City of Rochester, MN

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DMC Transportation & Infrastructure Program

City of Rochester, MN

Appendix 29

Parking Enforcement Program Audit Checklist

Parking Enforcement Audit Check-List for Citation Revenue, Receivables Management and Permit Operations

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This document can serve two purposes for the City of Rochester. Initially, this checklist can be used by program managers as a tool for the refinement of the current parking enforcement program. This document was originally designed to be used as a checklist to support the auditing of various aspects of a municipal parking enforcement program. For each audit standard, auditors can note whether or not the program complies, or if the result is unclear, and can also add comments or observations supporting their conclusion. Since this document was created based on several communities, it is recommended that this tool be customized to the Rochester parking enforcement program and used on an on-going basis.

A.   Ordering and Control of Citation Stock

Blank citation stock—whether for handwritten citations or for handheld issuance devices - is an often neglected but critical aspect of parking programs. Blank citations are also potential receivables. Therefore, it is essential that the enforcement program always have an adequate supply of citation stock. In addition, inadequate controls on inventory can allow blank citations to be used for fraudulent purposes. The following are some of the basic checks that apply to this component.

#	Standard	Yes	No	Unclear	Observation/Comments/Action Taken
A.1	Are there written procedures governing the ordering, acceptance, distribution and tracking of citation stock?				
A.2	Do the procedures govern all necessary aspects of the ordering, delivery, acceptance and storage processes?				
A.2.1	Is there an inventory tracking system that tracks additions to, withdrawals from, and the current citation inventory?				
A.2.1.1	Is the tracking system maintained on an electronic spreadsheet or database to avoid mathematical error?				
A.2.1.2	Does the tracking system cover distribution to subordinate levels, i.e., individual enforcement locations and individual officers?				
A.2.2	Are there specific "trigger points", i.e., inventory levels that when reached, trigger the start of the reorder process with sufficient lead time to ensure that inventories are not exhausted prior to delivery of the new order?				
A.2.3	Is responsibility for ordering stock assigned to a senior manager who understands the importance of this function?				

A.2.4	Does the reordering process include adequate time and instructions to incorporate updates of the citation form to include any recent changes in program business rules or boilerplate information (mail-in payment address, customer service phone numbers, etc.)?				
A.2.5	Are previous orders for citation stock filed for easy access and (as applicable) do they contain the number ranges of the previous orders so that number ranges are not duplicated in subsequent orders?				
A.2.6	Are deliveries of new citation stock both logged against the current order and updated to the inventory tracking system?				
A.2.6.1	Is there a written quality control check list against which the new stock is immediately compared to the written specifications in the purchase order?				
A.2.7	Is citation stock stored in a secure, locked room or closet?				
A.2.8	Is ticket stock periodically inventoried and compared to the tracking system and any discrepancies investigated and reconciled?				
A.3	Do the procedures govern all necessary aspects of distributing citation stock to the enforcement staff?				
A.3.1	As appropriate based on the number of agencies and individuals who issue citations, are there intermediate distribution points (i.e., from central storage to the responsible department or the Parking Enforcement office)?				
A.3.2	If the program uses intermediate storage locations, are they also be subject to a periodic inventory review process?				
A.3.3	Are such distributions properly logged to the inventory tracking system?				
A.3.4	At the officer level, is distribution of blank ticket books logged to the tracking system?				
A.3.5	Periodically, are the number of blank books/citations distributed to enforcement offices				

	and individual officers compared to issued tickets updated to the citation processing system or otherwise voided?				
A.3.5.1	Are any discrepancies between citations distributed to offices/individual officers and citations updated to the system investigated and reconciled?				
A.4	The control of citation stock for handheld issuance devices can present some additional challenges. While some devices may continue to rely on stock with pre-printed citation numbers (which can be handled in the same manner as discussed above for handwritten citations), most handheld systems in use today generate an automatically incremented citation number at the time of issuance. Is generation of citation numbers carefully controlled and monitored?				
A.4.1	At the macro level, does the handheld system exercise control over the range of citation numbers assigned?				
A.4.1.1	Is the range of numbers used for handheld devices separate and distinct from the numbers used for handwritten citation stock?				
A.4.2	Whether from a central server or from a local base station linked to the handheld docking cradles, are distinct number ranges assigned to individual handheld devices?				
A.4.3	Do base stations (if applicable) and individual handhelds have "trigger" points so that when some set percentage of the assigned number range has been assigned/issued, a new block of numbers can be assigned?				
A.4.4	As with handwritten citations, are periodic audits performed to ensure that number ranges are being fully used? (While not a problem on individual handhelds, some older systems allow number ranges to be stalled at the base station and remain unassigned to handhelds.)				

A.4.5	If handhelds are not permanently assigned to specific officers, is a daily log kept of which officers use which handheld devices?				
A.4.6	Do the handheld devices require the officer to sign on to the device at the start of a shift using a secure password?				
A.4.6.1	Is the date and time of violation printed on each citation automatically generated by the handheld device?				
A.4.6.2	Is the accuracy of the devices' time and date regularly verified by the supervisor/manager?				

B. Control and Processing of Issued Citations

Once issued, a citation becomes a receivable whose value may increase (with late penalties, for example) or decrease (dismissals or reductions in the hearing process, payments, etc.) It is critical, therefore, that all proper actions be taken to both provide due process to the recipient and achieve a payment or other satisfactory outcome for the program, and that all transactions relative to each citation be tracked throughout the citation's life cycle. Key issues to be addressed include:

#	Standard	Yes	No	Unclear	Observation/Comments/Action Taken
B.1	Are there written procedures governing the control of issued citations and their update to the system?				
B.2	Are all issued citations uploaded to the processing system database or otherwise accounted for?				
B.2.1	For handwritten citations, is there a detailed process for controlling batches of issued citations? Ideally, this should be a three-point process in which counts of citations are made and reconciled at the appropriate enforcement office where the citations are first batched, at the data entry point, and after the citations have been updated to the database.				
B.2.1.1	For handheld citations, is there a procedure to ensure that all handhelds used during the prior shift are cradled and the tickets uploaded to the processing system?				
B.2.2	Does the processing system have sufficient quality control edits to ensure that all required fields have been completed by the officer and that the data in critical fields is correctly formatted?				
B.2.3	Does the parking program follow a procedure for controlling and tracking voided citations, including the issuing officer, date and the reason the citation was voided. This can be done within the processing system or separately?				
B.2.3.1	In addition, is there a process to periodically review individual officer's void history to identify those with excessive numbers of voids?				

B.2.4	With regards to "courtesy warnings", are individual officer's warnings ever checked against the database to see that a warning (instead of a citation) was appropriate?				
B.2.4.1	If a PCO has issued inappropriate warnings, is a notation made in his/her record and follow-up training conducted?				
B.3	Since the vast majority of parking citations are issued when the driver is not present, the responsible party (usually the registered owner) must be identified after the fact. Does the program have an effective process for identifying the responsible party and his/her mailing address for each citation issued?				
B.3.1	Does the program have the necessary relationships and data exchanges (either directly or through a vendor) with the appropriate Departments of Motor Vehicles to identify the registered owners of vehicles with in-state, out-of-state plates?				
B.3.2	Does the program have a process for obtaining renter information from rental companies whose vehicles are cited?				
B.3.3	Does the processing system have the ability to update name and address information gained from third parties such as rental companies and National Change of Address (NCOA)?				
B.3.4	When notices are returned as undeliverable, does the program have the ability to prevent mailings to the bad address and obtain and update new, current addresses from the USPS and third party vendors?				
B.3.5	Does the processing system provide regular reports on the percentage of citations for each category (in-state, out-of-state, etc.) for which a responsible party name and address is obtained?				
B.3.5.1	Are deviations from the normal rates investigated?				

B.3.6	Are citations for which a name and address are not obtained (no hits) flagged by the system and scheduled for a follow-up DMV inquiry?				
B.4	A fair and accessible adjudication function is both legally required and critical to maintaining the **program's integrity and** support. Does the program, and the processing system, provide such an adjudicatory capability?				
B.4.1	Are there written guidelines regarding the timeframes under which citations are eligible for the various types of reviews/hearings offered to respondents?				
B.4.2	Does the processing system automatically enforce hearing eligibility rules by edits and security provisions?				
B.4.3	Is the scheduling of a review or hearing subject to governing law or ordinance?				
B.4.3.1	Does a scheduled review or hearing suspend noticing and the imposition of late penalties?				
B.4.4	Does the processing system allow for the updating of citation records with the results of reviews/hearings and any appropriate modifications to the balance due on the citation?				
B.4.5	Are there provisions for defaulting (to the extent allowed by law) respondents who do not appear for hearings? (A default is a legal acceptance of liability for the fine.)	x			
B.4.6	Does program staff have access to the data necessary to process administrative claims (i.e., claims of broken meter, missing sign, etc.)?				
B.4.7	In order to allow proper monitoring of the adjudication function, does the program maintain or is it able to produce analyses of decision patterns for the program overall and by hearing examiner/judge, issuing officer, and regulation?				
B.4.8	On a daily basis, does staff perform a reconciliation of all adjudicatory decisions				

	rendered and then update to the citation database to ensure that citation balances are being adjusted appropriately?				
B.4.9	Do materials provided by the program (on the citation itself, on notices, hearing decisions, program handouts, web-site, etc.) fully and clearly inform citation recipients of their rights and obligations, and how to access service?				
B.5	Once issued, are citations processed through their life cycle in a timely manner in compliance with applicable laws? (Ideally, this is largely done on an automated basis by the citation processing software.)				
B.5.1	Is the citation life cycle documented and is the system audited on a regular basis to ensure that citations are being processed in compliance with it?				
B.5.2	Are late penalties applied to eligible citations at the proper time and in the proper amount?				
B.5.3	For delinquent citations, are notices mailed on a timely basis?				
B.5.4	When mail is returned as undeliverable, are the citation records flagged so that a more current address can be sought?				
B.5.5	When appropriate—such as pending a scheduled hearing or while a claim is being researched—are other processing actions (such as notices) suspended?				
B.5.6	At a minimum, is the processing system able to generate exception reports for citations that have been in a suspended status for an excessive number of days?				
B.5.7	How often are such reports run and reviewed?				
B.5.8	Does the system have the ability to identify citations that have aged into a new status, such as eligibility for referral to a collection agent or write-off?				
B.5.9	Does the processing system automatically carry out the appropriate "next action"?				

B.6	Are citation payments processed in such a manner that ensures complete, timely and accurate application of all payments?				
B.6.1	Does the program have a written security policy which is provided to all new employees?				
B.6.2	Are employees required to acknowledge receipt and familiarity with the security policy in writing and is such documentation included in the employee's personnel file?				
B.6.3	Does access to the processing system require sign-on with a User ID and a password?				
B.6.4	Are user ID's controlled by a management level employee and documented in writing, with the documents stored securely?				
B.6.5	Are users required to change passwords on a regular basis (no less frequently than every 60 days)?				
B.6.6	Does the system provide various levels of access—based on job requirements, such as read only, routine update, and restricted access to sensitive transactions?				
B.6.7	Does the processing system provide a complete audit trail for all transactions which directly or indirectly impact the balance of a citation or the program's ability to collect outstanding fines?				
B.6.8	Do the audit trails include the User ID of the person performing the transaction and the date and time of the transaction?				
B.6.9	Does the processing system prevent the deletion of any transaction record or citation and plate records? If a transaction must be reversed (e.g., an incorrectly entered payment) the system should reflect the original transaction, a reversal transaction, and the corrected transaction.				

B.6.10	Does the system (or the server/network which supports it) provide sufficient levels of back-up so that program data is always secure?				
B.6.11	Does the program have a written disaster recovery/business continuity plan which is tested on at least an annual basis?				
B.6.12	Are ongoing or intermediate tasks which support the larger DR plan (such as regular database backups) carefully monitored and documented?				

C.   Pursuit of Delinquent Citations

While a high percentage of citations are paid in a timely manner, either after issuance or following a hearing, many require addition action. These generally fall into three categories: in-house pursuit of delinquent accounts, booting and towing of "scofflaw" vehicles, and use of third party collection firms. Each has its own requirements.

C.1	Are in-house collection efforts sufficiently robust to insure that citations are not unnecessarily assigned to collections and therefore subject to commission?				
C.1.1	Are the citation life cycles (for normal citations, fleets, rentals, etc.) documented and understood by all program staff?				
C.1.2	As noted above, does the program have an effective means of obtaining name and address information on the party responsible for each citation in a time manner after issuance, as well as the ability to obtain updated addresses for citations which result in returned mail?				
C.1.3	Does the processing system automatically add late penalties and generate delinquent notices according to the approved life cycle(s)?				
C.1.4	If required or permitted by law or ordinance, does the system support different life cycles for citations issued to different categories of respondent (in-state, out-of-state, rental, government, etc.)?				
C.1.5	Does the system support generation of all required notices, as well as additional collection notices prior to assignment to collection agents?				
C.1.6	If allowed by state law, is the program's in-state DMV informed of registered owners with sufficient delinquent citations to qualify for registration non-renewal or denial of other privilege?				
C. 2	Does the program utilize a strong, accountable booting/towing program by which scofflaw vehicles				

	identified on the street can be immobilized or impounded until outstanding fines are paid?				
C.2.1	Does the program have a dispatching system which tracks all authorized boot and tow assignments and actual boots and tows or reasons why the assigned action was not carried out? Ideally, this system should be automated.				
C.2.2	Does the system have strict procedures and operational/technical support so that booted and towed vehicles cannot be released without payment of all fines, penalties and boot/tow/storage fees?				
C.2.3	(If appropriate) On a daily basis, are boot releases reconciled to boots authorized, boots still on the street, and vehicles not found ("Gone on arrivals")?				
C.2.4	On a regular basis--no less than monthly, Is the tow lot inventory report reconciled to vehicles physically on the lot?				
C.2.5	Does the tow lot inventory system allow for the aging of tows so that un-redeemed tows are auctioned in a timely manner and auctioned as appropriate?				
C.2.6	Whether or not a private tow vendor is used, is the tow operation audited on a regular basis to insure that the correct tow and storage fees are collected?				
C.2.7	If a vendor is used, is it responsible for any citation fines and fees it fails to collect prior to release of a vehicle?				
C.3.	Are third party collection firms used as appropriate and with proper controls and safeguards?				
C.3.1	Is the assignment of cases to the collection agent based on documented criteria and based on time- or event-driven criteria (i.e., a set number of days since issuance or since a particular in-house notice or the lapse of a DMV registration hold)?				

C.3.2	Are citations only assigned after the completion of all in-house collection actions with a reasonable expectation of success?				
C.3.3	Are citations assigned on a timely, regular schedule, such as monthly or quarterly?				
C.3.4	When cases are assigned, is the processing system updated with relevant information, particularly the date?				
C.3.5	Are assigned citations flagged so that in-house noticing is suspended?				
C.3.6	Does the agreement with the collection agent specify particular collection actions that will be taken and a set timeframe for completing those actions?				
C.3.7	Does the agreement with the collection agent specify City rights such as the right to recall cases at any time, and the right to assign cases to another collection agent following recall?				
C.3.8	Is there a set schedule on which the collection agent remits payments to the parking operator? While daily remittance might not be practical, it should be no less than weekly.				
C.3.9	Does the parking staff have a documented process in place to immediately reconcile all payments from the collection agent and investigate/reconcile any payments that cannot be applied?				
C.3.10	Does the system provide regular reports on the inventory of cases held by the collection agent, including aging by date of assignment, so that the **collection agent's** effectiveness can be evaluated?				
C.3.11	Does the program have an ongoing process for **"salting" payments on assigned cases** to ensure that the collection agent applies and forwards all payments in a complete and timely manner?				
C.3.12	Does the City regularly audit the records of the collection agent, not only to ensure that all payments are being forwarded in a timely and				

	accurate manner, but also to ensure that all contractually required collection actions are being taken and documented?				
C.3.13	As part of its citation life cycle, does the City have write-off criteria? Generally, when cases are returned or recalled from the collection agent, write-off is the appropriate action. Otherwise, the **potential value of the program's accounts** receivable will be overestimated and possibly misinterpreted.				

D.   MONITORING AND AUDITING OF PARKING PERMIT OPERATIONS

In the municipal environment parking permits are often used to control parking in designated lots and structures or to limit parking in residential neighborhoods whose quality of life is threatened by nearby parking generators. Because of the privileges they convey, and sometimes the cost, permits can be valuable commodities and must be safeguarded much like cash. In addition, it is vital that they be sold/issued in strict accordance with program rules and only to those who are eligible. Key elements to be audited include:

#	Standard	Yes	No	Unclear	Observation/Comments/Action Taken
D.1	Are there written procedures governing the ordering, receipt, distribution, and sale of permits?				
D.2	Do the procedures govern all necessary aspects of the ordering/receipt/sale process?				
D.2.1	Is there an inventory tracking system that tracks additions to, withdrawals from, and the current permit inventory? Ideally this should be maintained on an electronic spreadsheet to avoid mathematical errors.				
D.2.2	Are there written "trigger points", i.e., inventory levels that when reached, trigger the start of the reorder process with sufficient lead time to ensure that inventories are not exhausted prior to delivery of the new order? This is particularly important for permits which generally expire on a set schedule with a change in colors used to differentiate between current and out-dated permits.				
D.2.3	Is responsibility for ordering stock vested in a manager who understands the importance of this function?				
D.2.4	Is permit stock designed to discourage counterfeiting (such as reflective decals) and to facilitate easy verification by enforcement staff (large numbers or letters for permit districts/structures, and bold colors that readily distinguish current permits from old)?				
D.2.5	In addition, is each permit for a type/district numbered consecutively so that inventories can be				

	controlled and fraudulent use of lost/stolen permits can be minimized?				
D.2.5	Does the documented reordering process include adequate time and instructions to incorporate any desired changes in color or fraud deterrent features, and delivery dates that support the renewal cycle?				
D.2.6	Are previous orders for permit stock filed for easy access and (as applicable) contain the number ranges of the previous orders so that number ranges are not duplicated in subsequent orders?				
D.2.7	Are deliveries of new permit stock both logged and reconciled against the current order and updated to the permit inventory tracking system?				
D.2.8	In addition, is there a written quality control check list so the new stock can immediately be compared to the written specifications in the purchase order?				
D.2.9	Is unissued permit stock stored in a secure, locked room or closet?				
D.2.10	Is the permit stock periodically inventoried and compared to the tracking system and any discrepancies reconciled?				
D.3	Do the procedures govern all necessary aspects of distributing permits to the sales staff?				
D.3.1	As appropriate based on the number of locations and individuals who sell permits, are there intermediate distribution points (e.g.,, from central storage to the sales locations)?				
D.3.2	If the program uses such intermediate storage locations, are they subject to a periodic inventory process?				
D.3.4	Are any such distributions properly logged to the inventory tracking system?				
D.3.5	At the cashier or customer service representative level, are distributions of permits logged and reconciled each day, with the number of permits sold and those still on hand equaling the number distributed at the start of business?				

D.3.6	Are permit sales also incorporated into the daily cashier balancing process?				
D.3.7	If permits sales are tracked within the citation processing system or another automated tracking system, is that system periodically audited for gaps in the permits sold, and missing permit numbers investigated?				
D.4	Are permits sold in compliance with eligibility standards and other business rules?				
D.4.1	Are written guidelines regarding eligibility to buy permits, permit costs, and permit duration and format available to the public?				
D.4.2	Is all staff involved in the sale of permits, otherwise serving permit customers, and enforcing permit regulations fully familiar with the business rules and eligibility guidelines governing the program?				
D.4.3	Does the process for opening a permit account include a written application and provision of documentary evidence as required by the program guidelines? Such documentation usually includes proof of residence at an eligible address (such as a utility bill) and proof that the permitted vehicle is registered at that address.				
D.4.4	As an aid to the confiscation of improperly used permits, do the program rules state—to the extent legally permitted—that issued permits remain the property of the program and can be confiscated by enforcement personnel if used contrary to program rules?				
D.4.5.	Are copies of completed applications and supporting documentation filed for at least as long as the account is active plus some reasonable period?				
D.4.6	Do program managers periodically audit permit sales to see that the sampled permits/accounts comply with program guidelines with regard to residence, vehicle registration and number of permits issued (as applicable)?				

D.4.7	If renewal notices are mailed to account holders, is this done with ample lead time to ensure that mail orders can be processed such that new permits can be received and displayed by the required date(s)? Failure to do so can result in laborious work-arounds that can be abused.				
D.4.8	If supported by the enforcement handheld devices, are automated lists/files of permits reported as lost or stolen periodically downloaded to the handhelds so that officers can screen permits on vehicles for possible abuse?				

Recommended Parking Performance Metrics

DMC TRANSPORTATION INFRASTRUCTURE PROGRAM MANAGEMENT

#	Benchmark Name	Type	Description
1	Total operating cost per space.	Cost	**Overall key benchmark.** Useful for year to year comparisons and for comparisons with operations of similar profiles. Divides total operating expenses by number of parking spaces.
2	Total revenue per space.	Productivity	**Overall key benchmark.** Measures revenue to size of program in relation to spaces.
3	Facilities and equipment long-term debt per space.	Cost	Measures total long-term debt to size of program in terms of spaces.
4	Percent of annual revenue committed to current principal and interest payment.	Relationship	Measures amount of revenue consumed by current debt payments.
5	Debt for facilities and equipment incurred for the last five years per space.	Cost	Measures five year debt assumption for facilities and equipment against size of program in terms of spaces. Important in setting baseline measurement for comparison with multi-year year parking improvement plans.
6	Average monthly permit revenue per space.	Relationship	Measures the monthly permit revenue to the number of spaces.
7	Total operating costs per Parking department FTE.	Cost	Useful for internal year to year tracking and comparisons to other operations with similar profiles. Divides total operating expenses by departmental FTE.
8	Total revenue per Parking department FTE.	Efficiency	**Overall key benchmark.** Measures income to staffing level.
9	Parking spaces per Parking department FTE.	Productivity	**Overall key benchmark.** Measures total staffing to size of program in relation to parking spaces.
10	Surface parking lot spaces as a percent of total spaces.	Relationship	For profile comparisons, this shows the balance between surface lot spaces and structured or on-street spaces.
11	On-street parking spaces as a percent of total spaces.	Relationship	Shows balance between on-street parking and surface lots or structured spaces.
12	Structured parking spaces as a percent of total spaces.	Relationship	Shows balance between structured spaces and street or surface lot spaces.
13	Administrative cost per space.	Cost	Measures administrative costs to size of program in respect to number of spaces.
14	Administrative costs as a percent of total costs.	Relationship	Reflects the portion administrative costs represent as a part of the whole. Look for "norms" within your peer group. Compare to operations with similar management profiles.
15	Security costs per space.	Cost	Measures security expenses to the size of the facility or operation.
16	Security costs as a percent of total costs.	Relationship	Reflects the portion security costs represent as a part of the whole. Look for "norms" within your peer group. Compare to operations with similar security profile.
17	Total enforcement process costs per space.	Cost	Quantifies total enforcement process costs by measuring to number of spaces in the program. Compare with similar enforcement profiles. (Total enforcement includes: issuing warnings/citiations, processing, adjudication and collections.)
18	Total maintenance costs per space.	Cost	Measures total maintenance expense to the size of the program in respect to spaces. Compare to operations with similar maintenance profiles. Match weather characteristics and American Concrete Institute (ACI) "durability zones".
19	Total maintenance costs as a percent of total operating costs.	Relationship	Reflects the portion of total operating costs which all maintenance absorbs. Match weather characteristics and American Concrete Institute (ACI) "durability zones" when making comparisons.
20	Equipment maintenance cost per space.	Cost	Measures equipment maintenance costs by size of program in respect to spaces.
21	Equipment maintenance costs as a percent of total maintenance costs.	Relationship	Measures what percent of maintenance costs are absorbed by equipment maintenance.
22	Equipment maintenance costs as a percent of total operating costs.	Relationship	Measures equipment maintenance costs as a percent of total operating costs.
23	Cashier station costs per space.	Cost	Measure cost of cashier operations to size of program in relation to spaces.
24	Cashier FTEs per space.	Productivity	Measure cashier staffing levels to size of program in respect to spaces.

