



Combined Meeting of the  
Operations Committee &  
Audit, Finance and  
Administration Committee  
(Virtual Meeting)

August 27, 2020  
(Immediately following the  
Special Board Meeting, which  
begins at 9:15 AM)

**Open Session Agenda**

## Notice of Meeting and Agenda

**Bi-State Development  
Combined Operations Committee and  
Audit, Finance and Administration Committee Meeting  
Thursday, August 27, 2020 – Immediately following Special Board Meeting  
Virtual Meeting  
Headquarters - Board Room, 6<sup>th</sup> Floor  
One Metropolitan Square, 211 N. Broadway, Suite 650  
St. Louis, Missouri 63102**

**This location is accessible to persons with disabilities. Individuals with disabilities needing information or communication accommodations should call Bi-State Development at (314) 982-1400, for TTY access, call Relay 711. Sign language interpreter services or other accommodations for persons with hearing or speech disabilities will be arranged if a request for such service is made at least two days in advance of the meeting. Large print material, Braille material or other formats will also be provided upon request.**

<b>Agenda</b>	<b>Disposition</b>	<b>Presentation</b>
1. Call to Order	Approval	Chair Windmiller
2. Roll Call	Quorum	M. Bennett
3. Public Comment	Information	Chair Windmiller
4. Approval of the Minutes of the May 21, 2020 Combined Operations and Audit, Finance & Administration Committees, Open Meeting	Approval	Chair Windmiller
5. Single Bid Contract with Dove Equipment - Paint Booth Man Lifts Replacement	Approval	J. Mefford-Miller D. Curry / G. Smith
6. Contract Modification: Time Extension of Contract with Jacobs Engineering for General On-Call GEC Design and Engineering Consultant Services	Approval	J. Mefford-Miller C. Poehler / G. Smith
7. Sole Source Contract with INIT for COPILOT Retrofit Project	Approval	J. Mefford-Miller / L. Jackson / G. Smith
8. License Agreement between Bi-State Development and Great Rivers Greenway for Chouteau Greenway Trail Improvements	Approval	J. Langa / J. Braun
9. Memorandum of Understanding Between St. Louis Regional Freightway, St. Louis Community College, and Schneider National Carriers for the Administration and Implementation of a Truck Driver Training and Apprenticeship Program	Approval	M. Lamie
10. FY2021 Annual Audit Work Plan	Approval	A. Staicoff
11. Bi-State Safety Oversight: 2019 Annual Update	Information	A. Ghiassi
12. IAD Audit Follow-Up Summary – 4 <sup>th</sup> Qtr. FY2020	Information	A. Staicoff
13. IAD Status Report – 4 <sup>th</sup> Qtr. FY2020	Information	A. Staicoff
14. IAD SSO-Status Report – 2 <sup>nd</sup> Qtr.-Calendar Yr. 2020	Information	A. Staicoff

Agenda	Disposition	Presentation
15. Treasury-Safekeeping Accts. Audit, Ending June 30, 2020	Information	A. Staicoff
16. Pension Plans, 401(k) Retirement Savings Program and OPEB Trust Investment Performance Update as of June 30, 2020	Information	C. Stewart
17. Update on Risk Management Insurance Program	Information	C. Stewart / K. Brittin
18. FY2020 Quarterly Financial Statements – 4 <sup>th</sup> Quarter ended June 30, 3030	Information	M. Vago
19. Treasurer’s Report – Quarter Ended March 31, 2020	Information	T. Fulbright
20. Quarterly Procurement Report FY2020	Information	G. Smith
21. Compliance and Ethics “State of the Agency”	Information	K. Swagler
22. Operations Report	Information	J. Mefford-Miller
23. President/CEO Report	Information	T. Roach
24. Unscheduled Business	Approval	Chair Zimmerman
25. Call for the Dates of Future Board & Committee Meetings	Information	M. Bennett
26. Adjournment to Executive Session**	Approval	Chair Zimmerman
27. Reconvene to Open Session	Approval	Chair Zimmerman
28. Adjournment	Approval	Chair Zimmerman
<p><i>**If such action is approved by a majority vote of The Bi-State Development Agency’s Board of Commissioners who constitute a quorum, the Board may go into closed session to discuss legal, confidential, or privileged matters pursuant to Bi-State Development Board Policy Chapter 10, Section 10.080 (D) Closed Records: Legal under §10.080(D)(1); Real Estate under §10.080(D)(2); Personnel under §10.080(D)(3); Health Proceedings under §10.080(D)(4); Employee Negotiations under §10.080(D)(5); Data Processing under §10.080(D)(6); Purchasing and Contracts under §10.080(D)(7); Proprietary Interest under §10.080 (D)(8); Hotlines under §10.080(D)(9); Auditors under §10.080(D)(10); Security under §10.080(D)(11); Computers under §10.080(D)(12); Personal Access Codes under §10.080(D)(13); Personal Information under §10.080(D)(14); Insurance Information under §10.080(D)(15); Rail, Bus, or Facilities Safety and Accidents under §10.080(D)(16) or Protected By Law under §10.080(D)(17).</i></p>		

**\*Note:** Public comment may be made at the written request of a member of the public specifying the topic(s) to be addressed and provided to the Agency’s information officer at least 48 hours prior to the meeting.

No public comment shall be allowed by parties or their legal counsel in connection with any matter involving a pending bid protest, litigation, or legal matter. The following rules shall be observed: 1) All individuals shall state their name, address and topic for comment; 2) All individuals shall address the Chair and shall not proceed with public comment until recognized by the Chair; 3) No disrespectful language may be used or comments with respect to personalities shall be made; 4) An individual called to order by the Chair shall immediately desist from speaking until permitted to continue by the Chair; and 5) Public comment by an individual shall be limited to five minutes, unless permission to continue is given by motion adopted by the Board.

