p>Additional actions are not required.</p>

Appendix A, cont'd

RISK EVENT	SYSTEMS, PRACTICES AND CONTROLS	RESIDUAL RISK		CONCLUSION
		LIKELIHOOD	IMPACT	
	<p>considered for employment. However, updated abstracts are not obtained after employment commences.</p> <ul style="list-style-type: none"> ○ All vehicles are equipped with snow tires in the winter. ○ Each vehicle is equipped with a radio that has a direct connection to emergency services (911). ○ All vehicle accidents are reported to management. An Accident Adjudication Committee reviews the circumstances surrounding each accident and determines if corrective action is required (e.g., coaching, disciplinary action, training). <ul style="list-style-type: none"> ● In 2007, the Program experienced 33 vehicle accidents. Since this figure is higher than that experienced in 2005 (23 accidents) and 2006 (17 accidents), management is taking steps to provide Operators with additional skills and increase the safety of the service: <ul style="list-style-type: none"> ○ Operators will be provided with the “Smart Driver Program” training in late 2008/early 2009. This program emphasizes actions Operators can take to improve safety (defensive driving) and is currently being provided to conventional transit Operators. ○ Management plans to offer “skid school” training to Operators in 2008/2009 (i.e., driving techniques for use under snow/ice conditions). <ul style="list-style-type: none"> ▪ Three quarters of the accidents experienced in 2007 were during the winter months. 			