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Recommended Transit and TDM Performance Metrics

DMC TRANSPORTATION INFRASTRUCTURE PROGRAM MANAGEMENT

#	Benchmark Name	Type	Description
1	Bus maintenance FTE @% total maintenance FTE	Relationship	Compares bus maintenance FTE to total maintenance staffing.
2	Vanpool maintenance FTE @% total maintenance FTE	Relationship	Compares vanpool maintenance staffing to toal maintenance FTE.
3	All maintenance FTE @% total program FTE	Relationship	Compares all maintenance staffing to total program staffing.
4	Bus maintenance cost per bus passenger seat	Cost	Measures cost of maintenance by size of program in respect to seating capacity.
5	Bus maintenance cost per bus passenger seat	Cost	Measures bus mainteancne cost to size of program in respect to buses.
6	Bus maintenance costs per bus miles driven	Cost	Equates bus maintenance costs to use in respect to miles driven.
7	Bus maintenance cost @% bus revenue including subsidy	Relationship	Measures the percent of bus revenue absorbed by maninentance costs.
8	Bus maintenance costs @% total program revenue	Relationship	Measures what percent bus maintenance costs absorb of total program revenue.
9	Bus maintenance cost @% total maintenance costs	Relationship	measures what percent bus maintenance is of total maintenance costs.
10	Bus maintenance costs @% total program total	Relationship	Measures the percent bus manteanance is of total program costs.
11	Bus maintenance costs per bus maintenance FTE	Cost	Measures bus maintenance costs to bus maintenance staffing levels. Will reflect salary/benefits levels as well as other bus maintenance operating expenses.
12	Bus maintenance FTE per bus miles driven	Productivity	Measures bus maintenance staffing level to use in respect to bus miles driven.
13	Vanpool maintenance cost per vanpool seat	Cost	Measures vanpool maintenance cost to size of program in respect to passenger seats.
14	Vanpool maintenance cost per vanpool vehicle	Cost	Measures vanpool maintenance cost to size of program in respect to number of vehicles.
15	Vanpool maintenance cost per vanpool mile driven	Cost	Measures vanpool maintenance costs to use in respect of miles driven.
16	Vanpool maintenance costs @% total program maintenance costs	Relationship	Reflects the percent of total maintenance costs represented by vanpool maintenance.
17	Vanpool maintenance costs @% total program revenue	Relationship	Measures percent of total revenue absorbed by vanpool maintenance.
18	Vanpool maintenance @% total program costs	Relationship	Measures the percent of total program costs vanpool maintenance represents.
19	Vanpool maintenance cost per vanpool maintenance FTE	Cost	Measures vanpool maintenance costs to vanpool maintenance staffing level. Will reflect salary/benefits levels as well as other enforcement expenses.
20	Vanpool maintenance FTE per vanpool miles driven	Productivity	Measures vanpool maintenance staffing level to size of program in respect to miles driven.
21	Vanpool cost per space	Cost	Measures vanpool costs against the size of the parking operation in respect to parking spaces.
22	Vanpool cost per passenger carried	Cost	Measures cost of delivering vanpool service by unit of service in respect to passengers.
23	Vanpool costs per 100 persons in population served	Cost	Measures vanpool costs to the size of the population served divided by 100. Look to your matching groups for "norm".
24	Vanpool costs per vanpool mile driven	Cost	Measures vanpool program cost against usage in respect to miles driven.
25	Vanpool cost @% vanpool revenue	Cost	Measures vanpool peration costs against its income generation from participating fees.
26	Vanpool costs @% vanpool subsidy	Relationship	Measures what percent vanpool subsidy is of total vanpool operating costs.
27	Vanpool costs @% total revenue and subsidy	Relationship	Measures vanpool costs against total income from passenger fees as well as subsidies.
28	Vanpool cost @% total program costs	Relationship	Measures what percent of total program operating expenses is absorbed by the Vanpool program costs.
29	Vanpool costs @% total program revenue	Relationship	Measures vanpool cost as a percent of the total revenue into parking.
30	Vanpool passenger fee revenue per passenger carried	Productivity	Measures vanpool revenue to service unit of passenger
31	Vanpool fee revenue per seat capacity	Productivity	Measures the revenue produced per passenger seat capacity.
32	Vanpool fee revenue per mile driven	Productivity	Measures revenue in miles driven units.
33	Vanpol fee revenue per van operated	Productivity	Measures revenue production per van unit.
34	Passenger fee revenue @% total vanpool revenue and subsidy	Relationship	Measures vanpool revenue as percent of total vanpool revenue sources.
35	Vanpool subsidy @% total vanpool revenue and subsidy	Relationship	Measures vanpool subsidy as a percent of total vanpool.
36	Vanpool passenger fee revenue @% total revenue	Relationship	Measures vanpool passenger fee revenue to toal program revenue.
37	Vanpool program FTE per passenger	Productivity	Measures vanpool program staffing against size of program in respect to passengers.
38	Number of passengers per vanpool van operated	Effectiveness	Measures average passenger load per van.
39	Number of vanpool passengers @%	Effectiveness	Measures service penetration in population served.
40	Vanpool capacity @% 100 person in population served	Relationship	Measures size of vanpool program against population being served.
41	Vanpool miles driven per passenger	Productivity	Measures the average miles driven per vanpool passenger
42	Vanpool miles driven per van	Productivity	Reflects the average mileage driven by each van.

43	Shuttle/Bus service cost per passenger carried	Cost	Measures the unit cost of providing service where the unit is number of passengers carried.
44	Shuttle/Bus service cost per bus	Cost	Measures average cost of operating a bus. Use this benchmark in conjuction with average miles driven per bus.
45	Shuttle/Bus service cost per 100 persons in population served	Cost	Measures bus program costs to the size of the population.
46	Shuttle/Bus service cost @% subsidy	Relationship	Measures costs of operating shuttle/bus service against subsidy received.
47	Shuttle/Bus service cost @% total program costs	Relationship	Measures percent of total program costs absorbed by shuttle/bus service.
48	Shuttle/Bus service cost @% bus/shuttle passenger revenue	Cost	Measures shuttle/bus costs against passenger fee revenue.
49	Shuttle/bus revenue per bus operated	Productivity	Measures the revenue generation per bus.
50	Shuttle/bus revenue per mile driven	Productivity	Measures income against unit of service in relation to miles driven.
51	Shuttle/bus revenue per seat capacity	Productivity	Measures bus revenue against the bus capacity.
52	Shuttle/bus revenue per passenger carried	Productivity	Measures average income per bus passenger.
53	Shuttle/bus passenger fee revenue @% total revenue	Relationship	Measures how much bus revenue contributes to total revenue.
54	Shuttle/bus passenger fee revenue @% bus revenue and subsidy	Relationship	Measures portion passenger fee contribute to total bus funding.
55	Shuttle/bus subsidy @% bus revenue and subsidy	Relationship	Measures portion subsidy contributes to total bus funding.
56	Number of passengers per shuttle/bus FTE	Productivity	Measures the number of person served per bus staff person.
57	Number of buses per shuttle/bus FTE	Productivity	Measures bus service staffing level against unit of bus.
58	Bus miles driven per shuttle/bus FTE	Productivity	Measures the bus staffing level against bus miles driven.
59	Bus revenue per shuttle/bus FTE	Productivity	Measures how much revenue is generated by each bus service FTE.
60	Shuttle/bus service FTE @% total program FTE	Relationship	Compares bus/shuttle staffing to total program staffing.
61	Number of passengers per shuttle/bus operated	Productivity	Measures capacity use of buses.
62	Bus miles driven per passenger	Productivity	Measures the value received in miles driven.
63	Bus miles driven per shuttle/bus	Productivity	Measures the miles of service provided by each bus.
64	Bus capacity @% of 100 persons in population served	Relationship	Measures capacity to serve population.
65	Public transportation promotion cost per 100 persons in population served	Cost	Measures public transportation promotion cost to size of program in regard to size of population.
66	Public transportation promotion cost per annual pass sold	Effectiveness	Measures public transportion costs to unit of service (no, passes sold)
67	Public transportation promotion cost @% subsidy	Relationship	Relates costs to subsidy for public transportation promotions.
68	Public transportation promotion cost @% total program costs	Relationship	Measures what percent of total program operating expenses is absorbed by public transportation promotion cost.
69	Public transportation promotion cost @% of total program revenue	Relationship	Measures what percent of total program revenue is absorbed by public transportation promotion costs.
70	Subsidy per annual public transportation bus pass sold	Productivity	Measures effective use of subsidy for public transportation promotion.
71	Number annual public transportation bus passes sold per 100 person in population served	Effectiveness	Measures the penetration of use of public bus cervice in population.
72	Annual public bus passes sold @% of total spaces	Effectiveness	Measures use of public transportation against use of private car.
73	Rideshare costs per space	Cost	Measures rideshare program costs against the size of the parking operation in respect to parking spaces.
74	Rideshare cost per rideshare participant	Cost	While primarily a cost benchmark, it also is a measure of effectiveness.
75	Rideshare costs per 100 persons in population served	Cost	Measures rideshare costs to the size of the population served divided by 100. Loo for "norm" among your matching groups.
76	Rideshare cost @% total operating cost	Relationship	Measures what percent of total program operating expenses is absorbed by the rideshare program costs.
77	Rideshare costs @% total program revenue	Relationship	Measures rideshare cost as a percent of the total revenue into the parking program.
78	TDM cost per space	Cost	Measures TDM program costs against the size of the parking operation in respect to parking spaces.
79	TDM costs per 100 persons in population served	Cost	Measures TDM costs to the size of the population served divided by 100. Look for "norm" among your matching group.
80	TDM cost @% total program costs	Relationship	Measures what percent of total probgram operating expenses is absorbed by the TDM costs.
81	TDM cost @% total program revenue population served	Relationship	Mesures TDM cost as a percent of the total revenue into the parking program.
82	TDM FTE @% total program FTE	Relationship	Compares staffing in rideshre, vanpool, and public transportation promotion to total program staffing.

City of Rochester, MN

Prepared for:
DMC Transportation & Infrastructure Program
City of Rochester, MN

Appendix 18

International Parking Institute
Accredited Parking Organization Program Manual

The International Parking Institute created a parking program accreditation process for the industry known as the Accredited Parking Organization or APO program. These APO documents identify 292 basic industry practices and features that are present in modern institutional, municipal, medical, university, airport, private, and other parking programs around the world.

Achievement of 80% of all accreditation criteria is the industry standard for a program that exemplifies a solid and well-rounded parking program and exhibits the key practices supported by IPI. Successful completion of the APO section warrants recommendation as having achieved the Accredited status as awarded by the Institute.

The document is provided in checklist format to facilitate completion of each section and assemble the necessary evidence of compliance. It is recommended that the new County/City parking program review this accreditation process as another tool to inform program development. Once the Norman program is fully established, pursuing APO accreditiation is highly recommended.

IPI ACCREDITED PARKING ORGANIZATION

ACCREDITED PARKING ORGANIZATION℠ PROGRAM

MANUAL FOR APPLICANTS

Second Edition, May 2016

IPI INTERNATIONAL PARKING INSTITUTE™
Advancing the parking profession℠

ACCREDITED PARKING ORGANIZATION PROGRAM

MANUAL FOR APPLICANTS
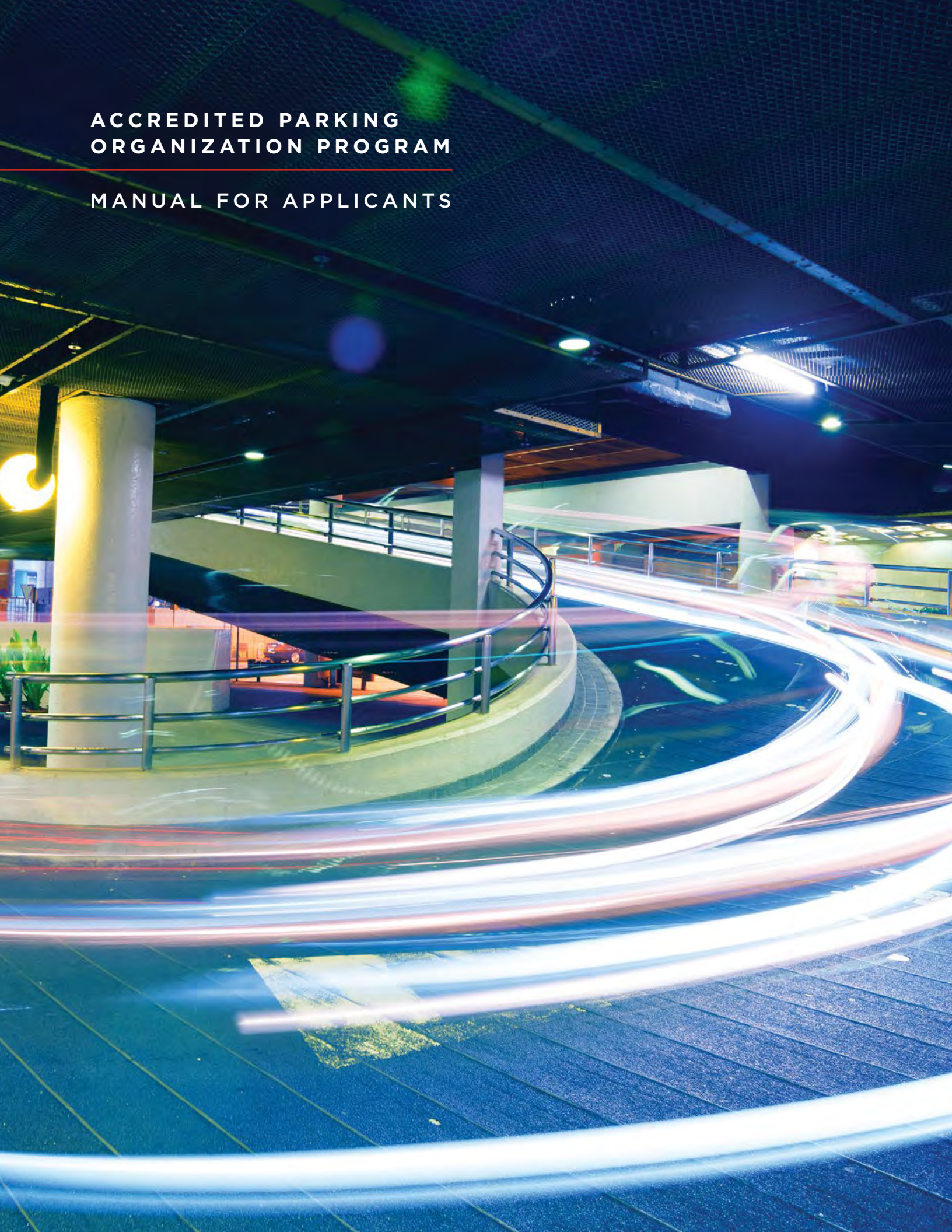
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INTRODUCTION

Welcome to the Accredited Parking Organization (APO) Program, IPI's newest credential, which establishes a benchmark of the quality by which a parking management organization conducts its business and maintains its facilities and services. An APO designation assures the public that a parking program meets national and internationally endorsed standards for professionalism, accountability, creativity, responsibility, and performance.

The parking industry's sectors include institutions, colleges, and universities; health services and medical centers; airports and intermodal transport hubs; municipalities; and office buildings, shopping centers, and other private facilities. All large and small, full- and partial-service organizations will share a single accreditation format that recognizes areas of advanced and exemplary services and innovations, as well as entrepreneurial spirit.

One of the goals of accreditation is to inspire organizations to improve their programs, facilities, services, and results continuously. By undertaking this process, your organization demonstrates its commitment to ongoing evaluation and improvement of program outcomes through the implementation of industry best practices.

Why Your Organization Should Become an APO

Until now, there has been no centralized accreditation or quality measurement system for parking organizations; rather, parking organizations have created and maintained their own standards and promoted them as good and effective—rather than "industry best"— practices. While this has been successful in gaining some recognition for individual programs, it has not encouraged the emergence of a unified brand or concept of a parking product that has positive effects in the minds and imaginations of customers and stakeholders.

The process of becoming an APO engages managers and staff in research and strong progress toward learning and adopting industry best practices and focuses organizations on the continuous improvement of internal efficiency and profitability.

It also promotes continuous development and improvement of industry products and services in a manner that is generally recognized by industry peers, internal and external administrators, and the general public. This will result in improved facilities and services as well as improved utilization and revenues.

Becoming an APO

1. Understanding APO Standards and Best Practices

Accreditation is the final act for a program that compares and measures existing practices against objective standards, resulting in a measured validation that certifies competency, authority, and/or credibility.

Standards are formal documents that establish uniform criteria, methods, processes, and practices related to a given activity or industry. Primary standards define the key characteristics of an individual item or practice and are supported by a hierarchy of secondary, tertiary, and check standards. A custom, convention, or corporate practice that becomes generally accepted and dominant is often referred to as a de facto standard.

Jeremy Brooks

Standards may be developed privately or unilaterally by a corporation, trade or occupational group, regulatory body, military, or other authoritative source. They may be developed by edict or a formal consensus of technical experts and usually are retained in the custody of a national or international standards body created expressly for that purpose.

International standards are directly imposed by an authoritative international governing body and sometimes are modified to suit local conditions; equivalent, national standards may differ somewhat in appearance, use of language, and definitions. They may reflect conflicts in governmental regulations or industry-specific requirements caused by geographical, technological, or

infrastructural factors, or the stringency of a given authority. International standards represent one method of overcoming barriers in international commerce caused by differences among nations or economic regions.

Best practices are methods or techniques that yield consistently superior results in public policy and business management activities. Used in nearly every industry and professional discipline, they serve as benchmarks of standardized ways of doing things that continue to evolve as improvements are discovered. Best practices often are used as an alternative to mandatory legislated standards and can be based on self-assessment, peer assessment, or formal benchmarking. Prior to becoming a "best" practice, a particular activity might be described as a smart, good, or promising practice. These best practices are the backbone of formal accreditation programs.

2. Why Standards Are Important

Standards form the fundamental building blocks for product and service development by establishing consistent practices and protocols that can be universally understood and adopted. This helps fuel compatibility and interoperability between products and services; in manufacturing, they simplify product development and speed time-to-market; in service industries, they simplify delivery techniques and form consumer expectations. Standards make it easier to understand and compare competing services. They propel the development and implementation of the products, services, technologies, and economics that influence and transform the way we live, work, and communicate.

At a consumer level, standards provide a safety net for many areas of our individual experience. They remove consumer anxiety by informing us about the reliability and fitness of the goods and services we buy and use, offer us greater choice, and instill confidence in the businesses we patronize. At a service-supplier level, standards provide clear guidelines toward targets that reflect best practices and offer protection from lesser rivals who might otherwise damage an industry's reputation. They provide an excellent selling point and a benchmark that can be used for communicating the specification and characteristics of a product, service, or system. They help explain improvements and innovations, and offer a competitive advantage by making it easier, cheaper, and more efficient to produce and sell industry products and services, both locally and internationally.

A good example of the power of standardization is the Global System for Mobile Communications (GSM) mobile communication technology network and its successors (3G, 4G, etc.). Although GSM originated in Europe, the technology has been adopted worldwide, helping travelers to communicate about and use familiar services globally.

While modern society views standardization as a given in technological fields, consumers and service providers are less accustomed to applying standards to everyday services. The parking industry has matured rapidly and possesses an entrepreneurial spirit. While these characteristics lend great vitality and value to the industry, the absence of generally accepted standards creates a gap between what customers expect and what the industry can deliver. By establishing standards for facilities and service delivery, we create a level playing field for the industry that assures customers and stakeholders of the highest quality.

3. What the APO Standard Represents

The APO standard for parking facilities and services represents the industry's best efforts to collect, assemble, and develop a reputation for achieving higher levels of quality and professionalism. It verifies that the accredited organization has achieved an established level of organization, delivery, and performance best practices within the top 30 percent of the global parking industry. Accreditation with Distinction indicates that the organization has achieved standing in the top 5 percent of the global industry.

The APO program is intended to be both a visionary, guiding standard and a day-to-day performance standard that is achievable by all industry organizations. Based on the scope and scale of individual organizations operating in different environment and service sectors, the program reinforces the industry training and professional certification initiatives developed by IPI and available to the industry worldwide.

The APO designation is awarded at the Accredited or Accredited with Distinction level. For the APO program launch in 2015, organizations were eligible to submit for the Accredited level. Those organizations were then eligible to submit for the Accredited with Distinction level after January 1, 2016. As of January 1, 2016, organizations may apply for either APO or APO with Distinction. Those organizations that wish to pursue APO, and then APO with distinction at a later date, will be permitted to do so through a new application. This manual is constructed to include both levels to educate and inform organizations that wish to pursue the accreditation.

Applicant organizations will be asked to gather and transmit information as objective evidence of attainment of the accreditation standard they are seeking, and to work with a third-party site reviewer to organize and present evidence that demonstrates accomplishment of each required item. A series of nominal fees will apply to process the application and sustain the program. The reviewer will visit the applicant site and work through the evidence to determine suitability, and whether the evidence item is material (applicable or not applicable) to the application. Based on the reviewer's recommendation, IPI, through its APO governance process, may award the APO designation at the appropriate level.

The APO program is designed to evolve and become more demanding over time, in accordance with industry practices. It will continue to "raise the bar", facilitating and encouraging continuous improvement in the industry.

4. The APO Board

The APO standard is trademarked (international) and is the intellectual property of IPI. The IPI Board of Directors has established the APO Board to provide oversight and strategic direction for the APO program. The APO Board ensures and supports the development and maintenance of industry standards representing the highest level of professionalism and competency. The Board is responsible for maintaining a benchmark of excellence for the industry and provides a means for parking and transportation organizations to demonstrate their proficiency and competency and be recognized by their peers, employees, employers, regulatory agencies, customers, and the public.

The accreditation standard will be amended and updated every three years, or as may be required by the ongoing evolution of the industry. Amendments or change to the standard will be made at the sole discretion of IPI and its governing bodies.

5. Eligible Organizations, Definitions, and Summary of Criteria

Eligible Organizations

Parking Organization – A parking organization is an entity that operates, manages, owns or leases parking facilities (defined as: parking lot(s), garage(s), ramps, carparks, etc. and on-street parking spaces).

> *Example: ABC airport has parking that is close to the airport and also runs multiple airports within the state. Application Fee ($250); Accreditation Fee ($2,500).*

Multi-Site Parking Organization – A parking organization may operate, manage, own or lease parking sites that are not in close physical proximity. Despite geographic distance, sites are managed with common policies and procedures by the same parking organization. In this case, they may be included in the same APO application.

> *Example: ACME University operates, manages, owns or leases parking facilities that are not in close proximity, for instance in separate cities. Application Fee ($250); Accreditation Fee ($3,500, including first three facilities) plus $500 per additional facility.*

Criteria for APO

- Meets 100% of the *required* criteria in Section 1 of the APO Matrix.

- Meets 80% of the remaining criteria in Section 1 of the APO Matrix.

- Has at least one facility meet 80% of criteria in Section 2 of the APO Matrix (Onsite Review as part of Site Visit). May submit up to three facilities as part of documentation; additional facilities may be added per the fee schedule.

- Payment of Accreditation fees, including $250 application fee, and $2,500 for three year accreditation period. Additional facilities (in addition to the first three) are $500 per facility. *These are IPI member rates, additional fees apply for non-members.*

- Complete facility review documented by IPI-approved APO Site Reviewer. *Fees negotiated separately between applicant and site reviewer.*

- Once all of the above criteria have been met and the APO Board has formally granted APO status, applicant will be notified of the successful APO pursuit, and may use the APO logo.

Criteria for APO with Distinction

- Meets all of the criteria for APO as detailed above.

- In addition, meets 80% of the APO *with Distinction* criteria in Section 1 of the APO Matrix.

- Once APO and APO with Distinction criteria have been met and the APO Board has formally granted APO with Distinction status, applicant will be notified of the successful APO pursuit, and may use the APO with Distinction logo.

Length of Accreditation

The initial accreditation term is valid for three years. The re-accreditation term is valid for one, three-year term, and APOs will be provided with a streamlined application process for recertification. Upon completion of the streamlined re-accreditation application, payment of $1,500 fee, and formal approval, the applicant's APO status will be extended for the three-year period.

After six years, a new application (based on the subsequent editions of the APO Manual for Applicants and APO Matrix) needs to be submitted with current applicable fees.

@first_sight

Additional Facilities

Should an APO organization wish to add facilities during either their initial three-year certification term, or recertification three-year term, they may do so by having those facilities undergo a facility review, meet the accreditation criteria, and pay $500 per facility. Regardless of when additional sites are submitted, the initial (or recertification) accreditation term stands for the APO and any related facilities.

> *Example: XZY municipality earned the APO in 2016. Their initial accreditation term is through Dec. 31, 2019. In 2017 they want to add two additional facilities. Adding the additional two facilities in 2017 does not extend their initial accreditation term to 2020; it remains Dec. 31, 2019.*

APO Premier Facility

As an additional benefit, facilities meeting the accreditation criteria under Section II of the APO Matrix and formally recognized by the APO Board may display the APO Premier Facility logo on their website and at each facility having undergone the facility review and meeting the accreditation criteria.

> *Note: Even though a parking organization may successfully achieve APO status, parking facilities that are not inspected nor evaluated against the APO Section 2 requirements as part of the APO application, or fail to meet the APO criteria, may not be marked as a Premier Facility. Marking or branding a facility as a Premier Facility, or as an APO site, without meeting these requirements may result in the parking organization losing its APO status.*

6. Getting Ready for Accreditation

An organization is ready for accreditation when it has adopted applicable recognized best practices and gathered evidence to demonstrate and benchmark these practices. Several industry publications and resources are available to assist potential applicants in preparing for the accreditation matrix, including but not limited to:

- *Parking 101: Parking Primer, Volume 1*, International Parking Institute

- *Parking 101: Parking Management: The Next Level, Volume 2*, International Parking Institute

- *Parking 101: Parking Management: Planning, Design and Operations, Volume 3*, International Parking Institute

- *What's What in Parking Technology, Second Edition,* International Parking Institute
- *Sustainable Parking Design & Management: A Practitioner's Handbook,* International Parking Institute
- *The Parking Professional* magazine
- CAPP Resource Guide
- www.parking.org

7. The Matrix

IPI freely distributes copies of the current APO matrix to guide applicants. To help applicants prepare for the process, the APO matrix is provided to applicants and online at parking.org/apo. Applicants are encouraged to share the matrix with other organizations interested in becoming accredited. It is divided into sections which can be delegated to a management team tasked with assembling the evidence, and then reassembled for inspection and reporting. During evidence preparation, the evidence-collection team corresponds with their selected reviewer to determine what evidence is required and which may not be applicable to their particular program. The reviewer will collect formal and informal evidence and make a complete copy for the applicant following the site review and before submitting evidence and recommendations to the APO governing authority.

8. The Role of the Reviewer

Each applicant will be required to seek a qualified, authorized, site reviewer to confirm their facts and specifics of their application and provide a report to the APO Board supporting their request for accreditation.