**Open Session Item**

**4**

**BI-STATE DEVELOPMENT  
COMBINED OPERATIONS / AUDIT, FINANCE & ADMINISTRATION  
COMMITTEE MEETING  
(VIRTUAL MEETING)  
OPEN SESSION MINUTES  
May 21, 2020**

**Operations Committee Members Participating via Zoom**

Derrick Cox  
Irma Golliday  
Vernal Brown  
Rose Windmiller

**Audit, Finance & Administration Committee Members Participating via Zoom**

Justin Zimmerman – Acting Chair  
Herbert Simmons  
Constance Gully  
Aliah Holman, Chair (noted that she would need to leave the meeting early)  
Fred Pestello – Absent

**Other Board Members Participating via Zoom**

Terry Beach

**Staff Participating via Zoom**

Taulby Roach, President and Chief Executive Officer  
Barbara Enneking, General Counsel and Deputy Secretary  
Myra Bennett, Manager of Board Administration  
Brenda Deertz, Administrator/Executive Assistant to the President/CEO  
Jessica Mefford-Miller, Executive Director Metro Transit  
Tammy Fulbright, Sr. Director, Financial Planning & Treasury  
John Langa, Vice President Economic Development  
Charles Stewart, Executive Vice President Organizational Effectiveness  
Kevin Scott, General Manager of Field Security  
Mark Vago, Sr. Vice President Chief Financial Officer, Accounting  
Angela Staicoff, Sr. Internal Auditor  
Gregory A. Smith, Vice President of Procurement & Inventory Management  
Andrew Ghiassi, Director of Safety  
Kerry Kinkade, Vice President & Chief Information Officer  
David Toben, Director of Benefits

**Additional Participants via Zoom**

Brett Runge, ASL Interpreter

**1. Open Session Call to Order**

**9:22 a.m.** Acting Chair Zimmerman called the Open Session of the Combined Operations / Audit, Finance & Administration Committee Meeting to order at 9:22 a.m.

**2. Roll Call**

**9:23 a.m.** Roll call was taken, as noted above.

**3. Public Comment**

**9:23 a.m.** Chair Zimmerman asked Ms. Bennett if any speaker cards have been received for today's meeting. Ms. Bennett noted that no speaker cards were submitted.

**4. Minutes of the March 20, 2020 Combined Operations Committee and Audit, Finance & Administration Committee, Open Meeting**

**9:23 a.m.** The minutes of the March 20, 2020, Combined Operations Committee and Audit, Finance & Administration Committee, Open Meeting were provided in the Committee packet. A motion to approve the minutes was made by Commissioner Holman and seconded by Commissioner Brown.

**The motion passed unanimously.**

**5. Potential Refunding of Bonds Issued to Finance Arch Motor Set Replacements**

**9:24 a.m.** A briefing paper was presented to the Audit, Finance and Administration Committee, for discussion and referral to the Board of Commissioners for approval, regarding a resolution authorizing the refinancing (the Refunding) of BSD's Taxable Series 2014 Bonds issued in support of the Gateway Arch. Tammy Fulbright, Senior Director for Financial Planning and Treasury, gave a brief overview of this item. She noted that, although market conditions are not currently favorable, it is anticipated that the market conditions will change, and staff would like to be prepared to move forward with refunding of these bonds, if this happens.

A motion to approve this agenda item, as presented, was made by Commissioner Simmons and seconded by Commissioner Cox. **The motion passed.**

**6. Letter of Agreement between Bi-State Development and The Jerry Costello Group, LLC for Consulting Services for the St. Louis Regional Freightway and Bi-State Development**

**9:26 a.m.** A briefing paper was provided in the Committee packet, regarding a request to refer to the Board of Commissioners, for approval, an authorization to enter into a Letter of Agreement between Bi-State Development and The Jerry Costello Group, LLC for Consulting Services for the St. Louis Regional Freightway and Bi-State Development.

Commissioner Windmiller stated that she is supportive of the use of consultants; however, it is important that the Agency specifies the scope of work and deliverables.

Commissioner Zimmerman stated that he spoke with Congressman Costello, who walked him through their efforts for the Agency. Commissioner Zimmerman stated that he informed Mr. Costello that the Board of Commissioners takes their oversight role seriously, and it is anticipated

that the Costello Group will be providing a report, or will be addressing the Board, to give updates on their efforts.

President/CEO Roach stated that he spoke with Mary Lamie, Executive Vice President Multimodal Enterprises, this morning to address some of the concerns voiced by Commissioner Windmiller. He noted the assistance that has been provided regarding the CARES legislation, and noted that the Costello Group has been very instrumental in this process. Commissioner Simmons stated that he feels that the Agency needs every voice it can get, at this time.

A motion to approve this agenda item, as presented, was made by Commissioner Simmons and seconded by Commissioner Golliday. **The motion passed.**

**7. Contract Modification: Extension of Contract with The Harlan Company for Installation of Brentwood Bus Garage Oil and Water Separator**

**9:33 a.m.** A briefing paper was provided in the Committee packet, regarding a request to refer to the Board of Commissioners, for approval, authorization for the President & CEO to execute a contract modification with The Harlan Company for the continuation of construction services of the Oil-Water Separator at the Brentwood Bus Garage. Jessica Mefford-Miller, Executive Director Metro Transit, gave a brief overview of this issue, noting the history of the project and the previous contract extension, and she requested an additional contract extension to be approved through September 2020.

A motion to approve this agenda item, as presented, was made by Commissioner Gully and seconded by Commissioner Brown. **The motion passed unanimously.**

**8. Contract Award – Project Support Services by Center for Transportation and the Environment**

**9:34 a.m.** A briefing paper was provided in the Committee packet, regarding a request to refer to the Board of Commissioners, for approval, a contract with the Center for Transportation and the Environment for additional Project Support Services, as needed, throughout the initial implementation of the Battery Electric Bus fleet. Jessica Mefford-Miller, Executive Director Metro Transit, gave a brief overview of this issue.