Review services, available from IPI-approved providers, include, site reviews- and accreditation recommendations. Most review service providers retain a number of trained and certified reviewers to assist organizations in pursuit of accreditation. In preparation for their review, organizations are encouraged to contact a reviewer to initiate a services agreement with one of these groups. IPI will provide current contact information regarding skilled and trained individuals at parking.org/APO.

In consultation with a reviewer, each organization will be guided in assembling the required evidence necessary to achieve the desired level of accreditation. Evidence may be gathered and transmitted to the reviewer in a variety of ways; however, electronic copies of all evidence documents must be sent to APO via an electronic file retention or transfer process before any accreditation recommendation can be made.

When all evidence is gathered remotely, the reviewer will visit the sites and programs to verify the evidence's accuracy and completeness independently, and will identify the correct level of achievement. All completed evidence collections, site-visit attestations, reports, and electronic images must be submitted by electronic means to the APO Board for affirmation and granting the APO. These electronic records will be securely maintained for documentation purposes, but will remain confidential and will not be disclosed to any person or organization other than the applicant, APO Board, or IPI staff. The reviewer's organization will charge a fee paid directly to the reviewing organization, to be negotiated under separate contract between the applicant and reviewing organization.

Every country, state, or region, parking facilities require a qualified, trained, and objective third-party visual assessment of their facilities and services to verify achievement of the accreditation standard. The desire to keep costs as low as possible and integrate the accreditation standard into efficient local practices necessitates that site review services be available locally. IPI has developed specialized training for local and national firms to deliver review services within a reasonable distance of most urban centers, allowing applicants to source their reviewer close to home.

All reviewers are trained and granted qualification by IPI based on their performance in APO training seminars and examinations that focus on accreditation best practices. Companies offering review services can be contracted for services leading up to and including the final APO site-visit review. Consultant or other IPI member organizations may offer review services as part of their own regular service packages, at rates they determine, provided that all reviewers are trained and approved by the APO Board and all reviewer quality practices are observed. Conflicts of interest that are not permitted include current employment and family relationships with the leadership team of the applicant organization. If an applicant organization wishes to pursue the APO designation, an objective third-party reviewer must be selected.

Reviewers hold their certification at the discretion of the APO Board, and those who provide questionable or substandard services in any aspect of their duties may have their approval revoked at any point. APO designations based on questionable review practices may be re-opened and re-examined subsequent to any withdrawal of reviewer certification.

9. Demonstrating Accomplishment of Best Practices

Organizations will be asked to gather, transmit, and retain objective and documentary evidence to support all of their claimed accomplishments. It is understood that different organizations may use different documentation methodologies, and that some of the evidence may be non-specific or visual in nature. If evidence is non-specific and/or submitted as an equivalent substitute for the documents, the equivalent must be demonstrated to the satisfaction of the reviewer and, ultimately, the IPI APO Board. All supporting evidence must be retained and transmitted to IPI by an approved site reviewer for custodianship prior being accepted. A detailed description of the evidence required by the APO Board follows.

Once IPI has reviewed all materials, IPI may grant accreditation. An organization is considered accredited when it receives the affirmation letter and certificate from IPI, accompanied by award displays, permissions, and instructions for communications with the public. The accreditation is conferred by IPI and may be upgraded or revoked at IPI's sole discretion at any time for any cause, including a shortfall in new achievements or performance.

10. Scope and Scale of the Organization

The APO Matrix assumes a complete and full-service organization that performs in all areas of parking management. If an applicant does not participate in some areas of parking management (i.e., operating parking garages), the applicant should identify that item or section as "not applicable" and mention this to the reviewer for consideration. Affirmation that the item is not applicable by the reviewer and the APO Board will exclude it from the score and nullify any negative effect.

Applicants are encouraged to use the checklist to implement change in their organizations. When applicants approach completing the matrix, they should contact their reviewer to examine any areas of real or suspected non-applicability or non-compliance. It is recommended that applicants do not schedule a reviewer visit until all required items are addressed and all evidence is gathered and verified to be correct and complete via the preliminary telephone meeting process.

11. Criteria and Documentation

This document identifies more than 150 industry best practices and program features that are present in modern institutional, municipal, medical, university, airport, private, and other parking programs around the world.

IPI recognizes that the parking industry is broad and entrepreneurial in scope and scale, and diverse in the way it approaches daily management challenges; what is a natural administrative solution for one program is often impossible for others. Accreditation seeks to define a common theme by emphasizing what is accomplished, rather than prescribing how it should be done.

To satisfy each item, the applicant is required to present clear, objective, and documented evidence that speaks directly to their claim. As an example, if the accreditation matrix requires a mission statement containing references to financial clarity and customer service, the applicant may submit a notarized or authorized current statement satisfying these requirements. This may be presented to the reviewer and APO Board in the form of an operating charter, internal planning document, internal communication document or email, published website, or other definitive public communication.

Other acceptable formats for communication of standards include:

- Internal documents, letters, emails, manuals, internal descriptions, or statements of objectives and standards of service delivery.

- Diagrams, illustrations, organization charts, flow charts, photographs, or other graphically definitive presentations.

- External third-party audits or opinions, "out of department" reports, letters or emails, web pages, or other objective electronic or hard-copy documents that describe a task or a function and demonstrate that the principle and function requested in the matrix is regularly occurring in the parking organizational unit.

  Where varying evidence formats are presented, the reviewer will advise regarding the acceptability of the evidence provided.

12. Accreditation

There are 25 elements in the Standard that are required. All organizations seeking the APO designation must achieve 100 percent of these items.

Organizations must accomplish 80 percent of the 131 individual criteria to earn the APO designation. Accreditation at this level signifies that the organization has developed a solid and well-rounded parking program that exhibits all of the key practices in use in the global industry, and falls within the top 30 percent of all operating organizations.

It is important to note that the parking facilities and services industry evolves rapidly, with new program elements being constantly developed. Concepts move on to become advanced practices and, ultimately, "best practices" that empower and enable administration and operations in a variety of environments.

Working with experts in each environment and service sector, IPI has assembled these key elements into an aggregate suite of key attributes or best practices that are followed by progressive and leading service providers worldwide. These practices are considered essential to achieve recognition as a progressive provider, and the standard reflects a requirement of 80 percent compliance to achieve accredited status. This level of achievement identifies a facilities and services program as representing a strong mix of regulatory and business acumen, technological sophistication, service and contribution to the host community, and service to customers and stakeholders, as appropriate to the environment and service sector.

13. Required Criteria

The following elements are marked "Required" on the matrix and must be achieved for an organization to earn accreditation.

1.1 Provides a copy of official documentation that defines a contract, charter, ordinance or enabling legislation.

1.2 Provides documentation showing governance hierarchy (Board of Directors/ Executive Director roles, responsibilities, terms, and relationships) is current; and policy-making authority, process, record-keeping, and decision-making are transparent.

2.1 Provides current documentation stating short- and long-term goals and identifying measurable objectives and timelines for achievement.

2.3 Planning includes an annual or multi-year budget and financial projection, with periodic tracking and analysis, and coordinated with related community or institutional planning entities.

3.1 Mission and Vision or other guiding statements address financial principles, such as transparency, accountability, and responsibility.

3.2 Produces and maintains an annual budget and projects a future (three or more years) financial planning document.

4.1 Commitment to service is identified and detailed in mission and/or vision statements.

4.4 Provides and maintains a proactive customer-service training program for all staff.

5.1 Provides all staff with an employee handbook, or equivalent document(s) identifying roles, tasks, responsibilities, operational policies, and procedures.

5.3 Maintains current job descriptions for each position, and files training documentation for regular staff.

6.1 Maintains effective access and revenue control plan for all facilities and services.

7.1 Demonstrates that regular onsite inspections are an integral part of facility maintenance.

7.7 Performs condition assessments by a qualified structural engineer, who conducts a walk-through inspection (annually).

8.1 Documents current compliance goals designed to encourage voluntary compliance.

8.2 Regulations and processes related to enforcement and appeals are transparent and available to the public.

9.1 Outlines safety and security philosophy in organization objectives and values.

9.3 Maintains SOPs or manuals and conducts testing, drills, and emergency communication procedures (i.e., 911, police, fire, administration, supervision.)

10.1 Demonstrates a strategic commitment to environmental sustainability.

10.2 Demonstrates implementation of sustainable practices showcasing a direct reduction in energy or resource use.

11.1 Demonstrates a commitment to reducing or distributing travel demand.

12.1 Develops and maintains a communications and marketing plan that supports the program's larger strategic goals.

12.3 Annual budget includes dedicated funding for communication and marketing activities.

13.1 Has a defined policy for protecting sensitive data and retaining or destroying secure data.

13.10 All equipment and services purchased are certified as PCI-DSS- or PA-DSS-compliant.

14.1 The applicant maintains active contracts with external service providers.

14. Accreditation with Distinction

Many organizations employ leading and progressive advanced practices and vision and innovation that go beyond the broad acceptance level required for accreditation. IPI seeks to recognize, support, and celebrate these fast-forward concepts with a higher tier of accreditation. To qualify for Accreditation with Distinction, organizations must achieve 80 or more points out of an additional 86 exceptional or advanced practices. Organizations that meet this threshold demonstrate accomplishment in the top five percent of the industry.

As of January 2016, new applicants may choose to submit at the Accredited or Accredited with Distinction level. IPI encourages organizations pursuing accreditation under this program to consider both levels when preparing for review documentation and site visits by the selected site reviewer.

Visionary and innovative programming is being developed on a small scale constantly, so advanced-standard concepts will be updated every three to five years as the industry progresses. Future best practices will be recognized as advanced achievements and may become best practices as they reach broad acceptance. To retain either level of recognition, APO's must advance and maintain standards current in the year of assessment or renewal.

15. When an Organization's Scoring Falls Short

The APO program's goal is for every applicant to attain the standard at the appropriate level. While some organizations may accomplish the APO standard quickly, others may take longer to gain the required experience and evidence. Organizations that have not yet attained the required level of experience and evidence are encouraged to persevere. With effort and commitment, every parking organization can obtain accredited status.

Organizations that do not achieve the necessary performance standards on first assessment will be debriefed by their reviewer on results and shortcomings, and given a list of accomplishments required to achieve accreditation. Based on the scope or scale of the organization being assessed and its location or service sector, some elements of the APO matrix may not be appropriate. In this instance, the reviewer will formally identify these items as not applicable and provide the necessary justification to the APO Board for this request.

16. Appeals

Organizations that do not achieve accreditation and wish to present an objection to IPI may address their concerns to the APO Board. Frivolous or opportunistic appeals will not be considered. Appealing organizations should be prepared to present evidence detailing why their site reviewer's recommendation or IPI's final decision should be re-evaluated. The Board will review the submission and render a final decision or recommendation within 60 days of receipt of the appeal.

Chris Chapman Photography

17. Promoting Your Accreditation

After notification of accreditation, IPI provides a comprehensive package of benefits and support for the organization, to include certificate, plaque, permission to use the APO logo, and branding guidelines. In addition, IPI will provide ongoing support and visibility through its website and multiple platforms. Accredited organizations hold the designation for a three-year period, and for subsequent years following successful renewal. Benefits include, but are not limited to:

- Provision of a branding and identity package, which includes use of the APO logo (dated for the specific years of the accreditation) to display on marketing and business collateral, websites, letterhead, business cards, facility signs, plaques, uniforms, and other visible public areas (samples and electronic formats provided).

- Press release by IPI showcasing the organization's achievement in national media and template for use by the APO to local media.

- Recognition at the annual IPI Conference & Expo, awarding a certificate and plaque showcasing the organization's Accredited status.

- Identification at the appropriate level of accreditation in IPI documents.

- Highlighted status on the IPI website parking.org.

- Public relations support through IPI programs such as Parking Matters® and Awards of Excellence.

18. Renewal

Once granted, the APO designation is good for three years, after which it will lapse and trigger a renewal process. The APO Board may choose to provide an expedited review process based on the prior submission, depending on improvements to the APO Program over that three-year period. Applicants will be informed of these changes at least six months prior to the expiry date of their accreditation to allow sufficient time for review and resubmission requirements.

After the first three-year cycle and successful renewal for the second three-year period, a full examination of documents, site review, and recommendation will be necessary to re-award the APO designation.

19. Fees

Participation fees to support the APO program are listed below, and may be adjusted annually. Reviewer fees will be contracted separately between the applicant and reviewing agency. The application fee will be paid to IPI when the request to pursue accreditation is submitted via the form posted on the website. The APO fee will be paid to IPI when the full application and all documentation is submitted by the applicant and reviewer to the APO Board. The APO fee includes the initial submittal of complete documentation including the reviewer's report, and allows for one resubmission to the APO Board if additional documentation or clarification is necessary.

If a second resubmittal becomes necessary, an additional fee may apply.

Questions or comments regarding the APO process should be directed to the designated staff point of contact listed at parking.org.

Fees	IPI Member Rate	Non-Member Rate
Application	$250	$750
APO (3-year period)	$2,500 *Accreditation fee includes up to 3 facilities.	$4,500
Additional Facility	$500 *Fee applies to the fourth and any additional facilities.	$500
Review Process	Determined by applicant and reviewer*	
Renewal Fee	$1,500	$3,000

The fees above are paid directly to IPI to support the APO program. The required reviewer fee will be contracted and paid directly to the selected reviewer from the applicant. IPI recommends that the applicant budget approximately $5,000 for reviewer fees, report, travel, and expenses, but acknowledges that each organization is unique and mayrequire a customized approach.

Introduction

The APO Board has adopted a Code of Ethics and Professional Responsibility (Code of Ethics) that establishes the expected level of professional conduct and practice for an organization that holds APO Accreditation or Accreditation with Distinction. The APO Board retains the right to amend the Code of Ethics as required.

To promote and maintain the integrity of its APO program for the benefit of designation holders and stakeholders, the APO Board has the ability to enforce the provisions of the Code of Ethics. The APO Board shall be required to enforce sanctions against APOs who violate the regulations as written in the Code of Ethics. The APO Board will follow its disciplinary rules and procedures when enforcing the Code of Ethics. Any reference below to an APO also includes an APO's officers and directors.

APO Code of Ethics

The APO Board is the sole body authorized to award the APO designation. The APO designation bestows a recognized level of excellence in the field of professional parking organization, management, and operations. Part of that competence relates to an understanding that APOs and their leadership and staff will abide by the Code of Ethics, thereby protecting the public they serve. The purpose of this Code is to direct APOs to lead their organizations with competency, honesty, professionalism, integrity, and fairness, and to provide a benchmark code of conduct that stakeholders may expect.

To this end, the APO Board hereby establishes this Code of Ethics stating that all APOs are bound to:

I.   Conduct their businesses according to high standards of integrity and fairness and to render that service to customers so that any "prudent person" would agree that the APOs conduct their businesses in a manner that is beyond reproach.

II.   Provide competent, "customer-centric" service that serves all stakeholders and specifically protects the public.

III.   Abide by all applicable governing rules, regulations, and standards.

The Code consists of two parts: The Principles and The Rules. The Principles embody the ethical and professional standards expected of APOs. These principles address the substance and not merely the form of service to customers. The Principles are the guidelines of professional conduct—the same conduct any customer would expect of any professional organization on which they rely. The Rules serve as a description of best-practice or APO standards and outline how The Principles must be implemented in specific circumstances.

The Principles

Principle 1. Organizational Competence: The APO shall provide services to stakeholders in a manner that demonstrates organizational competency. Organizational competency must be maintained through participation in recertification activities that demonstrate the APO has maintained the standards and criteria established in the APO Manual for Applicants and ancillary documents required in the role of the APO. Organizational competence also includes maintaining the organization's standing as an APO through continuous improvement and recertification.

Principle 2. Confidentiality: An APO, including its staff, shall not disclose any confidential customer information without the specific written consent of the customer unless the disclosure is made in response to a legal proceeding, to defend against charges of wrongdoing by the APO, or in connection with a civil dispute between the APO and a claimant. Confidentiality is a fundamental aspect of trust on which the professional customer relationship is based.

Principle 3. Professionalism: Conduct by the APO, including staff, in all matters shall reflect professionalism and good character, as expected by the APO designation. An APO represents the accreditation and may not behave in any manner that would discredit the designation or the program.

Principle 4. Fairness and Integrity: An APO shall perform its business and professional services in a manner that is fair and reasonable to customers, prospective customers, colleagues, employers, and regulators, and shall disclose any conflicts of interest associated with service as an APO. The APO must demonstrate integrity by serving customers, staff and the public with steadfast adherence to the APO Code of Ethics Rules and Principles, and the policies and procedures of the APO Board.

The Rules

Rules that Relate to Principle I: Competence

Rule 101: APOs shall keep informed of developments in the profession and provide continuing education to improve professional competence among all staff.

Rules that Relate to Principle II: Confidentiality

Rule 201: An APO, including its staff, shall not reveal or use, without the customer's consent, any personally identifiable information relating to the customer except and to the extent that disclosure or use is reasonably necessary to: (a) comply with legal requirements or legal process; (b) defend the APO against charges of wrongdoing; or (c) defend the APO in connection with a civil dispute between the APO and the customer.

Rule 202: An APO, including its staff shall maintain the same standards of confidentiality to employers and employees as to customers.

Rules that Relate to Principle III: Professionalism

Rule 301: An APO shall use the designation in compliance with the current rules and regulations of the APO Board, as established and amended.

Rule 302: An APO shall engage in fair and honorable competitive practices.

Rule 303: An APO who has knowledge that another APO has committed a violation of this Code must promptly notify the APO Board. A violation would be any act that raises substantial questions as to another APO's integrity, competence, or business practices. For the purposes of this Rule, knowledge means no substantial doubt.

Rule 304: An APO who has knowledge that raises a substantial question of legally actionable, unprofessional, fraudulent, or illegal conduct by an APO must promptly inform the appropriate regulatory body if appropriate, as well as the APO Board. For purposes of this Rule, knowledge means no substantial doubt.

Rule 305: An APO who has reason to suspect illegal conduct within the APO organization shall make timely disclosure of the available evidence to the designee's immediate supervisor and/or partners or co-owners, and take appropriate measures to remedy the problem. The APO shall, where appropriate, alert the proper regulatory authorities and the APO Board.

Rule 306: In all professional activities, an APO shall perform services in accordance with: (a) applicable laws, rules, and regulations of governmental and other applicable authorities; and (b) applicable rules, regulations, and other established policies of the APO Board.

Rule 307: An APO shall always act in the best interest of the customer and/or stakeholders, serving the overarching requirement to protect the public.

Rules that Relate to Principle IV: Fairness and Integrity

Rule 401: An APO shall not, during the course of rendering professional services, engage in conduct that involves dishonesty, fraud, deceit, or misrepresentation, or knowingly make a false or misleading statement to a customer, employer, employee, professional colleague, governmental or other regulatory body or official, or any other person or entity.

Rule 402: An APO is prohibited from the unauthorized or misleading use of the APO designation. If the APO renewal date has passed and the APO has not fulfilled requirements to maintain accreditation, the APO designation may not be used until the APO meets all requirements and pays all outstanding fees and fines. Additionally, APOs are prohibited from using the APO designation to represent their organization as specialists in a particular business service, or from using the designation in any way to mislead stakeholders about their expertise or breadth of experience.

Rule 403: An APO and its leadership shall not discriminate against others based on, but not limited to, gender, race, age, religion, disability, nationality, or sexual orientation.

Violation of the Code of Ethics

APOs that violate the Code of Ethics shall be subject to disciplinary action.

Content Area I: Accreditation Criteria

1. Governance and Organization

A parking organization's role, authority, responsibility, management expectations, and obligations are always defined in some documentation: a charter, ordinance, regulation, or other official document that is promulgated through the governance levels of the organization. An accredited program must be well-defined and empowered with a vision and mission statement or equivalent, and the organizational structure must be appropriate to meet the program's stated role and operational requirements. Its operations must be clearly aligned with the organization's governance document and defined by an effective and efficient organization structure.

Objective

To complete this section successfully, the applicant must demonstrate this alignment and provide accountable, transparent, responsive, justifiable, inclusive, and participatory parking, transportation, and mobility services to the community or constituencies it serves.

Accreditation Criteria

1.1 Provides a copy of official documentation that defines a contract, charter, ordinance or enabling legislation.*

1.2 Provides documentation showing governance hierarchy (Board of Directors/ Executive Director roles, responsibilities, terms, and relationships) is current; and policy-making authority, process, record-keeping, and decision-making are transparent.

1.3 Regulations regarding limits or restrictions on the organization's authority to change/amend rates, fines, use of funds, agency jurisdiction, operating rules, etc., are current and well-defined.

1.4 Current operational policies and procedures are documented with amendments and/or revisions.

1.5 Mission and Vision statements (or equivalent definitions of purpose) are current and available to the public, and to stakeholders and parent companies or organizations.

1.6 A current organizational chart is available and reflects the program's mission.

1.7 Comprehensive organizational structure is in place that clearly defines relationships between functions, process and staff assignments. Appropriate and accurate position descriptions are in place and current within three years of the accreditation inspection date.

1.8 Appropriate and accurate position descriptions are in place and current within three years of the accreditation inspection date.

Arielle Brown

Accredited with Distinction Criteria

Additional points will be awarded to organizations that further contribute to the accountable, transparent, responsive, and justifiable significance of governance and organization.

1.9 There is an active stakeholder committee, with a documented Terms of Reference, that participates in governance.

1.10 There is a senior leader or Executive Director with professional training in planning and delivery of parking services.

1.11 The senior leader or Executive Director represents the parking organization in public and the media.

1.12 Retains annual reports or departmental profiles that explain the role and mission of the parking organization.

1.13 Retains past performance documentation.

*Criteria in bold are required elements of the APO program

2. Planning and Monitoring

Modern industry organizations and activities are developed to coincide with or be part of larger public transportation and mobility programs. Even private-sector activities, though not directly subject to government involvement, are guided in their course in accordance with public policy standards, as permitted through zoning and licensing requirements. All organizations possess goals and objectives that focus on desired outcomes and all organizations monitor and measure results to demonstrate progress toward those outcomes. IPI APOs routinely utilize a methodical and objective process of planning and monitoring based on regular and consistent observations, measurements, and analysis.

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Objective

To complete this section successfully, the applicant must demonstrate that planning for the parking system, including any related transportation and communication elements, is consciously placed within the broader context of community or institutional planning goal. Regular monitoring of relevant performance indicators is an active part of the system management process.

Accreditation Criteria

2.1 Provides current documentation stating short- and long-term goals and identifying measurable objectives and timelines for achievement.

2.2 Provides documentation outlining planning process and procedures that translate daily activities into long-term or strategic planning – minimum two years beyond current fiscal year.

2.3 Planning includes an annual or multi-year budget and financial projection, with periodic tracking and analysis, and coordinated with related community or institutional planning entities.

2.4 Maintains a detailed and up-to-date inventory of all parking resources (permits, facilities, parking stalls).

2.5 Conducts parking supply, demand, and utilization studies at regular intervals.

2.6 Uses performance measurements in decision-making and regular benchmarking activities.

Accredited with Distinction Criteria

Additional points will be awarded to organizations that regularly apply the principles of planning and monitoring to daily operations and utilize these principles to maintain a culture of quality service and continuous improvement.

2.7 Demonstrates a solid understanding of the operational use of study results, metrics, and benchmarks.

2.8 Demonstrates a practice of using metrics to explain and illustrate features of the parking program to the public.

2.9 Participates in broader industry benchmarking and measurement studies and initiatives outside of his/her own organization or corporation.

2.10 Planning outlines the schedule and process for key day-to-day operational and administrative activities, including responsible staff, timing/communication, frequency and documentation to indicate activities are a well-established part of the organization's management process.

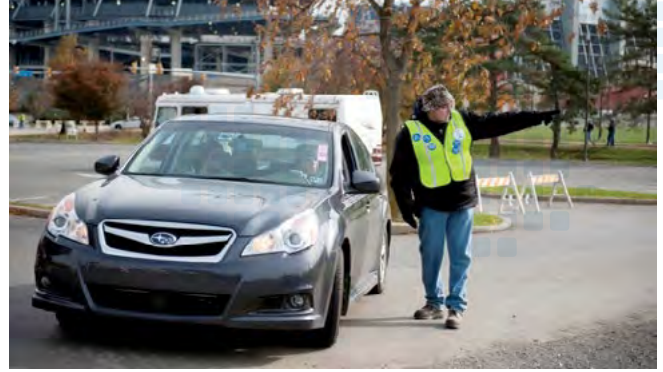## 3. Financial Budgeting and Financial Management

While the financial expectation of any parking organization is defined in its role and mission, APOs operate in an atmosphere of transparency, accountability, and responsibility, in support of their role. The applicant must be committed to providing accurate and responsible financial transparency in accordance with Generally Accepted Accounting Principles (GAAP) or equivalent as may be determined by the organization's senior leadership.

Objective

To complete this section successfully, the applicant must demonstrate sound financial management practices in all aspects of planning, budgeting, cash and account management, and audit and reconciliation processes to accurately report the organization's financial position.

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Accreditation Criteria

3.1 Mission and Vision or other guiding statements address financial principles, such as transparency, accountability, and responsibility.

3.2 Produces and maintains an annual budget and projects a future (three or more years) financial planning document.

3.3 Produces a monthly report identifying revenues and expenses, as well as variance budget to actual.

3.4 Maintains and regularly reviews organization's capital plan noting project status and associated budget financial status.

3.5 Maintains a calendar of planned and completed audits (revenue control, employee safety, environment, labor control and management, cost management, etc.).

3.6 Audits include all aspects of finance and operations, including cash and financial record keeping and management, as well as utilization and inventory control.

3.7 Maintains audit protocol and procedure documents.

3.8 Circulates documentation identifying audit findings or shortcomings to senior management, and management reviews recommendations.

3.9 Senior leadership (audit committee, etc.) responds to audit findings and recommendations and decides upon a plan of action and completion timeline, and documents response and plan of action.

3.10 Maintains current SOP for Accounts Payable/Accounts Receivable.

Annemarie Mountz

Accredited with Distinction Criteria

Additional points will be awarded to organizations that further contribute to an atmosphere of transparency, accountability, and responsibility of financial budgeting and management processes.

3.11 Reviews budget and performance documentation with authorized stakeholder groups.

3.12 Demonstrates consistent and acceptable financial performance year after year.

3.13 Financial performance meets or exceeds the targets established by the governing authority of the parent corporation.

3.14 Financial management is subject to routine internal audit and process improvement measures.

3.15 Produces a budget year-end financial report and operational summary.

3.16 Achieved a strong bond or credit rating based on a third-party reviewing agency.

3.17 Developed or achieved a level of public/private cooperation, such as a P3 partnership or other community partnership.

4. Customer Service

There are several components of good customer-service practices within an organization. Understanding customer needs is a top priority.

APOs include provision and maintenance of suitable customer-service infrastructure in all facilities and services, continuous customer-service improvement, a dedication to developing and/or supporting customer-service programs, and a demonstrated concern for customers' opinions and experiences. This includes follow-up and sourcing feedback regarding facilities and services and excellence in response to public and media inquiries.

Objective
To successfully complete this section, the applicant must demonstrate a high, progressive, and sustained level of communication, care, and service to end-use customers.

Accreditation Criteria

4.1 Commitment to service is identified and detailed in mission and/or vision statements.

4.2 Refers to philosophy of customer service in routine correspondence.

4.3 Refers to philosophy of customer service in long-and short-term planning documents.

4.4 Provides and maintains a proactive customer-service training program for all staff.

4.5 Conducts customer-service training for new staff.

4.6 Offers annual customer-service refresher training for all staff.

4.7 Responds to customer-service feedback.

4.8 Staff are available remotely or in person to assist customers.

4.9 Employs regular customer surveys (one-year interval minimum).

4.10 Demonstrates a variety of customer-service programs.

Accredited with Distinction Criteria

Additional points will be awarded to organizations that demonstrate a commitment to flexibility and offer customers a choice of services.

4.11 Provides a variety of parking payment options.

4.12 Provides a variety of parking permits options.

4.13 Provides a variety of choice options for response to compliance tickets or citations.

4.14 Provides a choice of mode of interaction: telephone, email, text, or in-person.

4.15 Utilizes social media to enhance customer service.

4.16 Gives credit to the team.

4.17 Offers customer-appreciation days, activities, or events. Conducts contests, special days, and special offers to promote its role and product, or relationship to its customers.

4.18 Engages stakeholders to assist in data collection or other tasks.

4.19 Engages stakeholders in the customer service survey and acts upon the results of the survey.

4.20 Uses rapid entrance and exit techniques for special event parking.

5. Personnel Education & Development

APOs pay strong attention to the initial and ongoing training of employees. The competence and effectiveness of employees is a driving factor behind an organization's parking program, and personal education and development is key to establishing a strong reputation for dealing fairly with the public.

Objective

To complete this section successfully, the applicant must demonstrate that the organization is invested in developing qualified, confident, and well-rounded individuals who are well-trained in professional parking knowledge to meet operational requirements, as well as human interaction and problem-solving to meet service objectives.

17

Accredited Criteria

5.1 **Provides all staff with an employee handbook, or equivalent document(s) identifying roles, tasks, responsibilities, operational policies, and procedures.**

5.2 Administers a training program that features a defined structure, outline, schedule, and materials.

5.3 **Maintains current job descriptions for each position, and files training documentation for regular staff.**

5.4 Provides an orientation to facilities, organization, operations and lines of authority, introductions, review of personnel policies for new staff.

5.5 Provides formal instruction on functional responsibilities and procedures.

5.6 Utilizes trainee assessment/testing to test comprehension of concepts and essential information.

5.7 Directly supervises employees while in training before they begin performing duties independently.

5.8 Uses follow-up training to address identified weaknesses and documents eventual competency.

5.9 Maintains process for annual evaluations and professional development of staff.

5.10 Utilizes evaluation criteria that are relevant to the functions and responsibilities of the employee, with an opportunity for written and verbal feedback.

5.11 Provides employees the opportunity for documented input into evaluation.

Accredited with Distinction Criteria

Additional points will be awarded to organizations that demonstrate advanced interest and achievement in the training and professional development of their employees.

5.12 In the case that an employee reports to multiple supervisors, provides opportunity for input from each supervisor.

5.13 Provides a range of other training programs for the benefit of employee or organization.

5.14 Senior manager is a Certified Administrator of Public Parking (CAPP).

5.15 Middle management team participates in CAPP or other professional development.

5.16 Supervisory and long-service staff participate in IPI professional development programs (or comparable equivalent) appropriate to their employment level, duties, and responsibilities.

6. Access and Revenue Control

APOs are always involved in managing access to parking facilities under varying conditions, and are involved in managing permits and credentials as well as cash, credit card, electronic purse, or other forms of value-accounted transactions. As these transactions are of relatively small value and usually occur in high volumes, the quality management of credentials and value—particularly cash value—is of central importance to the way organizations function and how they are perceived to function by our peers, stakeholders, customers, owners, and the public.

Objective

To complete this section successfully, the applicant must demonstrate a high level of sophistication in the care of physical assets used to manage and control access to parking stall inventory and to revenue accruing from the sale of parking stall inventory, as well as its related tokens, permits, fees, fines, and other products.

Conservation Design Forum

Accreditation Criteria

6.1 **Maintains effective access and revenue control plan for all facilities and services.**

6.2 Provides appropriate control methodologies (PARCs, timed parking, meters, etc.).

6.3   Provides a current SOP that includes access and revenue control requirements.

6.4   Provides a systematic and documented process for obtaining and evaluating collection data.

6.5   Equipment used to control facilities provides sufficient documentation for revenue generated.

6.6   Incorporates reporting features into accounting reconciliation and reporting processes that include both transactions and revenue.

6.7   Maintains a standard counting and reconciliation practice.

6.8   Conducts periodic unannounced or opportunity counts or audits.

6.9   Demonstrates that employees responsible for revenue management are trained in relevant policies, procedures, and audit processes.

6.10   Provides a write-off policy/procedure.

6.11   Maintains copies of bank transaction reports on at least a weekly basis that includes all forms of payment.

6.12   Requires supervisory sign-off on void transactions and reconciliation documentation.

6.13   Provides a process to resolve financial discrepancies.

6.14   Provides a current letter, contract, or agreement in-place between the applicant and any special event clients.

6.15   Provides an automated process for reserving and/or vending parking space for events.

6.16   Has the ability to issue a receipt to the customer during special-event parking operation.

6.17   Captures utilization reporting and routinely debriefs management and staff on the outcome of each event.

6.18   Vault or counting room is monitored and access control is maintained.

6.19   Properly limits and controls access to bulk permit or card stock.

6.20   Documents custody of unissued permits and access cards.

6.21   Inventories and counts meter canisters.

6.22   Procedures and/or report slips show cashier stations are subtotaled and cash counted periodically during each shift.

Accreditation with Distinction Criteria

Additional points will be awarded to organizations that show an advanced level of cash security, scrutiny, audit procedures and resources, and sound cash-management processes in all areas of its operation.

6.23   Monitors gate equipment and cashier positions controlling revenue areas with cameras.

6.24   Audit process includes periodic review of statistical patterns related to equipment activity, cashiering functions, and field revenue collections.

6.25   Provides a copy of most recent third-party audit (external or internal).

7.   Asset Maintenance

APOs manage major public facilities in such a way as to provide responsible, efficient, and valuable customer services to their customers, in support of their stakeholder and owner objectives.

Objective

To complete this section successfully, the applicant must demonstrate an active asset maintenance program that ensures regular and consistent monitoring, cleaning, and repair of parking facilities and supporting assets.

Accreditation Criteria

7.1   Demonstrates that regular onsite inspections are an integral part of facility maintenance.

7.2   Tests emergency systems regularly.

7.3 Maintains a maintenance program that includes inventory of maintenance items.

7.4 Maintains copies of current maintenance agreements with third parties.

7.5 Maintains a capital renewal plan.

7.6 Budgets for maintenance reserves or funds set aside for parking facilities and services replacement and upgrade.

7.7 **Performs condition assessments by a qualified structural engineer, who conducts a walk-through inspection (annually).**

7.8 Performs condition assessments by a qualified structural engineer who conducts a full condition assessment including all disciplines (once every three years at a minimum).

7.9 Provides a reconciliation report and schedule of repair completion for items identified in the condition appraisal.

Accreditation with Distinction Criteria

Additional points will be awarded to organizations demonstrating an advanced level of care and attention to detail invested in asset inspection, maintenance, and updates. The applicant must confirm that an advanced maintenance program is functioning in accordance with a developed and formal work order and tracking process.

7.9 Maintains a maintenance program in accordance with Parking Consultants Council or equivalent guidelines, including a formal work order and tracking process.

7.10 Posts maintenance, ownership, and contact information and hours of operation.

7.11 Regulations and restrictions are posted and explained at customer-service locations.

7.12 Replaces lighting ballasts and illuminators on a regular basis.

7.13 Encourages customers to report security breaches or risks, and follows up with recorded action.

7.14 Conducts routine physical security audits.

7.15 Offers car wash, concierge, laundry, vehicle repair, or other value-added services.

8. Regulations, Enforcement, Adjudication and Collections

APOs often operate, or influence the operation of, enforcement programs intended to discourage non- compliance with public laws or ordinances, or private- property management standards. The purpose of an enforcement program is to hold vehicle owners personally and sometimes financially accountable for their actions, to raise awareness through education, and to promote and encourage corrective behavior to avoid a repeat situation. While the traditional enforcement role sends a negative message, organizations are increasingly developing practices and techniques that emphasize the positive side of encouraging compliance, rather than discouraging misuse.

Objective

To complete this section successfully, the applicant must demonstrate that their organization provides professional and flexible services in accordance with modern technologies, service-delivery options, and best modern compliance practices.

Accreditation Criteria

8.1 **Documents current compliance goals designed to encourage voluntary compliance.**

8.2 **Regulations and processes related to enforcement and appeals are transparent and available to the public.**

8.3 Uses data to allocate resources and improve effectiveness (voluntary compliance).

8.4 Conducts periodic review of patrol zones and activities.

8.5 Reviews officer performance and productivity monthly.

8.6 Utilizes positive customer-service techniques to encourage compliance.

8.7 Conducts daily shift briefings or other daily communication/updates.

8.8 Details role of enforcement and compliance in training materials.

8.9 Uses technology to monitor patrol routes and officer activities.

8.10 Uses digital images to document and improve the accuracy of the enforcement process.

8.11 Officers are identifiable and uniformed.

8.12 Utilizes hand-held computer, License Plate Recognition, or equivalent systems that tie regulation, customer performance, and administrative service delivery together in a comprehensive way.

8.13 Offers a transparent and publicly available appeals program.

8.14 Offers appellants access to a multi-level review process.

InventorChris.

8.15 Considers the views of adjudicators when regulations are designed.

8.16 Demonstrates that citations written in error represent fewer than 2% of all citations.

8.17 Uses a fine-collection process exists.

8.18 The fine collection process collects 80 percent or more of fines.

8.19 Maintains a boot/tow policy.

8.20 Trains officer/third-party providers in the boot/tow process in customer service and conflict resolution.

8.21 Provides 24 hour service at impound facility and vehicle storage areas.

Accreditation with Distinction Criteria

Additional points will be awarded to organizations that demonstrate an advanced approach to gaining compliance through enforcement, adjudication, and collection systems, as well as positive compliance-gaining techniques.

8.22 Demonstrates an advanced degree of care for the customer during the enforcement, adjudication, and collection process.

8.23 Enforcement staff works with customer-service to ensure that service issues are dealt with in the office environment rather than in the public eye.

8.24 Uses principles of parking supply/demand measurement, capture, and patrol frequency to optimize the enforcement process.

8.25 Works proactively with the court system to ensure that regulations are being documented and processed in an acceptable manner, and that new practices and procedures will be supported by the adjudication process.

8.26 Utilizes customer-performance data to determine appropriate corrective action.

8.27 Provides appellants access to an objective third-party (court of law, adjudication committee, etc.).

8.28 Adopted parking ambassador program or approach.

9. Safety, Security, and Risk Management

APOs work dynamically and proactively to establish a superior personal safety and property security presence for their customers and stakeholders, and manage their owners' risk responsibly.

Objective

Accreditation Criteria

9.1 Outlines safety and security philosophy in organization objectives and values.

9.2 Documents effective workplace safety and risk management practices.

9.3 Maintains SOPs or manuals and conducts testing, drills, and emergency communication procedures (i.e., 911, police, fire, administration, supervision.)

9.4 Conducts periodic inspection of facility infrastructure and maintains documentation of inspections.

9.5 Incorporates passive and active security measures in facility design and operation.

9.6 Responds to public safety inquiries.

9.7 Security staff are identifiable and uniformed.

9.8 Trains security staff to respond to public safety and security issues.

Accreditation with Distinction Criteria

Additional points will be awarded to organizations that ca demonstrate an exemplary level of safety and security awareness and response.

9.9 Participates in community safety and security organizations.

9.10 Utilizes customer surveys in assessing security and safety measures.

9.11 Develops safety-oriented partnerships with stakeholder and other interested groups.

9.12 Provides onsite security staff or equivalent personnel.

10. Sustainability

APOs demonstrate a high level of attention to progressive environmental practices and standards, and show leadership in all aspects of their roles as environmental stewards.

Objective

To complete this section successfully, the applicant must demonstrate that the program, sets specific goals for energy and resource consumption, and shows progress toward reaching its sustainability goals.

Accreditation Criteria

10.1 Demonstrates a strategic commitment to environmental sustainability.

10.2 Demonstrates implementation of sustainable practices showcasing a direct reduction in energy or resource use.

10.3 Provides incentives to promote use of low-emitting and fuel-efficient or alternative fuel vehicles.

10.4 Demonstrates use of alternative-fuel fleet vehicles.

10.5 Provides payment system in parking facilities to reduce idling upon exiting.

10.6 Recycles or repurposes materials and equipment (recycling paper, reusing signs).

10.7 Uses energy-efficient lighting systems and/or controls in parking facilities.

10.8 Uses energy-efficient, environmentally favorable Heating Ventilation and Air Conditioning (HVAC) systems and/or controls in facilities requiring ventilation, or facilities designed without mechanical ventilation.

10.9 Uses halon-free fire-suppression systems.

10.10 Demonstrates planning for continued sustainability gains.

Center for Watershed Protection, Inc.

Accreditation with Distinction Criteria

10.11 Achieved GPC (now Parksmart), LEED, Green Globes or equivalent certification for at least one parking facility.

10.12 Posts policies regarding sustainability in prominent public space.

10.13 Manager(s) directly responsible for day-to-day parking operations has earned and maintained a qualified environmental sustainability credential.

10.14 Implemented external wayfinding system to reduce time spent searching for a parking space.

10.15 Implemented internal wayfinding system within parking facility or facilities to reduce time drivers spend locating a space.

10.16 Installed and maintains electric vehicle charging stations.

10.17 Provide tire inflation stations or mobile tire inflation services.

10.18 Implemented water-reduction technologies/strategies.

10.19 Roofing system designed to reduce heat-island effect and/or provide stormwater mitigation.

10.20 Generates renewable energy on site, and/or purchases of renewable energy credits.

10.21 Provides proactive parking facility maintenance plan.

10.22 Uses permeable materials in at least in one surface parking facility.

11. Access Management

APOs champion transportation solutions that connect people to where they need to go, while reducing congestion, wear-and-tear on surrounding infrastructure, and environmental damage.

Objective

To complete the section successfully, the applicant must demonstrate a commitment to travel demand management strategies, employing techniques designed to support multi-modal transportation solutions that promote walking, cycling, and transit use, and control motor vehicle access.

Accreditation Criteria

11.1 **Demonstrates a commitment to reducing or distributing travel demand.**

11.2 Charges for parking to impact transportation choice.

11.3 Provides for or supports the use of bicycles.

11.4 Provides for or supports the use of carpooling or vanpooling.

11.5 Uses parking guidance, traffic management or parking reservation systems.

11.6 Provides for or supports car share programs or services.

11.7 Provides for or supports bicycle share programs or services.

11.8 Parking facilities are located at least .25 miles from mass transit services.

Accreditation with Distinction Criteria

An additional score will be awarded to organizations who demonstrate the development of enhanced mobility programs and/or policies to support users of alternative transportation modes.

11.9 Participates in a TMA/TMO or similar organization aimed at reducing congestion and travel demand.

11.10 Provides for or supports guaranteed ride home programs and services.

11.11 Provides for or supports ride matching services.

11.12 Provides for or supports transit, universal bus pass, or shuttle services.

11.13 Provides short-term, occasional parking options for flexible commuting.

11.14 Parking facilities are part of, or proximate to, Transit Oriented Developments.

12. Marketing and Communications

APOs recognize the need to educate and form their customers' impressions and responses to the parking environment, as well as its current standards and best practices. This is accomplished through marketing and communications programs targeted at individuals, customers, or stakeholder groups, as well as ownership authorities and the general public.

Objective

To complete this section successfully, the applicant must establish commitment to strategic excellence in communications, marketing, and community relations.

Accreditation Criteria

12.1 **Develops and maintains a communications and marketing plan that supports the program's larger strategic goals.**

12.2 Strategic-planning documents specifically focus on communications and marketing which are reviewed annually and current.

12.3 **Annual budget includes dedicated funding for communication and marketing activities.**

12.4 Provides opportunities for customer feedback (at least quarterly) and responds to feedback.

12.5 Media relations protocols include a specific list of approved media spokespeople and chain-of-command for approving and reviewing information that is released to the media.

12.6 Employs a current media list that includes key media organizations and contact information for key staff.

12.7 Uses a press/news release template.

12.8 Crisis/emergency situation protocols, including a specific list of key contacts, clearly defined chain-of-command and areas of responsibility are in-place.

12.9 Maintains expedited method of communication specifically for crisis/emergency situations.

12.10 Maintains policies and/or procedures for addressing annual, seasonal, campaign-based, and event-specific communications functions in a timely manner (i.e., special events, construction, service disruption, and routine maintenance).

12.11 Branding includes a logo or distinct visual marker that is consistent across media.

12.12 Website includes 1) map of facilities, pricing, payment options, 2) contact email, phone number, hours of operation; 3) instructions for after-hour emergencies; 4) how to pay and/or appeal a citation; 5) information on monthly parking, if applicable; 6) ADA information.

Accreditation with Distinction Criteria

Additional points will be awarded to organizations that demonstrate an exemplary and exceptional commitment to marketing, promotions, and community outreach.

12.14 Shares best practices in marketing and communications with parking industry colleagues.

12.15 Conducts information sessions for the public and can demonstrate how feedback is incorporated into operational efforts.

12.16 Posts up-to-date information on programs and practices in public places and online.

12.17 Participates in public events, public-education sessions, lunch-and-learn sessions, or other awareness- and confidence-building activities.

12.18 Utilizes new communication technologies (YouTube, social media, blogs, etc.) to reinforce its message to the public.

12.19 Uses resources to support community quality-of-life programs.

13. Data Management and Security

The industry is experiencing increased gathering and retention of personal data; in the parking industry, some of this data is critical to management functions and some   is not. POs recognize the need to retain key data points for the purpose of compiling histories, assessing behaviors, managing programs, facilitating purchases, and educating customers; the need to protect this information while in custody; and the requirement to discard this information when it is no longer relevant or necessary.

Objective

To complete this section successfully, the applicant must clearly demonstrate a commitment to data security in compliance with Payment Card Industry (PCI) standards and parking industry best practices.

Accreditation Criteria

13.1   **Has a policy for protecting sensitive data and retaining or destroying secure data.**

13.2   Provides a policy that outlines the type of Personally Identifiable Information (PII) used/collected, individual responsibilities, how sensitive data is processed when expired, and references appropriate laws.

13.3   Provides a policy that defines how access to systems is managed and controlled.

13.4   Contractually requires all vendors to follow the applicant's data and IT security policies.

13.5   Maintains inventory of all IT assets and data assets and where they are located.

13.6   For organizations accepting payment cards: Submits to Payment Card Industry (PCI) certification or self-certifications, and ensures timely security scans; any issues are documented and resolved in a timely manner.

13.7   Employing Tokenization for web based transactions.

13.8   Reviews existing systems to ensure that necessary patches and updates (operating systems, applications, etc.) are performed and implemented in a timely manner.

13.9   Uses firewalls, gateway antivirus, intrusion-detection devices, and other forms of dynamic monitoring to screen for vulnerabilities.

13.10 **All equipment and services purchased are certified as PCI-DSS- or PA-DSS-compliant.**

13.11 Vulnerability scans should be performed and reviewed monthly (at a minimum).

13.12 Encrypts all sensitive personal information and credit card data.

Accreditation with Distinction Criteria

13.13 Conducts a quarterly review of users and their permissions.

13.14 Vulnerability scan should be performed and reviewed weekly (at a minimum).

13.15 Servers are in locked cabinets or secure locations and firewalls are actively managed with consistent monitoring for intrusion (PCI requirement).

13.16 Purges non-essential data in accordance with the data-retention policy.

13.17 Ensures that all employees complete annual data security, PII, or PCI recurring training.

13.18 Retains an inventory of all devices connected to network that touch or store personal or credit card data.

13.19 Has limited, or eliminated, the use of removable data/media storage and any writeable media related to personal or credit card data.

13.20 Has a response plan for a data security breach.

13.21 Employing Point to Point Encryption solutions.

14. Third Party Contractors and Service Level Agreements

Most private parking facilities and services utilize multiple service providers to deliver elements of their services. APOs establish high-quality standards in the selection and retention of their contractors. In some cases, individual contractors may seek IPI accreditation for the services or elements of services they provide.

If a service provider has been independently accredited by IPI based on achievement of basic or advanced best practices, and those practices have been officially and completely adopted and implemented by the facility or service owner (individually or in a group of practices), IPI will award points equivalent to the contractor's achievement. If a facility or service owner has recently changed contractors, the owner must advise IPI of the change and provide a statement and copy of contractual clauses that assure accredited activities will remain in place. If these activities do not remain in place or standards have perceptibly declined, APO status will be revoked.

Objective

APOs engage in a constant process to ensure that contracts and agreements are properly structured and reviewed appropriately, and that both service provider and facility owner are meeting their responsibilities in support of service delivery.

Accreditation Criteria

14.1 The applicant maintains active contracts with external service providers.

14.2   Uses Memorandums of Understanding (MOUs) or Service Level Agreements (SLAs) with internal service providers.

14.3   Contracts/agreements include a defined start and end date, and clear and precise renewal terms.

14.4   Contracts/agreements include a statement of work that clearly defines the work to be performed by contractor/service provider.

14.5   Contracts/agreements incorporate specific performance objectives and a written process of measuring and assessing progress toward goals and objectives.

14.6   Holds periodic performance reviews with third parties and identifies performance deficiencies against performance objectives annually (at a minimum).

14.7   Documents the specific modules of accreditation that third parties deliver on behalf of the applicant.

14.8   Maintains process/policy for amending contracts/agreements, including clear documentation of changes.

Accreditation with Distinction Criteria

An additional point will be awarded to organizations that demonstrate a strong commitment to contracted quality service standards.

14.9   Requires performance guarantees in contracts, MOUs, and/or SLAs.

Content Area II: Site-Visit Assessment

APOs portray an exemplary image to the customer, in keeping with global best practices. This is one of the most important elements of accreditation. As part of the assessment process, a reviewer will visit each applicant site as noted on the application and independently spot- check all field operations and facilities to ensure the following items are in place and functioning, in support of APO standards:

1.1 Approach, internal, and guidance signage is clear, concise, appropriate, and appears to be "fresh" and well-maintained.

1.2 Signage clearly shows posted hours of operation and rates.

1.3 There are no unnecessary, out of date, overly redundant or unprofessional looking signs.

1.4 Compliance and information signs are visible to drivers.

1.5 Reserved or special needs signs are correctly placed for the reserved group or individual serviced.

1.6 Compliance and information signs use international symbols and are in common use.

1.7 Wayfinding, identification and regulatory signage and associated systems are current, clear, concise, and refreshed.

1.8 Signs are designed with highly-contrasting elements (dark background with light graphics or vice versa).

1.9 Deck level guidance information is available.

1.10 Pay by cell signs or labels are present and generously distributed.

1.11 Area is free of dangerous conditions, i.e., materials, activities, construction, refuse.

1.12 Emergency and communications services are clearly marked and functional, all lights and systems functioning.

1.13 All areas accessible to the public are open and visible, and devices are placed so to minimize dark or non-visible areas.

1.14 Sight lines are clear to exits.

1.15 Lights make use of bright, white light.

1.16 Lighting is complete and intact, all lights are active, and there are no dark areas.

1.17 Lighting, fixtures and machine surface fixtures or interfaces are shatter proof and/or protected.

1.18 Entry/Exit plazas, drive aisles, parking bays and drive aisles are evenly illuminated.

1.19 Lighting spill over is mitigated.

1.20 Parking surfaces and pedestrian areas are clean and free of road grit, water, refuse, and non-vehicle items or storage.