A motion to approve this agenda item, as presented, was made by Commissioner Holman and seconded by Commissioner Gully. **The motion passed unanimously.**

**9. Contract Award – WSP USA Inc. On-Call General Engineering Consultant**

**9:36 a.m.** A briefing paper was provided in the Committee packet, regarding a request to refer to the Board of Commissioners, approval to enter into a contract with WSP USA, Inc., to provide On-Call Architectural and Engineering services. It was noted that the contract would consist of three base years, and two, one year option periods, which will be awarded at the discretion of Bi-State Development. Jessica Mefford-Miller, Executive Director Metro Transit, gave a brief overview of this issue.

A motion to approve this agenda item, as presented, was made by Commissioner Brown and seconded by Commissioner Gully. **The motion passed unanimously.**



**10. Emergency Contract Award – Vobis Sanus LLC (DBA BrightStar Care) for Employee Temperature Screening**

**9:38 a.m.** A briefing paper was provided in the Committee packet, regarding a request to approve an emergency contract award for employee temperature screenings to Vobis Sanus LLC (DBA BrightStar Care). Dave Toben provided a brief overview of this issue. He noted that, in response to the COVID-19 pandemic, senior leadership initiated an employee safety program to screen employee body temperatures upon reporting to work. He stated that the Bi-State Development (BSD) Organizational Effectiveness division quickly sought out temporary medical staffing vendors, and on March 18, 2020, a total of three (3) vendors responded to the outreach. Elite Medical Staffing, Medical Staffing Network and BrightStar Care. Pricing obtained ranged from \$65 per hour for registered nurses to \$30 per hour for certified nursing assistants and/or home health aides. He noted that BrightStar Care was selected, as they were able to immediately provide resources to begin screenings by Monday March 23, 2020, at an acceptable cost per hour between \$30 and \$35. Mr. Toben noted that the costs have averaged approximately \$77,000 per week, and currently total \$421,214.23. He stated that staff is requesting that the President & CEO be authorized to continue funding the current employee temperature screening process as needed, while providing cost updates at each Board meeting, until a technical solution is established.

Commissioner Windmiller asked if there is an estimated time for implementation of a technical solution. President/CEO Roach noted that this will be addressed in the next agenda item. It was noted that this expense is currently being covered by the CARES Act.

A motion to approve this agenda item, as presented, was made by Commissioner Holman and seconded by Commissioner Simmons. **The motion passed unanimously.**

**11. Emergency Contract Award – DH Pace Company, Inc. for Employee Temperature Screening Gateways**

**9:42 a.m.** A briefing paper was provided in the Committee packet, regarding a request to refer to the Board of Commissioners, approval of an emergency contract award for the purchase of 7 Temperature Monitoring Portals from DH Pace Company, Inc. in an amount of \$114,100, which will allow the Agency to transition away from manual screening. Andrew Ghiassi, Director of Safety, provided a brief overview of this issue and how the equipment will work. Discussion held regarding other safety measures currently in effect. Commissioner Zimmerman stated that staff should feel free to report these types of activities to the Board. He stated that the Board of Commissioners is concerned, and staff should not feel that they are “bothering” the Board.

A motion to approve this agenda item, as presented, was made by Commissioner Simmons and seconded by Commissioner Golliday. **The motion passed unanimously.**

**12. Agreement with St. Clair County, Illinois Transit District**

**9:46 a.m.** A briefing paper was provided in the Committee packet, regarding a request to refer to the Board of Commissioners, approval to enter into an Agreement (“Agreement”) with the St. Clair County, Illinois Transit District (“District”) allowing BSD to assume responsibility for managing the dates, locations, times, and duties of all St. Clair County Sheriff secondary patrols on BSD facilities and conveyances within the District’s boundaries and to reimburse BSD for its respective share of providing such secondary St. Clair County Sheriff secondary patrols. Kevin

Scott, General Manager of Field Security, provided a brief overview of this issue, noting that this Agreement is for the consolidation of secondary law enforcement resources spent for BSD facilities and conveyances within the St. Clair County, Illinois Transit District boundaries. He also noted that St. Clair County Sheriff's Deputies, who are currently part-time secondary law enforcement employees of BSD, will be coordinated by BSD to staff selected posts within the District. Commissioner Gully posed questions regarding how the locations are identified, in comparison to where the incidents of crime are highest. Mr. Scott stated that locations will be determined through a collaboration with the Police Departments, and will be based on data collected. He also noted that the Agency receives monthly reports from the Federal data base, which helps in the assessment of where deployment is needed.

A motion to approve this agenda item, as presented, was made by Commissioner Gully and seconded by Commissioner Cox. **The motion passed.** (Commissioner Simmons abstained from the vote.)

**13. Sole Source Contracts for Hardware and Software Maintenance**

**9:51 a.m.** A briefing paper was provided in the Committee packet, regarding a request to refer to the Board of Commissioners, approval of sole source contracts for Hardware and Software Maintenance as budgeted for FY 2021. Kerry Kinkade, Vice President & Chief Information Officer, provided a brief overview of this issue, noting that BSD's FY 2021 Operating Budget allocates approximately \$3,002,000 for costs associated with hardware and software maintenance contracts. He noted that most of the contracts are less than \$100,000 per year, therefore, do not require approval of the Board of Commissioners; however, there are six providers, whose annual costs are anticipated to exceed the \$100,000 threshold which requires Board approval (as noted below).

<u>Supplier</u>	<u>Product Description</u>	<u>Annual Cost</u>
Kronos	Employee Timekeeping System	\$ 145,000
Oracle	Financial/ERP System	\$ 558,000
Scheidt and Bachmann	Farebox Management System	\$ 328,000
Giro	Operator Dispatch System	\$ 138,000
Tableau	Business Analytics & Reporting	\$ 136,000
Trapeze	Operations & Customer Svc. Systems	\$ 1,029,000

A motion to approve this agenda item, as presented, was made by Commissioner Gully and seconded by Commissioner Brown. **The motion passed.**

**14. Metro Transit's Agency Safety Plan**

**9:55 a.m.** A briefing paper was provided in the Committee packet, regarding a request to refer to the Board of Commissioners, approval of the Metro Transit's Agency Safety Plan, which meets and is responsive to the FTA's Public Transportation Agency Safety Program (PTASP) requirements, as set forth by 49 CFR Part 673. Andrew Ghiassi, Director of Safety, provided a brief overview of this issue, noting that Metro Transit's Agency Safety Plan guides the effort in managing safety risks and hazards within our transportation system. He noted that the plan includes the following elements:

- Processes and procedures for establishing a Safety Management System, which consists of four main elements: (1) Safety Management Policy, (2) Safety Risk Management, (3) Safety Assurance, and (4) Safety Promotion.
- Performance targets based on the safety performance criteria established under the National Public Transportation Safety Plan (49 CFR 673.11(a)(3)).
- Addresses all applicable requirements and standards as set forth in the FTA's Public Transportation Safety Program and the National Public Transportation Safety Plan (49 CFR 673.11(a)(4)).
- Establishes a process and timeline for conducting an annual review and update of the Public Transportation Agency Safety Plan (49 CFR 673.11(a)(5)).

A motion to approve this agenda item, as presented, was made by Commissioner Windmiller and seconded by Commissioner Gully. **The motion passed unanimously.**

**15. – 19. 9:58 a.m.** Acting Chair Zimmerman noted that, “Items #15 through #19 consist of reports prepared by the Internal Audit Department, as information only, including:

- Treasury-Safekeeping Quarterly Accounts – Ending December 31, 2019
- Treasury-Safekeeping Quarterly Accounts – Ending March 31, 2020
- Internal Audit Follow-Up Summary – 3rd Quarter FY2020
- Internal Audit Status Report – 3rd Quarter FY2020
- Internal Audit State Safety Oversight Status Report – 1st Quarter – Calendar Year 2020

He noted that Angela Staicoff, Sr. Internal Auditor, is in attendance, if there are any questions pertaining to these reports. Being no questions, the Chair moved to Item #20.

**20. Pension Plans, 401(k) Retirement Savings Program and OPEB Trust Investment Performance Update as of December 31, 2019**

**9:59 a.m.** A briefing paper was provided in the Committee packet, regarding the Pension Plans, 401(k) Retirement Savings Program and OPEB Trust Investment Performance Update as of December 31, 2019. Charles Stewart, Executive Vice President Organizational Effectiveness, provided a brief overview of this issue, noting that 2019 was a very good year for investments. This item was presented as information only, and no action by the Committee is required.

**21. Financial Statements**

**10:01 a.m.** Financial Statements for the third quarter of FY20 were included in the Committee Packet for review. Mark Vago, Sr. Vice President & Chief Financial Officer, provided a brief summary of the statements, as well as an overview of the impacts of the COVID-19 situation on revenues and the year to date losses. This item was presented as information only, and no action by the Committee is required.

**22. Treasurers Report**

**10:06 a.m.** A Treasurer’s Report for the quarter ended March 31<sup>st</sup> was included in the Committee Packet. Tammy Fulbright, Sr. Director, Financial Planning & Treasury, provided a brief overview of this issue. This item was presented as information only, and no action by the Committee is required.

**23. Procurement Report 2nd Quarter & 3<sup>rd</sup> Quarter– FY20**

**10:08 a.m.** A memorandum was provided in the Committee packet, to provide a summary of the quarterly procurement activity for the second and third quarters of fiscal year 2020. These reports were presented for information only, and no action of the Committee is required.

**24. Metro Transit Operations Report**

**10:10 a.m.** An operations report for Metro Transit was included in the Committee packet. Jessica Mefford-Miller, Executive Director of Metro Transit provided information to the Committee regarding the COVID-19 situation. She noted that ridership is down approximately 70% for MetroLink, 50% for MetroBus, and 46% for Call A Ride. Although ridership has fallen, she noted that this is not as steep of a decline as many other transit systems have experienced. Ms. Mefford-Miller noted that keeping team members and customers safe is the highest concern, and the use of masks for all passengers and operators has been implemented, along with the increased cleaning and disinfecting, which has been in effect for several months. She noted that fare collection will resume on June 1<sup>st</sup>. Ms. Mefford-Miller also reported on the operational impact that the COVID situation has had on the system, and commended staff, especially the operators and front line employees, for their dedication. She noted that absenteeism has increased, and Metro has had over 400 COVID related absences. She stated that a schedule change is anticipated for June 15, 2020, for the busiest routes. Ms. Mefford-Miller reported that work on implementing a mobile ticketing system is continuing. This item was submitted as information only, and no action is needed by the Committee.

Commissioner Cox thanked Ms. Mefford-Miller for her dedication. Additional discussion was held regarding the implementation of the mask requirement, and the way in which information is being distributed to the customers.

**25. President/CEO Report**

**10:26 a.m.** Bi-State Development President/CEO Taulby Roach expressed concerns regarding staff exhaustion. He noted that staff has been working six to seven days per week, and he commended staff for all of their efforts. Mr. Roach noted that Metro Transit typically experiences three to four service changes per year; however, transit has experienced three to four services changes in the past several months. He also noted that he is moving forward with the presentation of the FY21 budget to our partners, and will be seeking full approval from the St. Louis County Council in the near future.

**26. Unscheduled Business**

**10:30 a.m. Single Bid – Widening Newstead Avenue Grade Crossing Signal System Modifications.** A briefing paper was provided in the Committee packet, regarding a request to refer to the Board of Commissioners, approval to enter into a contract with Wissehr Electrical Contractors to deliver MetroLink Signal System Modifications – Newstead Avenue Grade Crossing associated with Washington University School of Medicine roadway improvements. Jessica Mefford-Miller, Executive Director Metro Transit, gave a brief overview of this issue, noting that this is part of the Central West End project, and will ensure that the project continues as scheduled.

A motion to approve this agenda item, as presented, was made by Commissioner Brown and seconded by Commissioner Simmons. **The motion passed.** (Commissioner Windmiller abstained from the vote.)