1.21 Asphalt and concrete surfaces are free of chips, potholes, cracks or slab heaves and trip edges.

1.22 All curbs and stall demarcations are freshly painted and visible to the parker.

1.23 Parking and pedestrian areas are free from snow/ice/water and other obstructions.

1.24 Sign posts are straight and appropriately placed.

1.25 Landscaped edges, boulevards, grass and gardens are trimmed and weeded.

1.26 Layout and perimeter edge treatments allow easy pedestrian access and egress.

1.27 Overhead railings, pipes, conduits, and other level surfaces are free from dust, dirt, soot, bird droppings, or other substances.

1.28 Concrete spalls or delaminations have been repaired and patched.

1.29 No salt or water stains.

1.30 Membranes intact and complete.

1.31 Expansion joints secure.

1.32 Decks are not leaking.

1.33   Heating or climate control processes, if fitted, are functioning and in place.

1.34   Outside pedestrian doors are glazed (has glass panes or panels for visibility).

1.35   Field test of payment system functions properly.

1.36   Where cash change is available, correct change is returned.

1.37   Machine issues receipts that include the name of the parking vendor, date time limits and fees associated with the purchase.

1.38   Information on what to do if the machine is out of service is clearly communicated.

1.39   All field transactions have credit card or other remote payment capability.

1.40   All field booth facilities are neatly maintained and painted.

1.41   Where a PARCS is used, all machines are operational, tidy and in good order.

1.42   Where a PARCS or metering is used, there are additional machines for redundancy (in case one goes off line).

1.43   Speed control devices, if fitted, are functional and effective.

APO Application

Congratulations on taking the first step to pursue the Accredited Parking Organization (APO) designation. Earning the APO designation assures the public that a parking program meets nationally and internationally endorsed standards for professionalism, accountability, creativity, responsibility, and performance. By undertaking this process, your organization demonstrates its commitment to ongoing evaluation and improvement of program outcomes through the implementation of industry best practices.

Date of Application[1]: _____

Organization/Company Name: _____

IPI Member ☐ yes ☐ no _____ **IPI Member Number:** _____

Type:

☐ Academic (college/university, school)
☐ Airport
☐ Commercial Operations (private operators, shuttle services)
☐ Corporate (building owners, developers, entertainment, resort, retail)
☐ Hospital/Medical or Healthcare Facility
☐ Public (city, economic development, municipality, public works, police, law enforcement)
☐ Transit/Transportation (bus highway, rail)
☐ Other (please specify): _____

This application is for (select one of two choices below).

☐ Parking Organization — A parking organization is an entity that operates, manages, owns or leases parking facilities (defined as: parking lot(s), garage(s), ramps, carparks, etc. and on-street parking spaces).

Example: ABC airport has parking that is close to the airport and also runs multiple airports within the state. IPI Member pricing: Application Fee ($250); Accreditation Fee ($2,500).

OR

☐ Multi-Site Parking Organization — A parking organization may operate, manage, own or lease parking sites that are not in close physical proximity. Despite geographic distance, sites are managed with common policies and procedures by the same parking organization. In this case, they may be included in the same APO application.

Example: ACME University operates, manages, owns or leases parking facilities that are not in close proximity, for instance in separate cities. Member pricing: Application Fee ($250); Accreditation Fee ($2,500, including first three facilities) plus $500 per additional facility.

Please provide a short narrative providing detail on the scope of your organization (i.e. number of facilities, type of facilities, etc.):

_____

_____

_____

---

[1] IPI will confirm receipt of application. On the date that the applicant organization receives confirmation, the one year submission period begins. Applicant must submit full documentation package to IPI within that one year period, or the application process will start anew with a new application and accompanying fee.

Website: _____

Primary Contact Name: _____ **Title:** _____

Mailing Address: _____

Telephone: _____ **Email:** _____

Secondary Contact Name: _____ **Title:** _____
(if applicable)

Mailing Address: _____

Telephone: _____ **Email:** _____

Fees:

Application fees are due at the time of application ($250 IPI member/$750 non-member[1]).

Accreditation fees for the three year accreditation ($2,500 IPI member/$4,500 non-member) are due at the time of submission of complete documentation package.

Please note that payment and completed application must be received before candidate may begin the accreditation process.

Check one:

☐ I have included a check with this application. Check # _____

☐ I have paid for the application fee online at parking.org.

Initial the following:

_____ I have reviewed and understand the requirements and criteria outlined in the APO Manual for Applicants and the APO Matrix. I have conducted an internal self-assessment of my organization, and have determined that I am eligible for Accredited and/or Accredited with Distinction status, and that my organization will be able to provide documentation to support the criteria.

_____ I agree to abide by the Code of Ethics contained in the APO Manual for Applicants.

_____ I understand the application fee is non-refundable.

_____ I understand that the applicant organization will be responsible for the cost to procure Site Review by an IPI-approved Site Reviewer[2], and that this is a required and critical step in the accreditation process [3].

_____ I understand that I will be required to submit a Site Reviewer Potential Conflict of Interest Form when Site Reviewer is selected, which will disclose existing relationships required (vendor/client, former employee/employer, other relationships, etc.)[4].

Signature: _____ **Date:** _____

Printed Name: _____

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[1] Member rates apply to the organization pursuing accreditation, not to the selected Site Reviewer.

[2] IPI recommends that applicants budget $5,000 for reviewer fees, report, travel, and expenses for a two-day on-site meeting and review, but acknowledges that each organization is unique and may require a customized approach.

[3] Accreditation is based on a third-party review and final approval by the APO Board, and IPI is not responsible for the outcome of the accreditation process.

[4] Conflicts of interest that disqualify a site reviewer from performing services include: 1) existing employee of applicant organization or 2) family relationship to employees of applicant organization.

<table>
<tr><td colspan="5" align="center">**ACCREDITED PARKING ORGANIZATION and
ACCREDITED WITH DISTINCTION
MATRIX**</td></tr>
<tr><td colspan="5">**APPLICANT:**</td></tr>
<tr><td colspan="5">**DATE:**</td></tr>
<tr><td colspan="5">**SITE REVIEWER:**</td></tr>
<tr><td colspan="5" align="right">**City of Norman/Cleveland Co. - Appendix 40**</td></tr>
<tr><td colspan="5">**1.0 Governance and Organization**</td></tr>
<tr><td colspan="2">**Accredited Criteria**</td><td>**Possible**</td><td>**Yes/No**</td><td>**EVIDENCE**</td></tr>
<tr><td>1.1</td><td>Provides a copy of official documentation that defines a contract, charter, ordinance, or enabling legislation.</td><td>R</td><td></td><td></td></tr>
<tr><td>1.2</td><td>Provides documentation showing governance hierarchy (Board of Directors/Executive Director roles, responsibilities, terms, and relationships) is current, and policy-making authority, process, record-keeping, and decision-making are transparent.</td><td>R</td><td></td><td></td></tr>
<tr><td>1.3</td><td>Regulations regarding limits or restrictions on the organization's authority to change/amend rates, fines, use of funds, agency jurisdiction, operating rules, etc., are current and well-defined.</td><td>1</td><td></td><td></td></tr>
<tr><td>1.4</td><td>Current operational policies and procedures are documented with amendments and/or revisions.</td><td>1</td><td></td><td></td></tr>
<tr><td>1.5</td><td>Mission and vision statements (or equivalent definitions of purpose) are current and available to the public, and to stakeholders and parent companies or organizations.</td><td>1</td><td></td><td></td></tr>
<tr><td>1.6</td><td>A current organizational chart is available and reflects the program's mission.</td><td>1</td><td></td><td></td></tr>
<tr><td>1.7</td><td>Comprehensive organizational structure is in place that clearly defines relationships between functions, process, and staff assignments.</td><td>1</td><td></td><td></td></tr>
<tr><td>1.8</td><td>Appropriate and accurate position descriptions are current within three years of the accreditation inspection date.</td><td>1</td><td></td><td></td></tr>
<tr><td colspan="2">**TOTAL STANDARD SCORE**</td><td>**6**</td><td>**0**</td><td></td></tr>
<tr><td colspan="2">**Accredited with Distinction Criteria**</td><td>**Possible**</td><td>**Achieved**</td><td>**EVIDENCE**</td></tr>
<tr><td>1.9</td><td>There is an active stakeholder committee, with a documented Terms of Reference, that participates in governance.</td><td>1</td><td></td><td></td></tr>
<tr><td>1.10</td><td>There is a senior leader or Executive Director with professional training in planning and delivery of parking services.</td><td>1</td><td></td><td></td></tr>
<tr><td>1.11</td><td>The senior leader or Executive Director represents the parking organization in public and to the media.</td><td>1</td><td></td><td></td></tr>
<tr><td>1.12</td><td>Retains annual reports or departmental profiles that explain the role and mission of the parking organization.</td><td>1</td><td></td><td></td></tr>
<tr><td>1.13</td><td>Retains past performance documentation.</td><td>1</td><td></td><td></td></tr>
</table>

TOTAL ACCREDITED WITH DISTINCTION SCORE	12	0	

2.0 Planning and Monitoring

Accredited Criteria		Possible	Achieved	EVIDENCE
2.1	Provides current documentation stating short- and long-term goals and identifying measurable objectives and timelines for achievement.	R		
2.2	Provides documentation outlining planning process and procedures that translate daily activities into long-term or strategic planning – minimum two years beyond current fiscal year.	1		
2.3	Planning includes an annual or multi-year budget and financial projection, with periodic tracking and analysis and coordinated with related community or institutional planning entities.	R		
2.4	Maintains a detailed and up-to-date inventory of all parking resources (permits, facilities, parking stalls).	1		
2.5	Conducts parking supply, demand, and utilization studies at regular intervals.	1		
2.6	Uses performance measurements in decision-making and regular benchmarking activities.	1		
TOTAL STANDARD SCORE		**4**	**0**	
Accredited with Distinction Criteria		Possible	Achieved	EVIDENCE
2.7	Demonstrates a solid understanding of the operational use of study results, metrics, and benchmarks.	1		
2.8	Demonstrates a practice of using metrics to explain and illustrate features of the parking program to the public.	1		
2.9	Participates in broader industry benchmarking and measurement studies and initiatives outside of his/her own organization or corporation.	1		
2.10	Planning outlines the schedule and process for key day-to-day operational and administrative activities, including responsible staff, timing/communication, frequency, and documentation to indicate activities are a well-established part of the organization's management process.	1		
TOTAL ACCREDITED WITH DISTINCTION SCORE		**4**	**0**	

3.0 Financial Budgeting and Financial Management

Accredited Criteria		Possible	Achieved	EVIDENCE
3.1	Mission and vision or other guiding statements address financial principles, such as transparency, accountability, and responsibility.	R		
3.2	Produces and maintains an annual budget and projects a future (three or more years) financial planning document.	R		
3.3	Produces a monthly report identifying revenues and expenses as well as variance budget to actual.	1		
3.4	Maintains and regularly reviews organization's capital plan noting project status and associated budget financial status.	1		
3.5	Maintains a calendar of planned and completed audits (revenue control, employee safety, environment, labor control and management, cost management, etc.).	1		
3.6	Audits include all aspects of finance and operations, including cash and financial recordkeeping and management, as well as utilization and inventory control.	1		
3.7	Maintains audit protocol and procedure documents.	1		
3.8	Circulates documentation identifying audit findings or shortcomings to senior management and management reviews recommendations.	1		
3.9	Senior leadership (audit committee, etc.) responds to audit findings and recommendations, decides upon a plan of action and completion timeline, and documents response and plan of action.	1		
3.10	Maintains current SOP for accounts payable/accounts receivable.	1		
TOTAL STANDARD SCORE		**8**	**0**	
Accredited with Distinction Criteria		**Possible**	**Achieved**	**EVIDENCE**
3.11	Reviews budget and performance documentation with authorized stakeholder groups.	1		
3.12	Demonstrates consistent and acceptable financial performance year after year.	1		
3.13	Financial performance meets or exceeds the targets established by the governing authority of the parent corporation.	1		
3.14	Financial management is subject to routine internal audit and process improvement measures.	1		
3.15	Produces a budget year-end financial report and operational summary.	1		
3.16	Achieved a strong bond credit rating from a third-party reviewing agency. (Moody A3, S&P A−, Fitch A−)	1		
3.17	Developed or achieved a level of public/private cooperation, such as a P3 partnership or other community partnership.	1		
TOTAL ACCREDITED WITH DISTINCTION SCORE		**7**	**0**	

4.0 Customer Service

	Accredited Criteria	Possible	Achieved	EVIDENCE
4.1	Commitment to service is identified and detailed in mission and/or vision statements.	R		
4.2	Refers to philosophy of customer service in routine correspondence.	1		
4.3	Refers to philosophy of customer service in long-and short-term planning documents.	1		
4.4	Provides and maintains a proactive customer-service training program for all staff.	R		
4.5	Conducts customer-service training for new staff.	1		
4.6	Offers annual customer-service refresher training for all staff.	1		
4.7	Responds to customer-service feedback.	1		
4.8	Staff are available remotely or in person to assist customers.	1		
4.9	Employs regular customer surveys (one-year interval minimum).	1		
4.10	Demonstrates a variety of customer-service programs.	1		
TOTAL STANDARD SCORE		**8**	**0**	
	Accredited with Distinction Criteria	**Possible**	**Achieved**	**EVIDENCE**
4.11	Provides a variety of parking payment options.	1		
4.12	Provides a variety of parking permits options.	1		
4.13	Provides a variety of options for response to compliance tickets or citations.	1		
4.14	Provides a choice of mode of interaction: telephone, email, text, or in-person.	1		
4.15	Uses social media to enhance customer service.	1		
4.16	Gives credit to the team.	1		
4.17	Offers customer-appreciation days, activities, or events. Conducts contests, special days, and special offers to promote its role and product or relationship to its customers.	1		
4.18	Engages stakeholders to assist in data collection or other tasks.	1		
4.19	Engages stakeholders in the customer service survey and acts upon the results of the survey.	1		
4.20	Uses rapid entrance and exit techniques for special event parking.	1		
TOTAL ACCREDITED WITH DISTINCTION SCORE		**10**	**0**	

5.0 Personnel Education and Development

Accredited Criteria		Possible	Achieved	EVIDENCE
5.1	Provides all staff with an employee handbook or equivalent document(s) identifying roles, tasks, responsibilities, operational policies, and procedures.	R		
5.2	Administers a training program that features a defined structure, outline, schedule, and materials.	1		
5.3	Maintains current job descriptions for each position and files training documentation for regular staff.	R		
5.4	Provides an orientation to facilities, organization, operations and lines of authority, introductions, and review of personnel policies for new staff.	1		
5.5	Provides formal instruction on functional responsibilities and procedures.	1		
5.6	Utilizes trainee assessment/testing to test comprehension of concepts and essential information.	1		
5.7	Directly supervises employees while in training before they begin performing duties independently.	1		
5.8	Uses follow-up training to address identified weaknesses and documents eventual competency.	1		
5.9	Maintains process for annual evaluations and professional development of staff.	1		
5.10	Utilizes evaluation criteria that are relevant to the functions and responsibilities of the employee, with an opportunity for written and verbal feedback.	1		
5.11	Provides employees the opportunity for documented input into evaluation.	1		
TOTAL STANDARD SCORE		**9**	**0**	
Accredited with Distinction Criteria		**Possible**	**Achieved**	**EVIDENCE**
5.12	In the case that an employee reports to multiple supervisors, provides opportunity for input from each supervisor.	1		
5.13	Provides a range of other training programs for the benefit of employee or organization.	1		
5.14	Senior manager holds a current CAPP designation.	1		
5.15	Middle management team participates in professional develoopment and/or CAPP point courses	1		
5.16	Provides all staff with ongoing professional development on a two year cycle, to include courses, external resources (i.e., membership/trade organizations), and/or industry-specific continuing education opportunities.	1		
TOTAL ACCREDITED WITH DISTINCTION SCORE		**5**	**0**	

6.0 Access and Revenue Control

Accredited Criteria		Possible	Achieved	EVIDENCE
6.1	Maintains effective access and revenue control plan for all facilities and services.	R		
6.2	Provides appropriate control methodologies (PARCs, timed parking, meters, etc.).	1		
6.3	Provides a current SOP that includes access and revenue-control requirements.	1		
6.4	Provides a systematic and documented process for obtaining and evaluating collection data.	1		
6.5	Equipment used to control facilities provides sufficient documentation for revenue generated.	1		
6.6	Incorporates reporting features into accounting reconciliation and reporting processes that include both transactions and revenue.	1		
6.7	Maintains a standard counting and reconciliation practice.	1		
6.8	Conducts periodic unannounced or opportunity counts or audits.	1		
6.9	Demonstrates that employees responsible for revenue management are trained in relevant policies, procedures, and audit processes.	1		
6.10	Provides a write-off policy/procedure.	1		
6.11	Maintains copies of bank transaction reports on at least a weekly basis that includes all forms of payment.	1		
6.12	Requires supervisory sign-off on void transactions and reconciliation documentation.	1		
6.13	Provides a process to resolve financial discrepancies.	1		
6.14	Provides a current letter, contract, or agreement between the applicant and any special event clients.	1		
6.15	Provides an automated process for reserving and/or vending parking space for events.	1		
6.16	Has the ability to issue a receipt to customers during special-event parking operation.	1		
6.17	Captures utilization reporting and routinely debriefs management and staff on the outcome of each event.	1		
6.18	Vault or counting room is monitored and access control is maintained.	1		
6.19	Properly limits and controls access to bulk permit or card stock.	1		
6.20	Documents custody of unissued permits and access cards.	1		
6.21	Inventories and counts meter canisters.	1		
6.22	Procedures and/or report slips show cashier stations are subtotaled and cash counted periodically during each shift.	1		
TOTAL STANDARD SCORE		21	0	

Accredited with Distinction Criteria		Possible	Achieved	EVIDENCE
6.23	Monitors gate equipment and cashier positions controlling revenue areas with cameras.	1		
6.24	Audit process includes periodic review of statistical patterns related to equipment activity, cashiering functions, and field revenue collections.	1		
6.25	Provides a copy of most recent third-party audit (external or internal).	1		
TOTAL ACCREDITED WITH DISTINCTION SCORE		**3**	**0**	

7.0 Asset Maintenance

	Accredited Criteria	Possible	Achieved	EVIDENCE
7.1	Demonstrates that regular onsite inspections are an integral part of facility maintenance quarterly (at a minimum).	R		
7.2	Tests emergency systems quarterly (at a minimum).	1		
7.3	Maintains a maintenance program that includes inventory of maintenance items.	1		
7.4	Maintains copies of current maintenance agreements with third parties.	1		
7.5	Maintains a capital renewal plan.	1		
7.6	Budgets for maintenance reserves or funds set aside for parking facilities and services replacement and upgrade.	1		
7.7	Performs condition assessments by a qualified structural engineer, who conducts a walk-through inspection (annually).	R		
7.8	Performs condition assessments by a qualified structural engineer who conducts a full condition assessment including all disciplines (once every three years at a minimum).	1		
7.9	Provides a reconciliation report and schedule of repair completion for items identified in the condition appraisal.	1		
TOTAL STANDARD SCORE		**7**	**0**	
	Accredited with Distinction Criteria	**Possible**	**Achieved**	**EVIDENCE**
7.10	Maintains a maintenance program in accordance with Parking Consultants Council or equivalent guidelines, including a formal work order and tracking process.	1		
7.11	Posts maintenance, ownership, and contact information and hours of operation.	1		
7.12	Regulations and restrictions are posted and explained at customer-service locations.	1		
7.13	Replaces lighting ballasts and illuminators on a regular basis.	1		
7.14	Encourages customers to report security breaches or risks, and follows up with recorded action.	1		
7.15	Conducts routine physical security audits.	1		
7.16	Offers car wash, concierge, laundry, vehicle repair, or other value-added services.	1		
TOTAL ACCREDITED WITH DISTINCTION SCORE		**7**	**0**	

8.0 Regulations, Enforcement, Adjudication and Collections

Accredited Criteria		Possible	Achieved	EVIDENCE
8.1	Documents current compliance goals designed to encourage voluntary compliance.	R		
8.2	Regulations and processes related to enforcement and appeals are transparent and available to the public.	R		
8.3	Uses data to allocate resources and improve effectiveness (voluntary compliance).	1		
8.4	Conducts periodic review of patrol zones and activities monthly (at a minimum).	1		
8.5	Reviews officer performance and productivity monthly.	1		
8.6	Utilizes positive customer-service techniques to encourage compliance.	1		
8.7	Conducts daily shift briefings or other daily communication/updates.	1		
8.8	Details role of enforcement and compliance in training materials.	1		
8.9	Uses technology to monitor patrol routes and officer activities.	1		
8.10	Uses digital images to document and improve the accuracy of the enforcement process.	1		
8.11	Officers are identifiable and uniformed.	1		
8.12	Utilizes hand-held computer, license plate recognition, or equivalent systems that tie regulation, customer performance, and administrative service delivery together in a comprehensive way.	1		
8.13	Offers a transparent and publicly available appeals program.	1		
8.14	Offers appellants access to a multi-level review process.	1		
8.15	Considers the views of adjudicators when regulations are designed.	1		
8.16	Demonstrates that citations written in error represent fewer than 2 percent of all citations.	1		
8.17	Uses a fine collection process.	1		
8.18	The fine collection process collects 80 percent or more of fines.	1		
8.19	Maintains a boot/tow policy.	1		
8.20	Trains officer/third-party providers in the boot/tow process in customer service and conflict resolution.	1		
8.21	Provides 24-hour service at impound facility and vehicle storage areas.	1		
TOTAL STANDARD SCORE		**19**	**0**	

Accredited with Distinction Criteria		Possible	Achieved	EVIDENCE
8.22	Demonstrates an advanced degree of care for the customer during the enforcement, adjudication, and collection process.	1		
8.23	Enforcement staff works with customer service staff to ensure that service issues are dealt with in the office environment rather than in the public eye.	1		
8.24	Uses principles of parking supply/demand measurement, capture, and patrol frequency to optimize the enforcement process.	1		
8.25	Works proactively with the court system to ensure that regulations are being documented and processed in an acceptable manner and that new practices and procedures will be supported by the adjudication process.	1		
8.26	Utilizes customer-performance data to determine appropriate corrective action.	1		
8.27	Provides appellants access to an objective third-party (court of law, adjudication committee, etc.).	1		
8.28	Adopted parking ambassador program or approach.	1		
TOTAL ACCREDITED WITH DISTINCTION SCORE		7	0	

9.0 Safety, Security and Risk Management

Accredited Criteria		Possible	Achieved	EVIDENCE
9.1	Outlines safety and security philosophy in organization objectives and values.	R		
9.2	Documents effective workplace safety and risk management practices.	1		
9.3	Maintains SOPs or manuals and conducts testing, drills, and emergency communication procedures (i.e., 911, police, fire, administration, supervision.)	R		
9.4	Conducts periodic inspection of facility infrastructure and maintains documentation of inspections.	1		
9.5	Incorporates passive and active security measures in facility design and operation.	1		
9.6	Responds to public safety inquiries.	1		
9.7	Security staff are identifiable and uniformed.	1		
9.8	Trains security staff to respond to public safety and security issues.	1		
9.9	Documents point load limit for parking structures.	1		
TOTAL STANDARD SCORE		**7**	**0**	
Accredited with Distinction Criteria		Possible	Achieved	EVIDENCE
9.10	Participates in community safety and security organizations.	1		
9.11	Utilizes customer surveys in assessing security and safety measures.	1		
9.12	Develops safety-oriented partnerships with stakeholder and other interested groups.	1		
9.13	Provides onsite security staff or equivalent personnel.	1		
TOTAL ACCREDITED WITH DISTINCTION SCORE		**4**	**0**	

10.0 Sustainability

Accredited Criteria		Possible	Achieved	EVIDENCE
10.1	Demonstrates a strategic commitment to environmental sustainability.	R		
10.2	Demonstrates implementation of sustainable practices that showcase a direct reduction in energy or resource use.	R		
10.3	Provides incentives to promote use of low-emitting and fuel-efficient or alternative-fuel vehicles.	1		
10.4	Demonstrates use of alternative-fuel fleet vehicles.	1		
10.5	Provides payment system in parking facilities to reduce idling upon exiting.	1		
10.6	Recycles or repurposes materials and equipment (recycling paper, reusing signs).	1		
10.7	Uses energy-efficient lighting systems and/or controls in parking facilities.	1		
10.8	Uses energy-efficient, environmentally favorable heating ventilation and air conditioning (HVAC) systems and/or controls in facilities requiring ventilation or facilities designed without mechanical ventilation.	1		
10.9	Uses halon-free fire-suppression systems.	1		
10.10	Demonstrates planning for continued sustainability gains.	1		
TOTAL STANDARD SCORE		**8**	**0**	
Accredited with Distinction Criteria		Possible	Achieved	EVIDENCE
10.11	Achieved Green Garage Certification, LEED Certification, Green Globes rating, or equivalent certification for at least one parking facility.	1		
10.12	Posts policies regarding sustainability in prominent public space.	1		
10.13	Manager(s) directly responsible for day-to-day parking operations has earned and maintained a qualified environmental sustainability credential.	1		
10.14	Implemented external wayfinding system to reduce time spent searching for a parking space.	1		
10.15	Implemented internal wayfinding system within parking facility or facilities to reduce time drivers spend locating a space.	1		
10.16	Installed and maintains electric vehicle charging stations.	1		
10.17	Provides tire inflation stations or mobile tire inflation services.	1		
10.18	Implemented water-reduction technologies/strategies.	1		
10.19	Roofing system designed to reduce heat-island effect and/or provide stormwater mitigation.	1		
10.20	Generates renewable energy on site, and/or purchases renewable energy credits.	1		
10.21	Provides proactive parking facility maintenance plan.	1		
10.22	Uses permeable materials in at least in one surface parking facility.	1		