**Commissioner Holman left the meeting at approximately 10:30 a.m.**

**27. Call of Dates for Future Board and Committee Meetings**

**10:32 a.m.** Myra Bennett, Manager of Board Administration, advised the Committee of the upcoming meetings, as follows:

Tentative schedule:

- Security Sub-Committee Meeting:	Thursday	June 11, 2020	8:30 AM
- Board of Commissioners Meeting:	Friday	June 26, 2020	8:30 AM
- Security Sub-Committee Meeting:	Thursday	August 13, 2020	8:30 AM
- Operations/Audit Finance Committee:	Thursday	August 21, 2020	8:30 AM

It was noted that currently, there are no scheduled meetings to be held in the month of July.

**28. Adjournment to Executive Session – If such action is approved by a majority vote of the Bi-State Development Agency’s Board of Commissioners who constitute a quorum, the Board may go into closed session to discuss legal, confidential, or privileged matters pursuant to Bi-State Development Board Policy Chapter 10, §10.080(D) Closed Records; Legal under §10.080(D)(1); Real Estate under §10.080(D)(2); Personnel under §10.080(D)(3); Health Proceedings under §10.080(D)(4); Employee Negotiations under §10.080(D)(5); Data Processing under §10.080(D)(6); Purchasing and Contracts under §10.080(D)(7); Proprietary Interest under §10.080(D)(8); Hotlines under §10.080(D)(9); Auditors under §10.080(D)(10); Security under §10.080(D)(11); Computers under §10.080(D)(12); Personal Access Codes under §10.080(D)(13); Personal Information under §10.080(D)(14); Insurance Information under §10.080(D)(15); Rail, Bus, or Facilities Safety and Accidents under §10.080(D)(16) or Protected By Law under §10.080(D)(17).**

**10:33 a.m.** Acting Chair Zimmerman requested a motion to allow the Committee to move into closed session as permitted under Bi-State Development Board Policy, Chapter 10, Section 10.080, (D) (1) – Legal; (D) (2) – Real Estate; and (D) (10) – Audit.

A motion to move into Executive Session was made by Commissioner Simmons and seconded by Commissioner Gully. A roll call vote was taken as follows:

Rose Windmiller – Yea  
Constance Gully – Yea  
Vernal Brown – Yea

Terry Beach – Yea  
Derrick Cox – Yea  
Irma Golliday – Yea  
Herbert Simmons – Yea  
Justin Zimmerman – Yea

**Motion passed unanimously, and the Committee moved into Executive Session at 10:34 a.m.**

**29. Reconvene to Open Meeting**

**10:46 a.m.** The Committee reconvened to the Open Meeting at approximately 10:46 a.m.

Acting Chair Zimmerman noted that, per recent changes to Board Policy, no final action votes will be taken in a closed meeting or closed (executive) session. For items requiring final action, a roll call vote shall be taken in open session.

Commissioner Brown made a motion to approve the Minutes from the March 20, 2020, Executive Session of the combined meeting of the Operations and Audit, Finance, & Administration Committee, as a closed record. The motion was seconded by Commissioner Windmiller.

Rose Windmiller – Yea  
Constance Gully – Yea  
Vernal Brown – Yea

Terry Beach – Yea  
Derrick Cox – Yea  
Irma Golliday – Yea  
Herbert Simmons – Yea  
Justin Zimmerman – Yea

**The motion passed.**

Commissioner Gully made a motion to approve the Agreement between Bi-State Development (BSD) and St. Clair County Transit District (SCCTD) for Communications and 911 Centers at the Emerson Park - MetroLink Facility, as presented. The motion was seconded by Commissioner Windmiller.

Rose Windmiller – Yea  
Constance Gully – Yea  
Vernal Brown – Yea

Terry Beach – Yea  
Derrick Cox – Yea  
Irma Golliday – Yea  
Herbert Simmons – Abstain  
Justin Zimmerman – Yea

**The motion passed.**

**30. Adjournment**

**10:49 a.m.** Acting Chair Zimmerman asked if there was any further business. Being none, Commissioner Cox made a motion to adjourn the meeting, and the motion was seconded by Commissioner Gully. Unanimous vote in favor taken. Motion passed, and the meeting was adjourned at approximately 10:50 a.m.

**Open Session Item**

**5**

**Bi-State Development Agency  
Combined Operations Committee and  
Audit, Finance & Administration Committee  
Open Session Agenda Item  
August 27, 2020**

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**From:** Jessica Mefford-Miller, Executive Director Metro Transit  
**Subject:** **Single Bid Contract with Dove Equipment - Paint Booth Man Lifts Replacement**  
**Disposition:** Approval  
**Presentation:** Darren Curry, Chief Mechanical Officer  
Greg Smith, Vice President Purchasing, Materials Management and Supplier Diversity

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**Objective:**

To present to the Operations Committee, for discussion and referral to the Board of Commissioners for approval, a request to award a single bid contract to Dove Equipment for the replacement of two man lifts located at Bi-State Development's (BSD) Central Facility.

**Background:**

The existing man lifts on each side of the paint booth located at BSD Central Facility are old, unsafe, and parts for repairing are obsolete. It is necessary and prudent to demolish and replace the existing man lifts, in order to maintain reliable function as originally intended, to safely elevate personnel and their tools and equipment while utilizing the paint booth when painting buses. The man lifts must meet certification standards and come equipped with a certified safety harness for each lift, with the capability of handling a load capacity of a minimum of 500 lbs.

Solicitation 20-SB-129954-CG - Paint Booth Man Lifts Replacement was issued on June 17, 2020, seeking bids from qualified companies that could demolish/dispose existing man lifts and install new equipment. The sealed bid was advertised in Bi-State Development's iSupplier Portal. The iSupplier Portal is the agency's web-based communication tool structured to allow interested bidders full and open access to view, communicate, and submit bids on active solicitations.

To encourage competitive bidding, communications were sent to companies requesting status of their intentions to participate in bidding prior to the bid due date. The below responses were received:

<b>Company</b>	<b>Reason for non-participation</b>
PaintBooth.com	Does not have personnel resources
Accudraft	Lift equipment will not meet the specifications
Blastone	Firm felt this project would not be a good fit for their organization at this time
LPI	Does not have the capabilities to do the demolition or installation but work closely with qualified distributors like Dove Equipment



**Analysis:**

On July 14, 2020, one bid was received from Dove Equipment, which included pricing for equipment and installation as shown below:

Item #	Pricing provided by Dove Equipment	Item Ext Price
1	LPI Manlifts	\$97,142.00
2	Installation	\$24,230.00
	Total Price:	<b>\$121,372.00</b>

Dove's pricing, compared to the Independent Cost Estimate (**ICE**) prepared by the Project Manager/Superintendent of Facilities Maintenance Building & Grounds, does not exceed the Independent Cost Estimate.

Independent Cost Estimate (ICE)		
1	Equipment, Labor, Installation, materials	\$300,000.00

Due to Dove Equipment being the only company that participated in submitting pricing for equipment and installation, the sealed bid method will be converted to a negotiated procurement. Current fluctuations in steel price and the possibility that delays may occur during the demolition phase may impact the availability of installation crews and possible adjustment in pricing.

**Committee Action Requested:**

Management recommends that the Operations Committee accept, and forward to the Board of Commissioners for approval, a single bid (negotiated procurement) to Dove Equipment, in the not to exceed amount of **\$133,509.00** for equipment, installation, demolition, and labor, which includes 10% contingency.

**Funding Source:**

Funding will be provided from approved Federal Transit Administration (**FTA**) Grant number MO-2016-026 and Prop M.



**Bi-State Development Agency  
Combined Operations Committee and  
Audit Finance & Administration Committee  
Open Session Agenda Item  
August 27, 2020**

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**From:** Jessica Mefford-Miller, Executive Director Metro Transit  
**Subject:** **Contract Modification: Time Extension of Contract with Jacobs Engineering for General On-Call (GEC) Design and Engineering Consultant Services**  
**Disposition:** Approval  
**Presentation:** Christopher C. Poehler, Assistant Executive Director Engineering Systems;  
Gregory A. Smith, Vice President Procurement & Inventory Management

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**Objective:**

To present to the Operations Committee, for discussion and referral to the Board of Commissioners for approval, a request to authorize the President & CEO to execute a contract modification for a no cost time extension with Jacobs engineering for the continuation of On-Call GEC Design and Engineering Consulting Services for task Orders/task Order modifications, created and executed under contract number 16-RFP-102111-CG.

**Previous Board Action:**

The Board of Commissioners' approval was granted April 26, 2019, for Contract Modification Three with Jacobs Engineering for General On-Call (**GEC**) Design and Engineering Consultant Services, increasing the contract amount from \$1,500,000 to \$2,500,000.

**Background:**

In April 2016, Bi-State Development (**BSD**) entered into a contract with Jacobs Engineering for On-Call Design & Engineering Consulting Services for a period of three base years and two option years. After completion of three base years and option year one, the agency decided not to exercise option year two with Jacobs Engineering.

Two, 90-day contract extensions have been issued (Contract Modification Nos. 4 and 5) which allowed Jacobs Engineering to continue as BSD's On-Call Engineering and Design Consulting Firm of record during the issuance of the new solicitation until awarding of the new contract. Contract Modification No. 5 allowed Jacobs to receive new task order modifications up to July 1, 2020 and required all task orders to be completed by September 30, 2020.

**Analysis:**

As a result of the final task order (Task Order No. 32) being issued on June 30, 2020, for services during construction of the Emerson Park Building Renovation Project, the contract end date will need to be extended past the September 20, 2020, deadline. The period of performance for Task Order No. 32 is approximately ten months. Therefore, additional time is required to allow Jacobs Engineering to complete the services outlined in Task Order No. 32 by incorporating a time extension for ten months.

Open Session Agenda Item  
Combined Operations Committee and  
Audit, Finance and Administration Committee  
Contract Modification: Time Extension Jacobs Engineering-General On-Call (GEC) Design  
& Engineering Consultant Services  
August 27, 2020  
Page 2

**Funding Source:**

Funding for task orders and task order modifications approved from capital projects, local funding, or included in operating budgets.

**Committee Action Requested:**

Management recommends that the Operations Committee accept, and forward to the Board of Commissioners for approval, this request to allow BSD to issue a contract modification for a time extension to Jacobs Engineering extending the contract end date to July 31, 2021.



**Bi-State Development Agency  
Combined Operations Committee and  
Audit, Finance & Administration Committee  
Open Session Agenda Item  
August 27, 2020**

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<b>From:</b>	Jessica N. Mefford-Miller, Executive Director Metro Transit
<b>Subject:</b>	<b>Sole Source Contract with INIT for COPILOT Retrofit Project</b>
<b>Disposition:</b>	Approval
<b>Presentation:</b>	Jessica N. Mefford-Miller, Executive Director Metro Transit; Larry Jackson, Executive Vice President of Administration; Gregory A. Smith, Vice President of Procurement & Inventory Management

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**Objective:**

To present to the Operations Committee, for discussion and referral to the Board of Commissioners, a request for approval to contract with INIT, Innovations in Transportation, Inc., to retrofit the aged COPILOT equipment currently used on the MetroLink light rail system. INIT develops Intelligent Transportation System (ITS) solutions for public transit, and Metro has used their COPILOT on-board computer products for nearly 20 years, notably for its Automatic Passenger Counting (APC) function. Components of the system have aged beyond regular maintenance and require replacement.

**Background:**

Metro Planning & System Development Division, in collaboration with Metro Vehicle Maintenance Division and various departments around the Agency, utilize the APC data collected by the INIT equipment that was originally installed on MetroLink light rail vehicles (LRVs) in 2001. Nearly 20 years later, there is a pressing need to replace the obsolete equipment for which there are no longer replacement parts to continue maintenance. The APC function provides critical information to Metro, which the Research, Service Planning, and Scheduling Departments in the Planning Division use to collect and report light rail ridership, adjust schedules according to demand, and formulate service decisions related to bus-light rail connections.