TOTAL ACCREDITED WITH DISTINCTION SCORE	12	0	
11.0 Access Management			
Accredited Criteria	Possible	Achieved	EVIDENCE
11.1 Demonstrates a commitment to reducing or distributing travel demand.	R		
11.2 Charges for parking to impact transportation choice.	1		
11.3 Provides for, or supports, the use of bicycles.	1		
11.4 Provides for or supports the use of carpooling or vanpooling.	1		
11.5 Uses parking guidance, traffic management, or parking reservation systems.	1		
11.6 Provides for, or supports, car share programs or services.	1		
11.7 Provides for, or support, bicycle share programs or services.	1		
11.8 Parking facilities are located at least .25 miles from mass transit services.	1		
TOTAL STANDARD SCORE	7	0	
Accredited with Distinction Criteria	Possible	Achieved	
11.9 Participates in a Transportation Management Agency or similar organization aimed at reducing congestion and travel demand.	1		
11.10 Provides for, or supports, guaranteed ride home programs and services.	1		
11.11 Provides for, or supports, ride matching services.	1		
11.12 Provides for, or supports, transit, universal bus pass, or shuttle services.	1		
11.13 Provides short-term, occasional parking options for flexible commuting.	1		
11.14 Parking facilities are part of or proximate to transit-oriented developments.	1		
TOTAL ACCREDITED WITH DISTINCTION SCORE	6	0	

12.0 Marketing and Communications

Accredited Criteria		Possible	Achieved	EVIDENCE
12.1	Develops and maintains a communications and marketing plan that supports the program's larger strategic goals.	R		
12.2	Strategic planning documents specifically focus on communications and marketing that are reviewed annually and current.	1		
12.3	Annual budget includes dedicated funding for communication and marketing activities.	R		
12.4	Provides opportunities for customer feedback (at least quarterly) and responds to feedback.	1		
12.5	Media relations protocols include a specific list of approved media spokespeople and chain-of-command for approving and reviewing information that is released to the media.	1		
12.6	Employs a current media list that includes key media organizations and contact information for key staff.	1		
12.7	Uses a press/news release template.	1		
12.8	Crisis/emergency situation protocols, including a specific list of key contacts, clearly defined chain-of-command and areas of responsibility, are in place.	1		
12.9	Maintains expedited method of communication specifically for crisis/emergency situations.	1		
12.10	Maintains policies and/or procedures for addressing annual, seasonal, campaign-based, and event-specific communications functions in a timely manner (i.e., special events, construction, service disruption, routine maintenance).	1		
12.11	Branding includes a logo or distinct visual marker that is consistent across media.	1		
12.12	Website includes 1) map of facilities, pricing, payment options, 2) contact email, phone number, hours of operation; 3) instructions for after-hours emergencies; 4) how to pay and/or appeal a citation; 5) information on monthly parking, if applicable; 6) ADA information.	1		
TOTAL STANDARD SCORE		**10**	**0**	

Accredited with Distinction Criteria		Possible	Achieved	EVIDENCE
12.14	Shares best practices in marketing and communications with parking industry colleagues.	1		
12.15	Conducts information sessions for the public and can demonstrate how feedback is incorporated into operational efforts.	1		
12.16	Posts up-to-date information on programs and practices in public places and online.	1		
12.17	Participates in public events, public-education sessions, lunch-and-learn sessions, or other awareness- and confidence-building activities.	1		
12.18	Utilizes new communication technologies (YouTube, social media, blogs, etc.) to reinforce its message to the public.	1		
12.19	Uses resources to support community quality-of-life programs.	1		
TOTAL ACCREDITED WITH DISTINCTION SCORE		**6**	**0**	

13.0 Data Management and Security

Accredited Criteria		Possible	Achieved	EVIDENCE
13.1	Has a policy for protecting sensitive data and retaining or destroying secure data.	R		
13.2	Provides a policy that outlines the type of Personally Idenitifable Information (PII) used/collected, individual responsibilities, how sensitive data is processed when expired, and references appropriate laws.	1		
13.3	Provides a policy that defines how access to systems is managed and controlled.	1		
13.4	Contractually requires all vendors to follow the applicant's data and IT security policies.	1		
13.5	Maintains inventory of all IT assets and data assets and where they are located.	1		
13.6	For organizations accepting payment cards: Submits to Payment Card Industry (PCI) certification or self-certifications, and ensures timely security scans; any issues are documented and resolved in a timely manner.	1		
13.7	Employing Tokenization for web based transactions.	1		
13.8	Reviews existing systems to ensure that necessary patches and updates (operating systems, applications, etc.) are performed and implemented in a timely manner.	1		
13.9	Uses firewalls, gateway antivirus, intrusion-detection devices, and other forms of dynamic monitoring to screen for vulnerabilities.	1		
13.10	All equipment and services purchased are certified as PCI-DSS- or PA-DSS-compliant.	R		
13.11	Vulnerability scans should be performed and reviewed monthly (at a minimum).	1		
13.12	Encrypts all sensitive personal information and credit card data.	1		
TOTAL STANDARD SCORE		10	0	

Accredited with Distinction Criteria		Possible	Achieved	EVIDENCE
13.13	Conducts a quarterly review of users and their permissions.	1		
13.14	Vulnerability scan should be performed and reviewed weekly (at a minimum).	1		
13.15	Servers are in locked cabinets or secure locations and firewalls are actively managed with consistent monitoring for intrusion (PCI requirement).	1		
13.16	Purges non-essential data in accordance with the data-retention policy.	1		
13.17	Ensures that all employees complete annual data security, PII, or PCI recurring training.	1		
13.18	Retains an inventory of all devices connected to network that touch or store personal or credit card data.	1		
13.19	Has limited, or eliminated, the use of removable data/media storage and any writeable media related to personal or credit card data.	1		
13.20	Has a response plan for a data security breach.	1		
13.21	Employing Point to Point Encryption solutions.	1		
TOTAL STANDARD SCORE		**9**	**0**	

14.0 Third-Party Contractors and Service Level Agreements

Accredited Criteria		Possible	Achieved	EVIDENCE
14.1	Maintains active contracts with external service providers.	R		
14.2	Uses Memorandums of Understanding (MOUs) or (Service Level Agreements (SLAs) with internal service providers.	1		
14.3	Contracts/agreements include a defined start and end date, and clear and precise renewal terms.	1		
14.4	Contracts/agreements include a statement of work that clearly defines the work to be performed by contractor/service provider.	1		
14.5	Contracts/agreements incorporate specific performance objectives and a written process of measuring and assessing progress toward goals and objectives.	1		
14.6	Holds periodic performance reviews with third parties and identifies performance deficiencies against performance objectives annually (at a minimum).	1		
14.7	Documents the specific modules of accreditation that third parties deliver on behalf of the applicant.	1		
14.8	Maintains process/policy for amending contracts/agreements, including clear documentation of changes.	1		
TOTAL STANDARD SCORE		7	0	
Accredited with Distinction Criteria		Possible	Achieved	EVIDENCE
14.9	Requires performance guarantees in contracts, MOUs, and/or SLAs.	1		
TOTAL ACCREDITED WITH DISTINCTION SCORE		1	0	

SUMMARY - REQUIRED		Possible	Achieved	
1.0	Governance and Organization	2		
2.0	Planning & Monitoring	2		
3.0	Financial Budgeting and Financial Management	2		
4.0	Customer Service	2		
5.0	Personnel Education & Development	2		
6.0	Access & Revenue Control	1		
7.0	Asset Maintenance	2		
8.0	Regulations, Enforcement, Adjudication, and Collections	2		
9.0	Safety, Security, and Risk Management	2		
10.0	Sustainability	2		
11.0	Access Management	1		
12.0	Marketing and Communications	2		
13.0	Data Management and Security	2		
14.0	Third-Party Contractors and Service-Level Agreements	1		
	TOTAL *REQUIRED*	25		
	100% THRESHOLD FOR AWARD OF ACCREDITED PARKING ORGANIZATION	25	0	

SUMMARY - GENERAL		Possible	Achieved	
1.0	Governance and Organization	6	0	
2.0	Planning & Monitoring	4	0	
3.0	Financial Budgeting and Financial Management	8	0	
4.0	Customer Service	8	0	
5.0	Personnel Education & Development	9	0	
6.0	Access & Revenue Control	21	0	
7.0	Asset Maintenance	7	0	
8.0	Regulations, Enforcement, Adjudication, and Collections	19	0	
9.0	Safety, Security, and Risk Management	7	0	
10.0	Sustainability	8	0	
11.0	Access Management	7	0	
12.0	Marketing and Communications	10	0	
13.0	Data Management and Security	10	0	
14.0	Third-Party Contractors and Service-Level Agreements	7	0	
	TOTAL *GENERAL*	131	0	
	80% THRESHOLD FOR AWARDING ACCREDITED PARKING ORGANIZATION	105	0	

II	Site Visit Field Assessment Checklist	43		
	80% THRESHOLD FOR AWARDING ACCREDITED PARKING ORGANIZATION	34	0	
Part I				
	REQUIRED	25	0	
	GENERAL	105	0	
	TOTAL FOR PART I	130	0	
Part II				
	GENERAL	34	0	
	TOTAL FOR PART II	34	0	
	ACCREDITATION GRAND TOTAL	164	0	
SUMMARY - ACCREDITED WITH DISTINCTION				
1.0	Governance and Organization	12	0	
2.0	Planning & Monitoring	4	0	
3.0	Financial Budgeting and Financial Management	7	0	
4.0	Customer Service	10	0	
5.0	Personnel Education & Development	5	0	
6.0	Access & Revenue Control	3	0	
7.0	Asset Maintenance	7	0	
8.0	Regulations, Enforcement, Adjudication, and Collections	7	0	
9.0	Safety, Security, and Risk Management	4	0	
10.0	Sustainability	12	0	
11.0	Access Management	6	0	
12.0	Marketing and Communications	6	0	
13.0	Data Management and Security	9	0	
14.0	Third-Party Contractors and Service-Level Agreements	1	0	
	TOTAL *ACCREDITED WITH DISTINCTION*	93	0	
	80% THRESHOLD FOR AWARDING ACCREDITED WITH DISTINCTION PARKING ORGANIZATION	74	0	
	ACCREDITATION WITH DISTINCTION GRAND TOTAL	74	0	

Appendix 19

IPI Emergency Preparedness Manual

An often-overlooked element of parking system management is the development of an Emergency Preparedness Manual.

IPI recently published an excellent template for such a manual. Appendix 19 provides a copy for the City's team to review and use as a guide for developing a manual customized to their needs.

IPI INTERNATIONAL PARKING INSTITUTE™

EMERGENCY PREPAREDNESS MANUAL
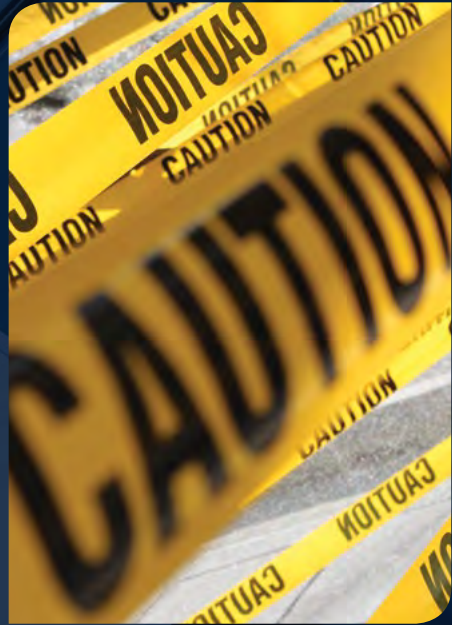
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PREFACE

Photo: Elvert Barnes Photography

Parking and transportation professionals go to work every day knowing in any given moment an emergency could turn things upside-down.

A vehicle fire could require rapid evacuation of an underground parking garage. Mother Nature could decide to throw an earthquake, tornado, flash flood, or other unexpected natural event near a facility. Then, there are the emergencies we usually get a little warning about — hurricanes, tornadoes, and blizzards.

We all live with heightened awareness that a terrorist could wreak havoc without warning. Images from such attacks are indelibly marked into our collective memory: from Oklahoma City to the Boston Marathon in 2013.

As parking and transportation professionals charged with the safety and welfare of our customers and stakeholders, we have only one responsible choice: prepare and plan.

This Emergency Preparedness Manual is a great example of how IPI's committees work to anticipate members' needs. The IPI Safety & Security Committee created a parking and transportation-specific reference tool that will directly benefit you in your operations.

There's no question we in parking touch lives: those of our employees, our parking customers, our transportation system users, and many others. Parking and mobility management play an important role in every community, and our professionals stand front and center when emergencies arise.

Let's make sure we do the best we can to be prepared. And on behalf of IPI, my thanks to the Safety & Security Committee for its valuable work toward that goal.

Shawn Conrad

Shawn Conrad, CAE
IPI Executive Director

INTRO LETTERS

The need for a solid emergency plan did not hit home for me until a day that changed my life and the lives of many other Americans: the tragedy of Sept. 11, 2001. I had been in the parking profession for about eight years at the time and didn't realize the effect an emergency situation could have on a city/airport/university until then.

On Sept. 11, 2001, I was general manager for the parking contract at Newark International Airport. My client was the Port Authority of New York and New Jersey. I attended regular meetings at 1 World Trade Center — known then as the North Tower, the first building hit by the hijackers, at 8:46 a.m. Eastern time. The South Tower was hit at 9:03 a.m. and burned until it collapsed at 9:59 a.m. The North Tower was in flames until 10:26 a.m. — 102 minutes. Then it collapsed.

Ironically, the North Tower's collapse severely damaged World Trade Center Building 7, one of whose tenants was the New York City Office of Emergency Management. Imagine living through the onset of the world's largest human disaster and not having the technical infrastructure required to coordinate rescue and recovery efforts.

When events unfolded in Lower Manhattan, we experienced major disruptions at Newark International. After the planes hit the towers, reports came in about bombs set to explode in one of Newark's terminals. The terminals were evacuated. People fled to their parked cars and scrambled to leave, but the exit plaza was clogged with vehicles queued well back into the parking lots. In the interest of public safety, we opened the gates and allowed everyone to exit without charge. (Port Authority staff was tied up with immediate events but later concurred with our decision.) At 9:40 a.m., the Federal Aviation Administration grounded all U.S. aircraft, which precipitated another mass exodus of passengers, many of whom were in a state of panic and shock.

Rumors spread like wildfire that morning. No one knew what was truth and what were rumors surrounding the attacks or the events unfolding at Newark. One rumor claimed that flights were grounded because there were bombs on additional planes at Newark International. Indeed, many assumed that the massive fireballs generated during the crashes into the Twin Towers came from explosives on those aircraft. This fed the rumors of other planes with bombs.

Two memories from that day will stay with me forever: first, the crystal-clear blue sky and the smoke rising from the towers to the east. Second, the eerie silence of no planes taking off and landing as the day wore on.

Bruce Barclay, CAPP, *Operations Manager, Salt Lake City Department of Airports*

Photo: Penn State

Photo: Michael B.

As I wrote in the opening paragraphs of my doctoral dissertation (*Disaster Preparedness For University/Community Transit Systems, Clemson University, May 2011*), public transportation, along with parking assets and their open access, creates an opportunity for masses of people to be hurt during human-made or natural disasters.

My doctoral research focused on two questions:

1. How are universities/communities planning on using and protecting transit systems in a disaster event?

2. How are universities/communities planning on using and protecting transit assets in a disaster event?

My hypothesis at the outset of that research was that university/community transit systems do have appropriately prepared emergency operating plans. The research I conducted, however, did not support my hypothesis.

During my dissertation research, my analysis of survey results showed that university/community transit systems do not comply with the National Incident Management System (NIMS) and do not have appropriately prepared emergency operating plans. All institutions of higher education, other post-secondary educational institutions, transit and parking organizations, as well as private/public and non-governmental/governmental organizations, should develop comprehensive and holistic emergency operations.

Public and private transportation assets have been designated as a part of the nation's critical infrastructure and key resources (CIKR), which includes university and community transit systems owned by or used to provide transit services to post- secondary

institutions of higher education. The transit industry's lack of involvement with emergency management agencies and the lack of disaster/emergency experience within the transportation community have caused some of the nation's most knowledgeable and useful resources for information regarding the use of transportation resources for emergency conditions to be underutilized (Wolshon 2009).

Additionally, Directive 8 of the Homeland Security Act of 2002 (6 U.S.C. 101) mandates the use of NIMS for all local, state, or federal agencies receiving federal funding, while the Federal Transit Administration (FTA) only provides recommendations in the form of a technical resource for its grantee transit agencies. This FTA assistance may also be used by non-federally funded transit systems.

This manual includes an overview of NIMS and provides references so readers can avail themselves of further information resources provided by the U.S. Department of Homeland Security and others.

As I concluded from my research, the following key issues need to be kept in mind when developing or revising a university/community transit system emergency operating plan:

1. Senior management of all participating organizations must not only be committed to the effort but also dedicate the needed resources, including funding.

2. Those involved with the implementation of the plan, including the transit system's director or designee, must be part of the planning process.

3. The plan must incorporate the university/community transit system(s).

4. Training in various forms (tabletop exercises, drills, etc.) needs to be part of the plan.

5. A comprehensive assessment process must be included as an essential part of the plan.

This emergency preparedness manual includes as one of its appendices an outline (i.e., the table of contents) of the emergency operations plan I drafted as part of my dissertation. I hope it serves as a useful guide to the many elements such a plan may contain as you explore an appropriate emergency planning process for your institutions of higher education, other post-secondary educational institutions, transit and parking organizations, as well as private/public and non-governmental/governmental organizations.

Geary L. Robinson, PhD, CAPP, *Director, Parking & Transportation Services, University of North Texas*

INTRODUCTION

Who Needs this Manual?

The U.S. Department of Homeland Security (DHS) and Federal Emergency Management Agency (FEMA) define preparedness as "a continuous cycle of planning, organizing, training, equipping, exercising, evaluating, and taking corrective action in an effort to ensure effective coordination during incident response. This cycle is one element of a broader National Preparedness System to prevent, respond to, and recover from natural disasters, acts of terrorism, and other disasters." (Source: dhs.gov/topic/plan-and-prepare-disasters)

FEMA released its National Preparedness Goal in September 2011 to define what it means for the whole community to be prepared for all types of disasters and emergencies.

The National Preparedness Goal (included in the appendix of this manual) identified five mission areas and 31 core capabilities, defined as the distinct critical elements needed to achieve the goal.

This manual was developed as a hands-on preparedness tool for parking and transportation professionals. Regardless of your title or experience level, you have organizational and individual responsibilities to fulfill during an emergency.

Organizationally, professionals own specific functions and tasks during an emergency event. A department director will need to do x, y, and z, while a shuttle bus driver will attend to a, b, and c. Job-specific tasks ensure that the entire parking and transportation operation functions appropriately and effectively in an emergency.

Individually, emergency situations require quick action. For example, the first person on-scene at a garage fire needs to know what to do — and then do it — when someone stumbles out of the smoke and collapses.

Being prepared for an emergency requires having the knowledge, skills, policies, and procedures in place to not only fulfill departmental roles but also function professionally and sensibly in unexpected scenarios.

The parking industry is ever-changing and subject to ongoing changes (e.g., building relocations, new construction, etc.), it is recommended that you reevaluate your plan on an annual or regular basis with those who are directly involved or affected.

IPI adopted a broad approach in developing this manual. This is a tool intended to emphasize practical and actionable steps, rather than theory. Moreover, IPI recognizes that planning specifics will vary depending on the differing environments and roles of parking and transportation departments. Responses to emergencies affecting freestanding garages, for example, will vary from responses to emergencies affecting underground garages.

An emergency preparedness plan should be part of an institution's larger safety and security plan. This manual is best used as a resource for making your own plan. It might also spark other conversations about overall safety, security, and continuity of operations..

Here are 10 suggestions for making the most of this manual:

1. Review it thoroughly, considering your operation.
2. Identify the elements that apply to your operation.
3. Share those elements with your colleagues and your organization's Emergency Management Team.
4. Compare the sector-specific sample plan with the roles and people in your own operation.
5. Establish a schedule to develop your own plan.
6. Arrange for your team to own specific preparedness planning tasks.
7. Involve other internal and external stakeholders in the plan's development and review.
8. Implement the plan.
9. Practice the plan and evaluate practice sessions after they occur.
10. Update the plan annually.

Your Feedback Requested

This is the first emergency preparedness manual published by IPI. While the manual's content is intended to be as "evergreen" as possible, your comments to IPI's Safety & Security Committee will help inform any future updates. For more information about the committee, visit parking.org/about-ipi/committees/ipi-safety-and-security-committee.aspx.

Learning about the National Incident Management System (NIMS)

As you begin to think about emergency preparedness planning for your parking and transportation operation, the IPI Safety & Security Committee recommends becoming familiar with the National Incident Management System (NIMS).

Created by DHS and FEMA, NIMS is, in FEMA's words, "a comprehensive, national approach to incident management. NIMS provides the template for incident management, regardless of cause, size, location, or complexity. NIMS is applicable at all jurisdictional levels and across functional disciplines."

According to FEMA, the benefits of NIMS include:

- Standardized approach to incident management that is scalable and flexible.
- Enhanced cooperation and interoperability among responders.
- Comprehensive all-hazards preparedness.
- Efficient resource coordination among jurisdictions or organizations.
- Reflects best practices and lessons learned.

NIMS focuses on five key components:

- Preparedness.
- Communications and information management.
- Resource management.
- Command and management.
- Ongoing management and maintenance.

The NIMS Resource Center (fema.gov/national-incident-management-system) offers online resources to implement and maintain NIMS concepts and principles. Coordinating with other NIMS stakeholders is imperative for proper preparedness. A parking and transportation department at a university, for example, will need to coordinate with campus security or its police department and the emergency management team, as well as specific administrators who have public safety and public communication responsibilities, along with off-campus stakeholders such as fire/EMS and transit. A municipal parking department would need to coordinate with police, fire/EMS, transit, and likely the municipality's public information officer at a minimum.

Each region handles emergency operations and incident management in its own way, in coordination with state and federal stakeholders, depending on the nature and scope of the emergency. Your parking and transportation operation might also factor into those plans, depending on the scenario.

At the heart of NIMS is communication and adaptability. If you haven't already, you will need to assert your voice, provide your expertise, and candidly discuss your available assets and level of readiness with NIMS stakeholders — preferably before any emergency scenario arises.

Parking Facility Roles during Emergencies

While parking facilities can be the focus of specific emergencies, lots and garages can also serve as vital assets and resources for first responders and others:

Staging Area

An open parking lot can be a critical asset for firefighters, police, and/or National Guard units while responding to a large event that requires staging of personnel, materials, and vehicles. Knowing and communicating the availability of and access to parking areas during different times of the day or night can help on-site incident commanders make quick decisions about storing and deploying resources.

Temporary Shelter

A parking garage can serve as an effective temporary shelter in the event of certain forms of inclement weather. A basement garage could prove to be a lifesaver during a tornado or violent wind event. Certain floors of an above-ground garage could provide refuge during a severe thunderstorm, hail storm, or flash flood. Law enforcement officials may decide that a garage is a suitable impromptu holding area to isolate the public from an active shooter situation or other public safety hazard in which quick access to cover could save lives and prevent injury.

Anticipating and planning for the potential use of parking areas as temporary shelter will position your operation to better serve the public and first responders.

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EMERGENCY PREPAREDNESS PLAN ELEMENTS

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Identifying Applicable Vulnerabilities and Scenarios

One of the first steps in preparing your plan will be identifying the likely — and even not-so-likely — events that could affect your parking operation, either directly or indirectly. What threats do you face? What threats do your institution, your community, your region, and your state face? While your planning will focus primarily on your own operation, that operation exists in a larger context, and it's important to consider how you might figure into someone else's larger plan.

The main task of your plan is answering this question: What must be done, when, and by whom, if this particular event occurs?

Natural Risks

Examples of natural risks include (but are not limited to):

- Earthquake
- Extreme cold weather
- Fire
- Flood
- Lightning
- Mudslide
- Sinkhole
- Snow/ice
- Solar flares/electrical disruption
- Tornado
- Tsunami/storm surge
- Wind

Photo: /dave/null

Man-made Risks

Examples of man-made risks include (but are not limited to):

- Active shooter
- Biological attack
- Bomb threats/explosions
- Broken pipe (water, gas, fuel, oil, etc.)
- Building condemnation/collapse
- Chemical attack
- Combustible gas leak
- Computer virus/DDoS attack
- Crowd stampede
- Employee actions (labor strikes, etc.)
- Environmental failure (frozen pipes, HVAC issues, etc.)
- External accidents (plane crash, train derailment, etc.)
- External actions (civil unrest, terrorism)
- Fire
- Hazardous material spills
- Hijacking
- Internal accidents
- Nuclear material/facility accident
- Nuclear device/bomb attack
- Plane crash
- Sabotage/vandalism
- Security breach evacuation
- Service failure (electrical, phones, Internet)
- Theft/fraud/embezzlement

Other Risks

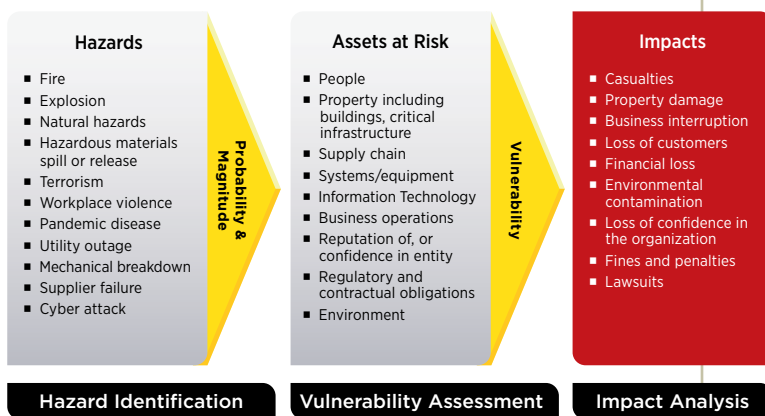Other risks that necessitate preparation include:

- Cell signal blocking by law enforcement during incident
- Denial of access
- Disease/epidemic/pandemic
- Equipment failure
- Governmental shutdowns/policy changes
- Loss of critical staff
- Loss of lease/agreement/contract
- Other nearby facilities issues
- Power failure
- Power surge
- Transportation disruption

Identifying Critical Operational Functions, Systems and Supplies

An emergency forces us to prioritize. A "must" on an ordinary day can suddenly become optional in an emergency.