This contract would enable Metro to upgrade its full LRV fleet from the COPILOT softkey to COPILOTpc2 products, with new antennas, new main mounting brackets, new cables and integration to IBIS interface for the existing sensors already installed on MetroLink vehicles. INIT would also upgrade the existing software to include the Object Maintenance Information System (OMIS), which is a daily error reporting program that will improve the efficiency and response time for equipment maintenance needs. Additionally, retrofitting the COPILOT system would allow for other potential upgrades in the future, which could enable enhancements such as real-time passenger counting and automated announcements.

**Analysis:**

Since the initial installment of COPILOT products on board MetroLink LRVs in 2001, the Metro Vehicle Maintenance Division has successfully been able to obtain replacement parts and keep the computers and related equipment in working condition; however, there have been increasing issues of equipment obsolescence in recent years. This has led Metro to engage INIT in 2017, for \$28,000 to install the upgraded COPILOTpc2 system (plus the new Matrix sensors), as a pilot test on one

of MetroLink's LRVs. This pilot for the equipment upgrade and installation on one vehicle included corrections to the WiFi access point that the new equipment required. This single COPILOTpc2 has been upgraded since first installation, with the latest version running since February 2019. Metro has learned from this pilot, and with further understanding of the upgraded INIT product, staff applied for a project from Metro's capital budget to retrofit the entire fleet with the upgraded COPILOTpc2 computers.

Staff believes that pricing is fair and reasonable and requests permission to engage INIT for the retrofit of this equipment on board MetroLink LRV vehicles, at the cost not to exceed \$570,000.

This INIT contract will include:

- Automatic Passenger Counting Vehicle Onboard computer (**COPILOTpc2**) to replace the COPILOT softkey (for full fleet of 87 MetroLink vehicles, plus five spare sets included)
- Multi Band Antenna (with GPS)
- Vehicle software license
- Planning and installation
- On-site APC maintenance training
- One-year extended warranty for hardware and software
- OMIS daily error reporting (program and one-year license fee)

Product installation can begin approximately 5-6 months after Notice to Proceed, as that is the standard time frame for acquiring and preparing the equipment. Product delays related to COVID-19 are unknown at this time.

**Committee Action Requested:**

Management recommends that the Operations Committee accept, and forward to the Board of Commissioners for approval, a contract with INIT for an amount not to exceed \$570,000.

**Funding Source:**

Funding for this project is included in the FY21 capital budget, with 80% from federal State of Good Repair funding, and a 20% local match.





**Bi-State Development Agency  
Combined Operations Committee and  
Audit, Finance and Administration Committee  
Open Session Agenda Item  
August 27, 2020**

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<b>From:</b>	John Langa, Vice President, Economic Development
<b>Subject:</b>	<b>License Agreement between Bi-State Development (BSD) and Great Rivers Greenway (GRG) for Chouteau Greenway Trail Improvements</b>
<b>Disposition:</b>	<b>Approval</b>
<b>Presentation:</b>	John Langa, Vice President, Economic Development, Jeff Braun, Director, Real Estate

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**Objective:**

To present to the Bi-State Development (**BSD**) Operations Committee (**Committee**) for consideration, and referral to the BSD Board of Commissioners (**Board**) for approval, a License Agreement (**Agreement**) between BSD and Great Rivers Greenway (**GRG**), a public agency, for Trail Improvements in the Chouteau Greenway area.

**Background:**

- BSD and GRG have a long-standing positive working relationship related to GRG providing greenways throughout the region, and in a number of cases, these greenways coinciding with or crossing BSD MetroLink alignments, all of which offer the community at large additional modes of transportation.
- BSD, GRG and CORTEX have been working together in the development of a trail that generally runs along the northern edge of the MetroLink alignment, from Euclid to Grand, including the Central West End, CORTEX and Grand MetroLink station areas and the Vandeventer Avenue MetroLink Bridge. GRG's Chouteau Greenway, which will generally run between Kingshighway and the Mississippi River, includes these MetroLink areas, as well as non-BSD properties further east and west.
- GRG and BSD staff and legal counsel have prepared an Agreement whereby BSD would license to GRG portions of the BSD MetroLink alignment for 50-years for the installation of a public walking, hiking and biking trail. GRG would be responsible for any such improvements, with BSD review and approval of GRG's design, with GRG responsible for maintenance.
- The prospective trail improvements are not contemplated within the active space of the MetroLink alignment, nor involve crossing the light rail tracks.
- Attachment A includes an Agreement and an exhibit noting the BSD properties included in this public improvement effort. BSD and GRG staff and legal counsel prepared this Agreement.

### **Analysis**

The proposed Agreement would enable GRG to install and maintain formal pedestrian and bicycle linkage through this part of the Chouteau Greenway. This public project should improve the transportation modality for these MetroLink stations, as well as the overall transit system, much like other trail system improvements which benefit the MetroLink alignment throughout the region.

### **Committee Action Requested:**

The Bi-State Development (**BSD**) Operations Committee (**Committee**) consider, and refer to the BSD Board of Commissioners (**Board**) for approval, a License Agreement (**Agreement**) between BSD and Great Rivers Greenway (**GRG**), a public agency, for Trail Improvements in the Chouteau Greenway area.

### **Funding Source:**

BSD Planning, MOW, Operations, Engineering, Real Estate and Legal staff have, and will, continue to be involved on this project. Other than staff time, no BSD funds are being expended on this project with design, installation and maintenance all the responsibility of GRG.

### **Attachments:**

Attachment A            License Agreement

**Open Session Item 8**  
**Attachment A**

LICENSE AGREEMENT

THIS LICENSE AGREEMENT ("Agreement") is entered into as of the \_\_\_\_ day of \_\_\_\_\_, 2020 (the "Effective Date"), by and between Bi-State Development Agency of the Missouri-Illinois Metropolitan District, d/b/a Metro ("Metro" or "Licensor") and Metropolitan Park and Recreation District d/b/a The Great Rivers Greenway District, a corporate and political subdivision of the State of Missouri ("Licensee").