You can save your entire operation time and heartburn by identifying the critical functions, systems, and supplies that will likely be affected in an emergency. This is very much a team exercise; no single individual can think of everything, and no single individual can anticipate how every aspect of an operation might be affected.

A useful first step in this process can be creating a spreadsheet of all key elements of your operation. Consider using a budget as an accurate guide. Once that's been created, referencing the applicable vulnerabilities and risk scenarios discussed above, assess the degree (e.g., high, medium, low; or use a quantitative 1–10 scale) to which each element would be affected by each risk. The illustration below offers a model[1].

Hazards	Assets at Risk	Impacts
■ Fire ■ Explosion ■ Natural hazards ■ Hazardous materials spill or release ■ Terrorism ■ Workplace violence ■ Pandemic disease ■ Utility outage ■ Mechanical breakdown ■ Supplier failure ■ Cyber attack	■ People ■ Property including buildings, critical infrastructure ■ Supply chain ■ Systems/equipment ■ Information Technology ■ Business operations ■ Reputation of, or confidence in entity ■ Regulatory and contractual obligations ■ Environment	■ Casualties ■ Property damage ■ Business interruption ■ Loss of customers ■ Financial loss ■ Environmental contamination ■ Loss of confidence in the organization ■ Fines and penalties ■ Lawsuits
Hazard Identification	**Vulnerability Assessment**	**Impact Analysis**

(Probability & Magnitude; Vulnerability)

Once you have identified the degree to which a program element is likely to be affected, you can then focus on how each high-priority threat would ripple through your operation. That way, your emergency preparedness plan can address actions required in an appropriate level of detail.

In the simple example above, the parking and transportation operation would want its plan to thoroughly explain how the shuttle buses would be affected by a snow/ice event and provide specific guidance to staff for appropriate preparation and response. The plan would focus on specifics that might include modified shuttle schedules, fuel supplies, snow tires or chains, cold-weather engine maintenance, reviewing snow/ice vehicle handling with drivers, and other issues.

While identifying critical functions, systems, and supplies that will likely be affected by various types of emergencies, your preparedness plan should include steps to address three essentials: resilience, redundancy, and restoration.

Resilience

Resilience is a key concept in emergency preparedness. As Christopher Neuwirth wrote in "Reducing Uncertainty from Inevitability" at EmergencyMgmt.com, "Resiliency is the ability of a society, or the parts thereof, to absorb the impact of a disaster and readily return to a pre-disaster state. … Resiliency is, itself, a measure of emergency preparedness. … It is a ready-state that demonstrates exemplary preparedness and not a coincidental experience. … If emergency preparedness is not done well, or in isolation of other considerations and factors, resiliency may become minimized, limited, or — worse yet — not experienced at all."

Emergency preparedness means asking what you need to do today to ensure the survival (or restoration) of essential operational elements should an emergency strike tomorrow. Securing vital records, for example, must be addressed in advance of an event; failure to do so could mean their total loss.

Redundancy

Building redundancy — backups — into your operation allows you to continue functioning during an event or return to normal more quickly afterward. Ideally, redundancy has to become as automatic as possible in an operation. It might mean automating data backup, for example.

Part of redundancy might entail stockpiling vital supplies to ensure their availability during an emergency and for a length of time thereafter. Stockpiling will likely require requisitioning an extra quantity of certain supplies or equipment for your operation on a regularly scheduled basis.

Redundancy and stockpiling are simple ideas but not always easy to turn into action. Budget constraints, competing priorities, distractions, and procrastination can all conspire to foil good intentions. They should, therefore, be a standard part of someone's job.

Restoration

Restoring vital equipment and systems as quickly as possible after they've been affected by an emergency requires advance planning and thorough training. In fact, some equipment and systems must be shut down prior to the arrival of an expected event, such as a hurricane or flood, to prevent or limit their damage.

Your emergency preparedness plan should include specific steps and assigned responsibilities to ensure the safe powering down/ up of your operation's equipment and systems. These might include computers, electronic parking meters, garage gates and payment systems, vehicles and fueling stations, and others. A complete set of equipment documentation (start-up, operating, and shut-down procedures) should be updated regularly and be easily accessible to all staff trained and cleared for its use.

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1   http://www.ready.gov/risk-assessment

Excerpts from the Salt Lake City Department of Airports Basic Emergency Plan

Levels of Emergencies (Non-Airport/ FAA categories)

Following are three categories of emergencies, which are primarily useful for assessment purposes. These correspond with the levels of emergencies as defined in the SLC Corporation Emergency Plan.

Level III

Any emergency that is capable of being handled using local resources, such as a routine medical emergency, traffic accident, etc.

1. Emergency occurs.
2. The Airport Control Center is notified.
3. First responders go to the scene/establish command.
4. Recovery efforts take place.

Level II

Any emergency where one or more of the following criteria are present:

1. The emergency is not routine in nature.
2. Notifications to administration are required.
3. There is extraordinary media coverage.
4. The emergency results in a fatality.
5. There is a situation where 1–9 individuals have sustained moderate injuries.
6. Significant damage to a single structure is sustained.
7. Additional resources from other agencies are requested.
8. If necessary, a PIO is made available for media inquiries.
9. Staging areas are identified by command staff when required.

Level I

Any emergency where any Level II elements are present and:

1. There are mass causalities (10 or more).
2. Resources available on airport are insufficient to effectively handle the situation.
3. Two or more airport structures have sustained significant damage
4. If necessary, the EOC is activated.
5. Additional notifications of airport employees/EOC staff are made by the Control Center.

Sections of the Airport Emergency Plan

Basic Plan	Provides an overview of general philosophies pertaining to disaster management and contains general guidelines pertinent to all functional sections, and hazard-specific annexes. Unlike the rest of the plan, which contains security sensitive information, this basic plan can be shared with the general public.
Hazard Analysis	The hazard analysis is a document intended to look at the potential emergencies that could occur at or impact the SLC International Airport; to assess, then prioritize each based upon likelihood of occurrence, historical precedence, and other factors.
Functional Sections	A functional section describes a series of general actions that are applicable to multiple disaster situations. For example, an adequate management structure and communications system must exist in every disaster; therefore, functional sections have been created which focus on how both may be established under a variety of circumstances.
Hazard Specific Annexes	Those emergency actions that are applicable to only one or a few types of disasters are placed in hazard-specific annexes.
Checklists	Checklists are summaries of functional sections and hazard-specific annexes, condensed in such a way that they may be immediately useful to field personnel facing emergency situations.
Agreements	This is a listing of memorandums of understanding and letters of agreement between the Department of Airports and organizations willing to provide assistance not found elsewhere in the certification manual.
Glossary	The glossary is a centralized listing of definitions used throughout the Airport Emergency Plan.
Training & Testing	This section provides an indication of the testing/review schedule for various components of the AEP and training methods.
Maps & Resources	This section contains various maps of the airport and surrounding areas, as well as a snapshot list of non-traditional airport resources that will assist the airport in managing an incident/event.

Functional Sections in the AEP

- Alert and Warning
- Direction and Control
- Emergency Communications
- Emergency Personnel, (including Search and Rescue)
- Emergency Public Information
- Health and Medical
- Public Protection (Evacuation and Shelter in Place)

Specific Situations Addressed by the AEP

- Airfield power failure
- Aviation accident
- Bomb threat (terrorism)
- Combustible gas
- Crowd management
- Earthquake
- Flooding
- Hazardous materials (terrorism)
- Hijacking (terrorism)
- Terrorism, (chemical, biological)
- North Support Business (maintenance and fueling facilities)
- Security breach evacuation
- Structure fire

Used by permission. Source: Bruce Barclay, CAPP, Operations Manager, Salt Lake City Department of Airports. Copyright © Salt Lake City Department of Airports

Louisiana State University

As Antonio Casas, director of parking services at the LSU Health Sciences Center in New Orleans, told *The Parking Professional* in March 2013, "Each storm presents its own challenges and is unique."

Casas said the effect depends on how a storm hits the region. Hurricane Isaac in August 2012 was primarily a wind-and-rain event for the campus, he explained, while Hurricane Katrina's biggest effect in 2005 was flooding.

"Katrina pretty much wiped us out," he said. At that time, most of the department's computer servers were on the ground floor, which meant having to almost completely start over after the storm.

"Katrina taught us that when we do a new equipment installation or renovation, we raise the parts and the electrical usually four feet up off the ground and use weatherproof boxes. Our IT department hosts all of our servers now on an elevated floor. Once electrical equipment goes in the water it's shot."

While those steps add resilience to systems, storms have their own way of finding weak points. Lightning and electrical surges during Hurricane Isaac blew out the controls in a couple of the campus's parking areas, and wind-driven rain found its way past weather stripping around doors.

"Card reader parts got water damage and became inoperable even after the power came back," said Casas. "In one of our lots, we had gate operators that had their entire circuit boards fried, either by lightning or when nearby transformers blew."

USDA photo by Dave Kosling

Another lesson learned from Katrina, and applied during Isaac and Gustav, was to have an emergency plan that governs a campus-wide shutdown process. As a storm approaches, the plan details and prioritizes actions to be taken 72 hours out, then 48, then 24. Shutdown begins between 48 and 24 hours in advance, powering down all controls, IT, and parking areas.

"By shutting it all down proactively, we hope to avoid some of the failures and damage from power surges, wind, etc.," said Casas. The buildings have top priority, then parking. Disconnecting equipment from electrical power where possible helps to protect it.

"We were able to recover a lot quicker after Isaac," thanks to all the prep work, he said.

The Parking Professional, March 2013

Identifying Roles and Responsibilities

Even the best-planned, best-organized, and most effectively coordinated responses during an emergency can seem chaotic in the moment. Being crystal clear in advance about roles and responsibilities while preparing (and drilling) your plan helps counteract that sense of chaos.

It's important to integrate your operation into the larger structure of a multi-agency response to an emergency event, and your plan should reflect that.

According to FEMA:

Emergency management and incident response activities require carefully managed resources (personnel, teams, facilities, equipment and/or supplies) to meet incident needs. Utilization of the standardized resource management concepts, such as typing, inventorying, organizing, and tracking will facilitate the dispatch, deployment, and recovery of resources before, during, and after an incident.

Resource management should be flexible and scalable in order to support any incident and be adaptable to changes. Efficient and effective deployment of resources requires that resource management concepts and principles be used in all phases of emergency management and incident response.

The resource management process can be separated into two parts: resource management as an element of preparedness and resource management during an incident. The preparedness activities (resource typing, credentialing, and inventorying) are conducted on a continual basis to help ensure that resources are ready to be mobilized when called to an incident. Resource management during an incident is a finite process, as shown in the below figure, with a distinct beginning and ending specific to the needs of the particular incident.

(Source: fema.gov/resource-management)

Disaster Response/Management Team
This team will be specific to your community and institution. The composition of this team will vary for each parking sector. IPI suggests using FEMA's Incident Command System (ICS). FEMA explains that it:

- Allows for the integration of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure.
- Enables a coordinated response among various jurisdictions and functional agencies, both public and private.
- Establishes common processes for planning and managing resources.
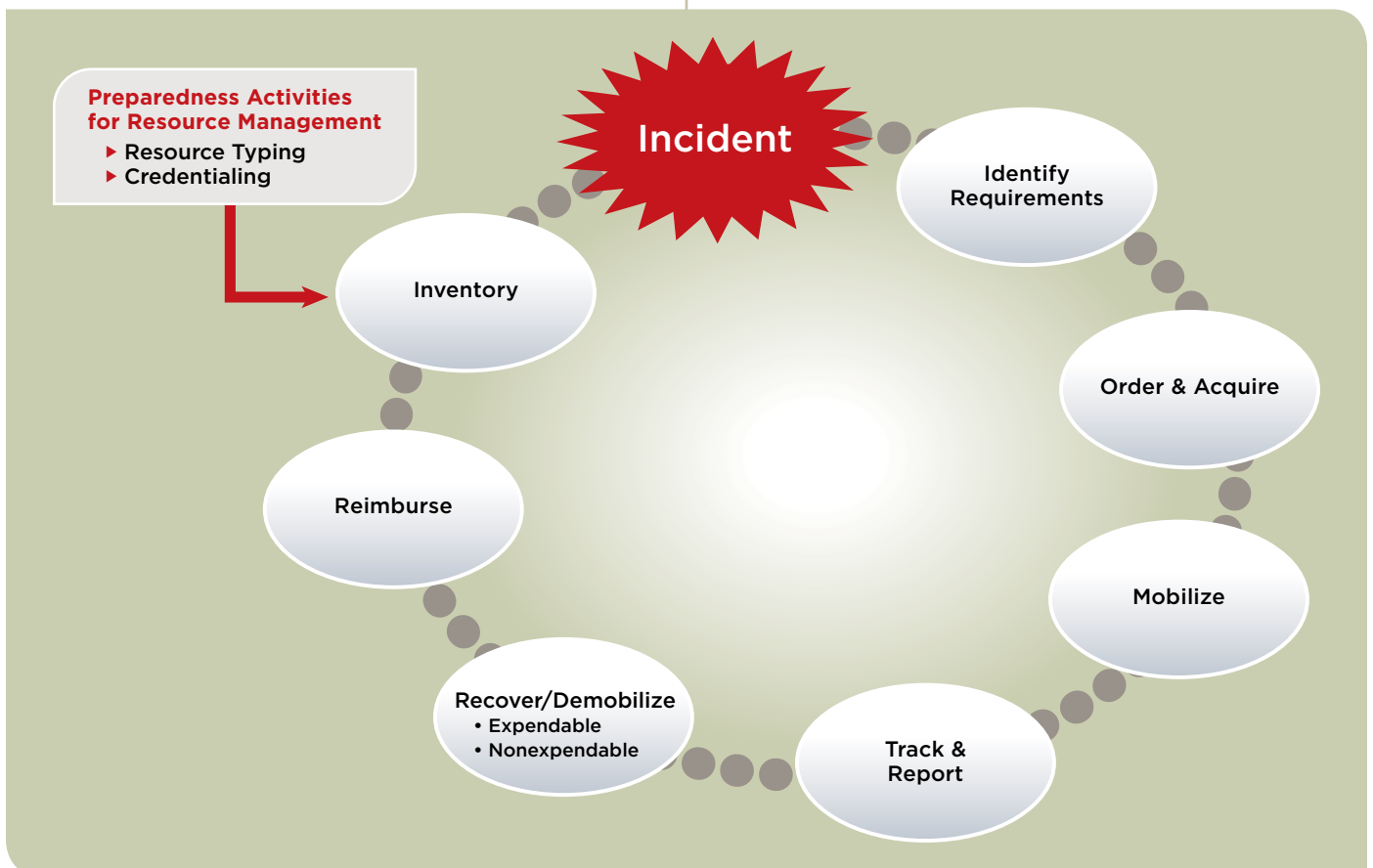
ICS is flexible and can be used for incidents of any type, scope, and complexity. ICS allows its users to adopt an integrated organizational structure to match the complexities and demands of single or multiple incidents.

ICS is used by all levels of government — federal, state, tribal, and local — as well as by many nongovernmental organizations and the private sector. ICS is also applicable across disciplines. It is typically structured to facilitate activities in five major functional areas: command, operations, planning, logistics, and finance/administration. All of the functional areas may or may not be used based on the incident needs. Intelligence/investigations is an optional sixth functional area that is activated on a case-by-case basis.

As a system, ICS is extremely useful; not only does it provide an organizational structure for incident management, but it also guides the process for planning, building, and adapting that structure. Using ICS for every incident or planned event helps hone and maintain skills needed for the large-scale incidents.

FEMA explains why ICS is needed:

When an incident requires response from multiple local emergency management and response agencies, effective cross-jurisdictional coordination using common processes and systems is critical. The Incident Command System (ICS) provides a flexible, yet standardized core mechanism for coordinated and collaborative incident management, whether for incidents where additional resources are required or are provided from different organizations within a single jurisdiction or outside the jurisdiction or for complex incidents with national implications.

In addition:

The ICS is a widely applicable management system designed to enable effective, efficient incident management by integrating a combination of facilities, equipment, personnel, procedures, and communications operating within a common organizational structure. ICS is a fundamental form of management established in a standard format, with the purpose of enabling incident managers to identify the key concerns associated with the incident — often under urgent conditions — without sacrificing attention to any component of the command system. It represents organizational "best practices" and, as an element of the Command and Management Component of NIMS, has become the standard for emergency management across the country. Designers of the system recognized early that ICS must be interdisciplinary and organizationally flexible to meet the following management challenges:

- Meet the needs of incidents of any kind or size.
- Allow personnel from a variety of agencies to meld rapidly into a common management structure.
- Provide logistical and administrative support to operational staff.
- Be cost effective by avoiding duplication of efforts.

ICS consists of procedures for controlling personnel, facilities, equipment, and communications. It is a system designed to be used or applied from the time an incident occurs until the requirement for management and operations no longer exists.

Chain of Command

The process of developing your emergency preparedness plan must include discussion of and clarity about the specific positions in your community and at your institution that would participate in various types of incidents and how specific personnel in your parking and transportation operation fit into that command structure.

FEMA says:

A basic premise of NIMS is that all incidents begin and end locally. NIMS does not take command away from state and local authorities. NIMS simply provides the framework to enhance the ability of responders, including the private sector and NGOs, to work together more effectively. The federal government supports state and local authorities when their resources are overwhelmed or anticipated to be overwhelmed. Federal departments and agencies respect the sovereignty and responsibilities of local, tribal, and state governments while rendering assistance. The intention of the federal government in these situations is not to command the response but, rather, to support the affected local, tribal, and/or state governments.

Lines of Communication

Communication is one of the most challenging elements of any incident response. The 9/11 terrorist attacks, hurricanes Katrina (2005) and Sandy (2012), the loss of the Granite Mountain

Hotshots in an Arizona wildfire, the Washington, D.C., Navy Yard shooter in 2013, and Malaysian Airlines Flight 370 lost in 2014 all demonstrate how problems with communication have compounded catastrophe.

Communication problems can be technological or result from human error. Regardless, prudence dictates anticipating communication difficulties and preparing contingency plans and back-up systems.

As the U.S. Department of Education's Office of Safe and Healthy Students explains in "Developing an Emergency Communication Plan for an Institution of Higher Education," an emergency communication plan serves a number of purposes:

- Prepares the institution to effectively manage emergency communication.
- Identifies possible gaps in warning, notification, response, and resource requests.
- Provides an inventory of all existing communication technologies and a guide for how to activate, use, and deploy these devices.
- Helps staff to respond in an accurate, professional, and timely manner.
- Manages the distribution of critical/sensitive information to the media, students, faculty and staff, and the general public.
- Demonstrates a proactive commitment by the campus to prepare for a crisis before it happens.
- Empowers staff to know what to do, what steps to take, and how to prioritize key functions in crisis.

(Source: rems.ed.gov/docs/FY10EMHE_FGM_ATGA_EmergencyCommPlanIHE.pdf)

Internal

Start with your own operation. Decide whether you need a hierarchical command-tree model of communication, a flat horizontal approach that empowers each team member, or a hybrid of the two. You might decide that if one of your team members spots a vehicle fire in a parking facility, he or she should dial 911 first and then call a supervisor. On the other hand, if one of your team members encounters a television news crew that asks for guidance on where to set up their coverage about a nearby shooting, you might decide the team member should first consult with someone in your operation's management structure or public relations.

An emergency preparedness plan provides a vehicle for you to think in advance about different scenarios and take stock of your current communication systems and policies. If those systems need upgrading or those policies need changing or clarifying, be sure to update your preparedness plan accordingly.

External

An emergency preparedness plan should clarify the "who, what, when, where, and how" of communication with all of your stakeholders. How will you respond to inbound communication? How will you coordinate outbound messaging? Such questions must be thought through carefully, thoroughly, and in coordination with both internal and external stakeholders. In particular, you will want to involve your institution's public information staff in this planning.

"Developing an Emergency Communication Plan for an Institution of Higher Education" outlines the following questions:

- Who are your key audiences?
- What are your key messages at various stages of the emergency?
- How will you communicate the message and the facts?
- How will you activate crisis website, social media, and crisis hotline?
- What type of guidance will you provide to the public?
- How will you control the message?
- How will you control the flow of information?

(Source: rems.ed.gov/docs/FY10EMHE_FGM_ATGA_EmergencyCommPlanIHE.pdf)

The Centers for Disease Control and Prevention (CDC) offers the Crisis and Emergency Risk Communication (CERC) training program, which "draws from lessons learned during public health emergencies and incorporates best practices from the fields of risk and crisis communication. With this comprehensive training program, CDC has moved forward in meeting the needs of partners and stakeholders in preparing for, responding to, and recovering from the threat of bioterrorism, emergent diseases, and other hazards." (Source: bt.cdc.gov/CERC/)

Coordinating/Integrating

Identify and Communicate with Related Entities/Departments

Because no department or organization exists in a vacuum, an emergency preparedness plan should include guidance on working with other entities so relationships and contacts are clear in advance. Parking and transportation will have relationships with any number of related departments, and these will likely be different for campuses versus airports versus other environments.

Review and Reference Emergency Preparedness Plans

In addition to identifying and guiding communication with other departments or entities, the parking and transportation department's emergency preparedness plan should reference and integrate with those other entities' own plans. Ideally, this would involve in-depth discussions and clear agreements with the principals representing those other entities.

Communicate and Ensure Staff Understanding

All parking and transportation staff should be well-versed in the details of the emergency preparedness plan. While not all staff will participate to the same degree in the plan's development, all should have an equal understanding of its details and recognize not only their own roles and responsibilities in an emergency but those of all other team members as well.

Training and Inspection Support from Local First Responders

Local first responders should serve as vital resources and partners for emergency preparedness planning. Be sure to ask them about available training and on-site inspection assistance.

Partnering with first responders not only helps parking and transportation staff get up to speed on how to prepare and react in an emergency but also aids the first responders in better understanding how to interact and work with your department, including possible assets during an emergency.

As IPI Safety & Security Committee Co-Chair Geary Robinson, PhD, CAPP, observed in his doctoral dissertation, "Emergency management agencies should extend their training to include transportation agencies responsible for providing transit assets during disaster events. The goal should be the development of a dialogue to define expectations for the full utilization of transportation systems and their employees during a disaster event."

Robinson also noted that DHS "lists five strategic goals of national concern: awareness, prevention, protection, response, and recovery. Transportation assets and transit operations should be considered in relation to each of these goals."

Annual inspections co-supervised by first responders can help the parking and transportation staff and other relevant departments maintain a higher level of readiness and awareness. Coordinating with first responders in advance on an inspection checklist would be wise and might include:

- Emergency exit access and signage checks and changes.
- Smoke/heat/CO detector and alarm checks.
- Flammable/explosive/noxious chemical and equipment storage (paints, thinners, etc.).

Ready.gov provides a handy overview that might inform your training decisions:

WHO NEEDS TRAINING?	WHAT TRAINING SHOULD BE PROVIDED?
All employees	■ Protective actions for life safety (evacuation, shelter, shelter-in-place, lockdown) ■ Safety, security, and loss prevention programs
Emergency Response Team (evacuation, shelter, shelter-in-place)	■ Roles and responsibilities as defined in the plan ■ Training as required to comply with regulations or maintain certifications (if employees administer first aid, CPR, or AED or use fire extinguishers or clean up spills of hazardous chemicals) ■ Additional training for leaders, including incident management
Business Continuity Team	■ Roles and responsibilities as defined in the plan ■ Additional training for leaders, including incident management
Crisis Communications Team	■ Roles and responsibilities as defined in the plan ■ Additional training for leaders, including incident management ■ Training for spokespersons

(Source: ready.gov/business/implementation/training)

FEMA offers a free independent study program for all staff, featuring NIMS-compliant courses at http://training.fema.gov/IS/NIMS.aspx. These classes include:

- ICS 100: Introduction to ICS.
- ICS 200: Basic ICS.
- ICS 700.A: National Incident Management System (NIMS) — An Introduction.
- ICS 800.B: National Response Framework — An Introduction.

Locally offered classes can supplement FEMA's offerings.

Evacuation vs. Refuge in an Emergency

Decision Making
Because the parking and transportation function is a key asset in an institution's (or community's) ability to prepare and respond — particularly in facilitating mobility or refuge — parking and transportation management must participate in decision-making during planning and preparation and certain types of emergencies.

Coordination between Parking and Transportation
In the event that your institution or community splits parking and transportation into separate departments, coordinating in advance becomes all the more important.

Photo: Steve Schaaf

MONTHLY PLANNER TOOL

Purpose

An emergency preparedness plan needs to be a living, often-used document to remain relevant and current for your parking/transportation operation. This monthly planner tool is one example of how you can integrate emergency preparedness planning into your staff meetings on a regular basis.

IPI Annual Emergency Preparedness Planner

Depending on the type of parking venue you operate (airport, hospital/medical center, university, stadium, municipal, or commercial), what kinds of issues or threats can you anticipate — and integrate into your emergency preparedness planning — throughout the year?

Nature (1)	Events (2)	Org'l Changes (3)	HR/Budget Changes (4)	Tech Changes (5)	Infrastructure Changes (6)
Jan					
Feb					
Mar					
Apr					
May					
Jun					
Jul					
Aug					
Sep					
Oct					
Nov					
Dec					

Category Examples:

(1) Seasonal, earthquakes, hurricanes, thunderstorms, hail, lightning, severe winds, flooding, snow/ice, fires, etc.

(2) Large gatherings, fairs, games, races, other crowd generators

(3) New management, new policies, new reporting structures, new departments, eliminated departments, etc.

(4) Planned furloughs, fleet vehicle reductions/maintenance

(5) New computers/software, mobile devices, parking meters, security systems, fire alarm/sprinkler systems, etc.

(6) Planned work on nearby roads/bridges, electrical, water, etc. affecting access/egress from facilit

Anticipate, Update, and Drill

Your planning and the resulting documentation should help you and your team think ahead. What seasonal threats might you face (e.g., weather)? What about event-related threats (e.g., large crowds during football games or parades)?

Ideally, you and your team will have a master calendar to use for anticipating both what's planned and what's possible far in advance. Then you can update that forward view on a regular basis and schedule drills and exercises, both internally and in cooperation with outside partners, to run through likely scenarios and identify changes that need to be made to keep your preparedness level sharp.

Photo: Brussels Airport

Sourced verbatim from Ready.gov.

Post-incident critiques often confirm that experience gained during exercises was the best way to prepare teams to respond effectively to an emergency. Exercises should be designed to engage team members and get them working together to manage the response to a hypothetical incident. Exercises enhance knowledge of plans, allow members to improve their own performance, and identify opportunities to improve capabilities to respond to real events.

Exercises are a great method to:

- Evaluate the preparedness program.
- Identify planning and procedural deficiencies.
- Test or validate recently changed procedures or plans.
- Clarify roles and responsibilities.
- Obtain participant feedback and recommendations for program improvement.
- Measure improvement compared to performance objectives.
- Improve coordination between internal and external teams, organizations, and entities.
- Validate training and education.
- Increase awareness and understanding of hazards and the potential impacts of hazards.
- Assess the capabilities of existing resources and identify needed resources.

Types of Exercises

There are different types of exercises that can be used to evaluate program plans, procedures, and capabilities.

- Walkthroughs, workshops, or orientation seminars.
- Tabletop exercises.
- Functional exercises.
- Full-scale exercises.

Walkthroughs, workshops, and orientation seminars are basic training for team members. They are designed to familiarize team members with emergency response, business continuity, and crisis communications plans and their roles and responsibilities as defined in the plans.

Tabletop exercises are discussion-based sessions where team members meet in an informal classroom setting to discuss their roles during an emergency and their responses to a particular emergency situation. A facilitator guides participants through a discussion of one or more scenarios. The duration of a tabletop exercise depends on the audience, the topic being exercised and

the exercise objectives. Many tabletop exercises can be conducted in a few hours, so they are cost-effective tools to validate plans and capabilities.

Functional exercises allow personnel to validate plans and readiness by performing their duties in a simulated operational environment. Activities for a functional exercise are scenario-driven, such as the failure of a critical business function or a specific hazard scenario. Functional exercises are designed to exercise specific team members, procedures, and resources (e.g., communications, warning, notifications, and equipment set-up).

A full-scale exercise is as close to the real thing as possible. It is a lengthy exercise that takes place on location using, as much as possible, the equipment and personnel that would be called upon in a real event. Full-scale exercises are conducted by public agencies. They often include participation from local businesses.

Cities Readiness Initiative

Local and state agencies conduct joint Cities Readiness Initiative Full-Scale Exercises around the U.S. to assess the ability of personnel from different departments and agencies to collaborate in mass-dispensing of medications operations, implement a traffic control and security plan, and assess the ability of mass dispensing staff to receive on-site training.

The Centers for Disease Control and Prevention (CDC) Cities Readiness Initiative (CRI — http://www.bt.cdc.gov/cri/) is a federally funded program designed to enhance preparedness in the nation's largest cities and metropolitan statistical areas, where more than 50 percent of the U.S. population resides. Through CRI, state and large metropolitan public health departments have developed plans to respond to a large-scale bioterrorist event by dispensing antibiotics to the entire population of an identified Metropolitan and Micropolitan Statistical Areas MSA[2] within 48 hours.

Developing an Exercise Program

Develop an exercise program beginning with an assessment of needs and current capabilities. Review the risk assessment and program performance objectives. Conduct a walkthrough or orientation session to familiarize team members with the preparedness plans. Review roles and responsibilities and ensure everyone is familiar with incident management. Identify probable scenarios for emergencies and business disruption. Use these scenarios as the basis for tabletop exercises. As the program

2   This data is used to count the number of people living in a geographical area and or other data about a specific population. From the U.S. Census Bureau "A metro area contains a core urban area of 50,000 or more population, and a micro area contains an urban core of at least 10,000 (but less than 50,000) population". https://www.census.gov/population/metro/

matures, consider holding a functional exercise. Contact local emergency management officials to determine if there is an opportunity to participate in a full-scale exercise within your community.

Evaluating Exercises

Exercises should be evaluated to determine whether exercise objectives were met and to identify opportunities for program improvement. A facilitated "hot wash" discussion held at the end of an exercise is a great way to solicit feedback and identify suggestions for improvement (e.g., discuss what went right, what went wrong, what assets were sufficient, what were deficient, what can be done better, and other points) and allows the organization to update the plan more effectively.

Evaluation forms are another way for participants to provide comments and suggestions. An after-action report that documents suggestions for improvement should be compiled

Photo: Jacinta Quesada

following the exercise, and copies should be distributed to management and others. Suggestions for improvement should be addressed through the organization's corrective action program.

Texas A&M Buses Helped Relocate Hurricane Victims

Following Hurricane Katrina in 2005, Transportation Services at Texas A&M University used 10 of its buses to carry arriving Hurricane Katrina evacuees from Kelly Air Force Base to shelters in San Antonio. The effort included a team of 23 student drivers, four managers, and four university police department representatives.

According to the *Aggie Hotline*, Rod Weis, who was director of transportation services, said his department quickly took action after receiving word that the Federal Emergency Management Agency (FEMA) needed assistance with the evacuation of 25,000 people from New Orleans to San Antonio. After receiving approval from the Texas governor's office, the buses departed to meet the first four plane loads of evacuees.

Source: Peter W. Lange, VP, Administration, Executive Director for Transportation Services; based on article in *Aggie Hotline*, Sept. 2, 2005. Full article: http://transport.tamu.edu/About/news/2005/05_9_2AggieKatrina.aspx

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"Transportation, especially at an airport, can have a huge effect on an emergency situation. Our shuttle fleet is on standby for many in-flight emergencies. In any circumstances where there is a possibility of passenger evacuation, shuttle operations are placed on standby or into action. Examples of such circumstance include landing gear issues, smell of smoke in the cockpit or galley, flat tires, and even bird strikes."

Bruce Barclay, CAPP, Operations Manager, Salt Lake City Department of Airports

"The U.S. Federal Emergency Management Agency and Public Safety Canada have worked diligently since 2001 to develop standardized emergency management systems for both countries, with well-defined roles for emergency planners and responders. One of the outgrowths of this effort is a growing recognition of the critical role of support functions in emergency preparedness and response.

One of the most important support functions needed in an emergency is transportation. Without transportation, first responders can't respond, supplies can't be delivered, victims can't be evacuated, people can't be moved, and business can't operate. That simple fact makes fleet management a critical support function in an organization's emergency operations plan. As fleet managers, we all share a responsibility to help guide our organizations successfully through emergencies."

Bryan Flansburg, CAFM, *Director, Transportation Services, University of Colorado at Boulder*

RESOURCES & REFERENCES

Federal

- National Preparedness Goal
  - Online overview: http://www.fema.gov/national-preparedness-goal
  - Manual (PDF): http://www.fema.gov/media-library-data/20130726-1828-25045-9470/national_preparedness_goal_2011.pdf
- NIMS (http://www.fema.gov/national-preparedness/national-incident-management-system)
- FloodSmart (http://www.floodsmart.gov/)
- NFIP (http://www.fema.gov/national-flood-insurance-program-2/garages)
- http://www.fema.gov/library/viewRecord.do?id=1719
- http://www.fema.gov/protecting-your-businesses
- http://www.ready.gov/business-continuity-planning-suite
- http://www.ready.gov/campus

- http://www.dhs.gov/topic/plan-and-prepare-disasters
- http://www.dhs.gov/national-infrastructure-protection-plan
- http://www.dhs.gov/transportation-systems-sector
- http://www.fema.gov/national-response-framework-0
- http://www.phe.gov/preparedness/Pages/default.aspx
- http://www.dhs.gov/how-do-i/prepare-my-business-emergency
- http://emergency.cdc.gov/planning/

Private

- http://www.nfpa.org/aboutthecodes/AboutTheCodes.asp?DocNum=1600
- http://www.scnus.org/page.aspx?id=104616
- http://www.disasters.org/deralink.html
- http://www.wbdg.org/design/park_surface.php
- http://www.wbdg.org/design/secure_safe.php
- http://www.wbdg.org/design/park_basement.php
- http://www.wbdg.org/design/park_outside.php
- http://www.redcross.org/prepare/location/workplace

APPENDIX and SAMPLE PLAN EXCERPTS

- National Preparedness Goal (PDF) (Source: http://www.fema.gov/media-library-data/20130726-1828-25045-9470/national_preparedness_goal_2011.pdf)
- Federal Aviation Administration Sample Airport Emergency Plan (pages 1–40)
- Clemson University Draft Emergency Operations Plan Table of Contents (Source: Doctoral dissertation © of Geary L. Robinson, PhD)
- The University of Texas at Austin Severe & Inclement Weather Response Annex 2013 (draft) (Source: Gerald R. Harkins, Associate Vice President, Campus Safety and Security, the University of Texas at Austin)
- Ready Business ERP Form

Photo: Brussels Airport

International Parking Institute

1330 Braddock Place, Suite 350

Alexandria, VA 22314

parking.org

Appendix **20**

Sample Crisis Communication Plan

When an emergency occurs the need to communicate is immediate. An important component of an organization's communications planning efforts is the creation of a crisis communications plan. A business or organization must be able to respond promptly, accurately, and confidently during an emergency and in the hours and days that follow.

This document provides direction for developing a crisis communications plan.

Appendix 35: Sample Crisis Communication Plan

When an emergency occurs, the need to communicate is immediate. If business operations are disrupted, customers will want to know how they will be impacted. Regulators may need to be notified and local government officials will want to know what is going on in their community. Employees and their families will be concerned and want information. Neighbors living near an incident may need information—especially if they, their residence or their business could be impacted. All of these "audiences" will want information before the business has a chance to begin communicating.

An important component of an organization's planning effort is the creation of a crisis communications plan. A business or organization must be able to respond promptly, accurately and confidently during an emergency in the hours and days that follow. Many different audiences must be reached with information specific to their interests and needs. The image of the business can be positively or negatively impacted by public perceptions of the handling of the incident.

This document provides direction for developing a crisis communications plan. Understanding potential **Audiences** is key, as each audience wants to know: "How does it affect me"? Guidance for scripting **Messages** that are specific to the interests of the audience is another element of the plan. The **Contact & Information Center** section explains how to use existing resources to gather and disseminate information during and following an incident.

Audiences

Understanding the audiences that a business or organizational needs to reach during an emergency is one of the first steps in the development of a Crisis Communications Plan. There are many potential audiences that will want information during and following an incident and each has its own needs for information. The challenge is to identify potential audiences, determine their need for information and then identify who within the business is best able to communicate with that audience.

The following is a list of audiences that a parking program should consider as they create a crisis communication plan:

- Patrons
- Those directly impacted by the incident, and if applicable, their families
- Parking program employees, and if applicable, their families
- News media
- Community stakeholders—especially those living near or directly impacted by an incident
- Program management, Managers and other financial stakeholders
- Government elected officials, regulators and other authorities
- Suppliers, if applicable

Contact Information

Contact information for each audience should be compiled and immediately accessible during an incident. Existing information such as customer, supplier, and employee contact information may be exportable from existing databases. Include as much information for each contact as possible (e.g., organization name, contact name, business telephone number, cell number, fax number, and email address). Lists should be updated regularly, secured to protect confidential information and available to authorized users for use by members of the crisis communications team. Electronic lists can also be hosted on a secure server for remote access with a web browser. Hard copies of lists should also be available at the alternate location.

Customers

Customers are the life of a business, so contact with customers is a top priority. A crisis communication (business continuity) plan should include action to redirect incoming telephone calls to a second location (if available) or to a voice message indicating that the organization is experiencing a temporary problem. This plan should also include procedures to ensure that customers are properly informed about issues that may impact them directly and indirectly.

Front line parking staff who are normally assigned to work with customers should be assigned to communicate with customers during a crisis as well. If there are a lot of customers, then the list should be prioritized to reach the most important customers first.

> **Remember, in the case of a crisis: communicate early, communicate often, and communicate as honestly as possible.**

Suppliers

The crisis communication plan should include documented procedures for notification of suppliers, for example technology providers, other city departments who directly supply support or services to a parking program, contracted staff, etc. The procedures should identify when and how they should be notified.

Management

Protocols for when to notify management should be clearly understood and documented. Consider events that occur on a holiday weekend or in the middle of the night. It should be clear to staff what situations require immediate notification of management regardless of the time of day. Similar protocols and procedures should be established for the notification of managers, investors, and other important stakeholders. Management does not want to learn about a problem from the news media.

Government Officials and Regulators

Communications with government officials depends upon the nature and severity of the incident and protocol for notifying upper level City management should be discussed as part of the crisis

communication planning process. Businesses/organizations that fail to notify a regulator within the prescribed time risk incurring a fine. Occupational Safety and Health Administration (OSHA) regulations require notification to OSHA when there are three or more hospitalizations from an accident or if there is a fatality. Environmental regulations require notification if there is a chemical spill or release that exceeds threshold quantities. Other regulators may need to be notified if there is an incident involving product tampering, contamination or quality. Notification requirements should be documented in the Crisis Communications Plan. A major incident in the community will capture the attention of elected officials. A senior manager should be assigned to communicate with elected officials and public safety officials.

Employees

Human Resources (HR), or another designated management level staff person, are responsible for the day-to-day communications with employees regarding employment issues and benefits administration. HR management/designated management should assume a similar role on the crisis communications team. This designated person/people should coordinate communications with management, supervisors, employees, and families. They should also coordinate communications with those involved with the care of employees and the provision of benefits to employees and their families. Close coordination between management, designated organizational spokesperson, public agencies, and HR is needed when managing the sensitive nature of communications related to an incident involving death or serious injury.

The Community

Parking programs and their services are very customer-oriented so in addition to internal/organizational audience, the community at large can become an important audience. As such, community outreach should be part of the crisis communications plan. The plan should include coordination with public safety officials to develop protocols and procedures for advising the public of any hazards and the most appropriate protective action that should be taken if warned.

Positioning

To decide on how you position your communication to the community at large, it is important to step out of your role in the business/organization and put yourself in the situation of whom ever was involved in the crisis or try to view the crisis from the eye of the public. Ignoring the situation will only make things worse.

Examples of categories to consider for positioning are:

- Human error
- Clerical error
- Unauthorized procedures
- Inadequate supervision
- Inadequate quality control
- Misuse of confidential information

- Errors of judgment
- Inadequate standard operating procedures

As you are considering your "position" it is important to consider the wide range of consequences (e.g., legal, financial, public relations, effects on administration, and effects on operations). Keep in mind that people tend to remember what they hear first and last.

News Media

If the incident is serious, then the news media will be on scene or calling to obtain details. There may be numerous requests for information from local, regional or national media. The challenge of managing large numbers of requests for information, interviews, and public statements can be overwhelming. Prioritization of requests for information and the development of press releases and talking points can assist with the need to communicate quickly and effectively.

Develop a company policy that only authorized spokespersons are permitted to speak to the news media. Communicate the policy to all employees explaining that it is best to speak with one informed voice.

Determine in advance who will speak to the news media and prepare that spokesperson with talking points, so they can speak clearly and effectively in terms that can be easily understood.

Designated Spokesperson

One individual should be designated as the primary spokesperson to represent the City, make official statements, and answer media questions throughout the crisis. A backup to the designated spokesperson should also be identified to fill the position in the event that the primary spokesperson is unavailable.

In addition to the primary spokesperson and the backup spokesperson, individuals who will serve as technical experts or advisors should be designated. These resources might include a financial expert, an engineer, a leader in the community or anyone your organization deems necessary during a specific kind of crisis. This will take some brainstorming by the crisis communication team since what is needed may not always be apparent. There should be an authority or technical expert in their field and be available to supplement the knowledge of the spokesperson.

Criteria for the spokesperson, backup spokesperson, and crisis communication expert is:

- Comfortable in front of a TV camera and with reporters. Preferably, skilled in handling media, skilled in directing responses to another topic, skilled in identifying key points, able to speak without using jargon, respectful of the role of the reporter, knowledgeable about the organization and the crisis at hand.
- Able to establish credibility with the media, able to project confidence to the audience, suitable in regard to diction, appearance and charisma, sincere, straightforward and believable, accessible to the media and to internal communications personnel who will facilitate media interviews, able to remain calm in stressful situations.

In addition to the designated spokesperson and backup, it can be anticipated that other parties involved in the crisis; police, fire department, health officials, etc., will also have a spokesperson. It is important to obtain the identity of that individual as early as possible so all statements and contacts with the media can be coordinated between the two individuals and their organizations/interests whenever possible.

Practicing Tough Questions

A crisis situation is always difficult when dealing with the media. Therefore, tough questions and rehearsals are necessary to help the spokesperson prepare.

It is important, at the onset of the crisis, that the spokesperson, backup, and advisors spend some time rehearsing prepared statements and answers to possible "tough" questions that may be asked by reporters. If possible, similar rehearsals should be conducted prior to each media interview, briefing, or news conference. It is also important to anticipate and practice new questions as the story evolves. It is better to over prepare than to be surprised by the depth of questioning by the media.

The designated spokesperson should prepare questions and answers for the practice sessions. These questions and answers should be for internal use only and not for distribution outside the organization. Don't volunteer information unless it is a point the organization wants to make and the question hasn't been asked. Don't talk off the record.

Prepared Statements

If you don't communicate immediately, you lose your greatest opportunity to control events. Your first news release should include at a minimum the who, what, when, and where of the situation.

You must give the facts that have been gathered from reliable sources and confirmed. Don't over reach and don't speculate. If you do nothing more than show concern for the public and for your employees in your first press interaction, you are already on the right track. The corollary of expressing concern and generating good will at the consumer level is securing the loyalty of your customers and employees by taking the initiative to share information with them. If your employees and customers don't feel like insiders, they are going to act like outsiders.

You must have a prepared statement on hand that can be used to make an initial general response to the media when knowledge about the crisis first becomes known on a widespread basis or by reporters. As the crisis progresses and new information and facts become available, it is also advisable to develop prepared statements to be made by the spokesperson at the onset of any media interview, briefing, or news conference. These prepared statements also can be read over the telephone to reporters who call to request information but are not represented at news conferences or briefings. The statement can also be sent by e-mail or posted on the organization's website or appropriate social media account.

Messaging

During and following an incident, each audience will seek information that is specific to them. "How does the incident affect my order, job, safety, community…?" These questions need to be answered when communicating with each audience.

After identifying the audiences and the spokesperson assigned to communicate with each audience, the next step is to script messages. Writing messages during an incident can be challenging due to the pressure caused by "too much to do" and "too little time." Therefore, it is best to script message templates in advance if possible.

Pre-scripted messages should be prepared using information developed during the risk assessment. The risk assessment process should identify scenarios that would require communications with stakeholders. There may be many different scenarios but the need for communications will relate more to the impacts or potential impacts of an incident:

- Accidents that injure employees or others
- Property damage to company facilities
- Liability associated injury to or damage sustained by others
- production or service interruptions
- product quality issues

Messages can be pre-scripted as templates with blanks to be filled in when needed. Pre-scripted messages can be developed, approved by the management team and stored on a remotely accessible server for quick editing and release when needed.

Another important element of the Crisis Communications Plan is the need to coordinate the release of information. When there is an emergency or a major impact on the business, there may be limited information about the incident or its potential impacts. The "story" may change many times as new information becomes available.

One of the aims of the Crisis Communications Plan is to ensure consistency of message. If you tell one audience one story and another audience a different story, it will raise questions of competency and credibility. Protocols need to be established to ensure that the core of each message is consistent while addressing the specific questions from each audience.

Another important goal of the Crisis Communications Plan is to move from reacting to the incident, to managing a strategy, to overcoming the incident. Management needs to develop the strategy and the crisis communications team needs to implement that strategy by allaying the concerns of each audience and positioning the organization to emerge from the incident with its reputation intact.
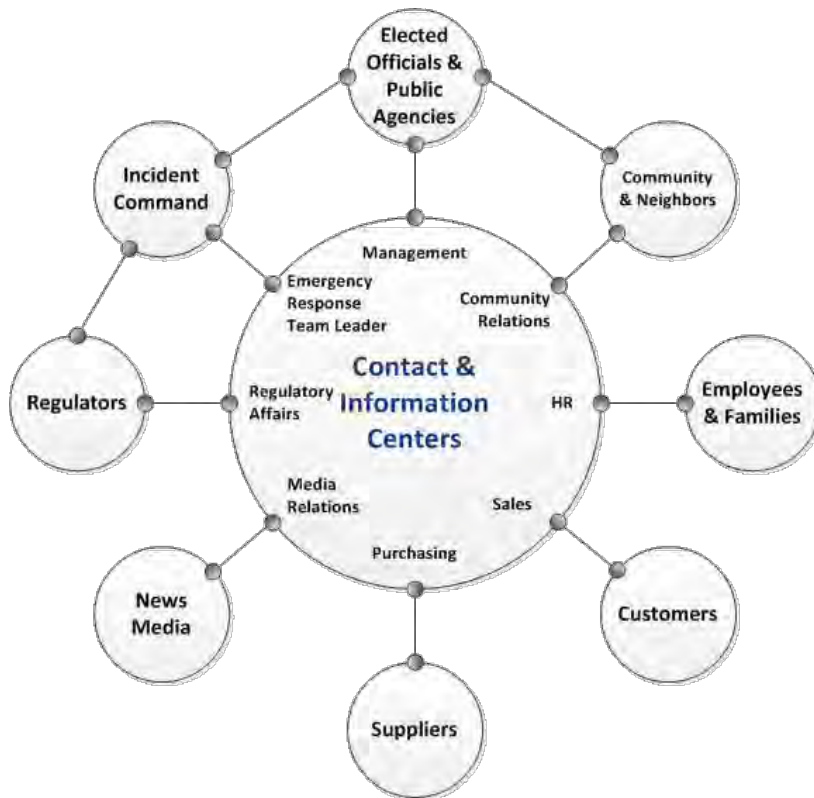
Communications before, during, and following an emergency are bi-directional. Stakeholders or audiences will ask questions and request information. The City will answer questions and provide information. This flow of information should be managed through a communications hub.

Contact and Information Centers form the "hub" of the Crisis Communications Plan. The centers receive requests for information from each audience and disseminate information to each audience. Employees from multiple departments may be assigned to communicate with a specific audience.

The "contact center" fields inquiries from customers, suppliers, the news media and others. The contact center should be properly equipped and staffed by personnel to answer requests for information. The staff working within the contact center should be provided with scripts and a "frequently asked questions" (FAQ) document to answer questions consistently and accurately.

The "information center" consists of existing staff and technologies (e.g., Website, call center, bulletin boards, etc.) that field requests for information from customers, employees and others during normal business hours. The information center and its technologies can be used to push information out to audiences and post information for online reading.

The crisis communications team, consisting of members of the management team, should operate in an office environment to support the contact and information centers. The goal of the crisis communications team is to gather information about the incident. This should include monitoring the types of questions posed to call center operators or staff in the office; emails received by customer service; social media chatter, and stories broadcast by the news media. Using this input, the crisis communications team can inform management about the issues that are being raised by stakeholders. In turn, management should provide input into the messages generated by the crisis communications team. The team can then create appropriate messages and disseminate information approved for release.

Resources for Crisis Communications

Resources should be available within the primary business site and provisions should be made to set up similar capabilities within an alternate site in case the primary site cannot be occupied.

- Telephones with dedicated or addressable lines for incoming calls and separate lines for outgoing calls
- Access to any electronic notification system used to inform employees
- Electronic mail (with access to "info@" inbox and ability to send messages)
- Access to company Web site to post updates
- Access to social media accounts
- Access to local area network, secure remote server, message template library, and printers
- Hard copies of emergency response, business continuity, and the Crisis Communications Plan
- Site and building diagrams, information related to business processes and loss prevention programs (e.g., safety and health, property loss prevention, physical and information/cyber security, fleet safety, environmental management, and product quality)
- Copiers
- Forms for documenting events as they unfold

The sources for this outline were *Crisis Communication Plan* (www.ready.gov) and *Crisis Communication Plan: A PR Blueprint* (www.newsplace.org/crisis). Additional resources for Crisis Communication Strategies:

- 10 Steps of Crisis Communication, Jonathan Bernstein (2013)
- Crisis Communications: A Primer for Teams, Al Czarnecki (2007)
- You'd Better Have a Hose if You Want to Put Out the Fire: The Complete Guide to Crisis and Risk Communications, Rene A. Henry (2001)