WHEREAS, Metro is the owner of the MetroLink right-of-way, located between Euclid Avenue and Grand Avenue and including the Central West End, Cortex and Grand MetroLink Stations in the City of St. Louis, State of Missouri, which is located along the MetroLink tracks shown on **Exhibit A**, attached hereto and incorporated by reference herein (the "Property"); and

WHEREAS, Licensee has requested that Licensor convey to Licensee a non-exclusive license for a portion of the Property (the "Licensed Premises") located along the northern edge of the Property, south of the MetroLink tracks on the Property west of Vandeventer Avenue, and on the northern portion of the Vandeventer MetroLink bridge, specifically depicted as the shaded area on **Exhibit A**, to develop, construct, maintain, repair, replace, inspect and operate a public hiking, biking and walking trail, including culverts required for the intended use of the Licensed Premises, (collectively the "Licensed Use"); and

WHEREAS, Licensor is willing to grant to Licensee, and Licensee agrees to accept, the license described herein for the Licensed Use, subject to the terms and conditions of this Agreement; and

NOW THEREFORE, in consideration of the foregoing and the following mutual covenants, terms and conditions, Licensor and Licensee agree as follows:

1. **Licensed Premises.** Licensee is granted a license to the Licensed Premises to build and operate a walking and cycling trail as more fully described herein.
2. **Terms of License.** Licensee shall have a license to the Licensed Premises for a term of fifty (50) years from the date both parties execute this Agreement, so long as said property is used as a public hiking, biking and walking trail. This Agreement shall renew automatically for an additional term of twenty-five (25) years, unless this Agreement is terminated by either party by prior written notice given at least three hundred sixty-five (365) days prior to the expiration of the current term of this Agreement.
3. **Construction of Improvements.** Licensee shall pay all costs associated with the construction of the improvements to be made on the Licensed Premises.
4. **Approval of Plans.** Prior to construction of any improvements on the Licensed Premises, Metro shall receive a copy of all plans relating to the work to be performed. Within sixty (60) days of its receipt of these plans, Metro will notify Licensee in writing of any required changes in such plans. Failure of Metro to comment within said sixty (60) day period shall be deemed to be approval of said plans. Licensee shall be permitted to conduct surveys, site investigation, soils testing and other preliminary surveys prior to plan approval.

In addition, should Metro determine that the Licensed Premises will be required for Metro's use, Metro will give Licensee written notice one hundred eighty (180) days prior to issuing a notice to proceed for the design of a light rail corridor alignment that impacts any part of the Property. If said reactivation requires relocation of the Licensed Premises and a relocation of the public hiking, biking and walking trail constructed by Licensee, Licensee agrees to make such modifications at its own cost and expense.

5. **Staff Commitment.** Licensee agrees to commit adequate staff to the tasks of planning, constructing and maintaining the Licensed Premises. Metro agrees to commit adequate staff to the tasks of coordinating and approving all tasks to be performed hereunder. Each party shall bear the costs of its own staff time.

6. **Coordination with Other Entities.** Licensee shall be responsible for negotiating with third parties which may have additional or conflicting easements to the Licensed Premises. Metro agrees to provide cooperation to Licensee in the execution and filing of all documents required for that purpose. In addition, Metro agrees to provide a list of all existing entities with easements impacting the Property and shall send notice to Licensee sixty (60) days in advance of the execution of any new easements impacting the Property.

7. **Long Term Maintenance.** Licensee intends to develop cooperative agreements with various municipalities or other entities along the Licensed Premises to provide maintenance and security for the trail to be developed. Metro agrees to execute all documents necessary to accomplish that purpose.

8. **Indemnification.** To the extent permitted by law, Licensee shall indemnify and hold the Licensor harmless from any damage and liability whatsoever, including reasonable attorney's fees and other legal costs incurred by Licensor, that may be occasioned by reason of the Licensee's construction, installation, maintenance, repair, replacement and use of the Licensed Premises for the full term of this Agreement. Nothing in this Section 8 shall be construed as a waiver by the Licensor or the Licensee of any right to assert sovereign immunity as a defense to any claim by a third person and nothing in this Agreement is intended to create any rights to any entity as a third-party beneficiary of this Agreement.

9. **Notices.** All notices required or permitted under this Agreement shall be deemed served when received by personal delivery, by nationally recognized overnight carrier or certified mail, return receipt requested, postage prepaid at the following addresses:

**Licensor:**

Bi-State Development Agency  
of the Missouri/Illinois Metropolitan  
d/b/a Metro  
211 N. Broadway, Suite 700  
St. Louis, MO 63102

**Licensee:**

Metropolitan Park and Recreation  
District d/b/a The Great Rivers District  
6178 Delmar Blvd.  
St. Louis, MO 63112  
Attn: CEO

10. **Insurance.** Licensee, at its sole cost and expense, shall procure and maintain in effect liability insurance. Furnishing of insurance by Licensee shall not limit Licensee's liability under this Agreement.

11. **Entire Agreement.** This Agreement and all exhibits hereto, which by this reference are

specifically incorporated herein, constitute the entire agreement and understanding between the parties. All prior negotiations and agreements between the parties are superseded by this Agreement, and there are no representations, warranties, understandings or agreements other than those expressly set forth within.

12. **Amendment.** This Agreement shall not be deemed effective unless and until it is signed by both parties and may only be amended by mutual consent in writing, signed by both parties.

13. **Severability.** If any one or more of the provisions of this Agreement shall, for any reason, be held invalid, illegal, or unenforceable in any respect, such invalidity, illegality or unenforceability shall not affect any other provision herein, and this Agreement shall be construed as if such invalid, illegal, or unenforceable provision had not been contained herein; provided however, that if permitted by applicable law, any invalid, illegal or unenforceable provision may be considered in determining the intent of the parties with respect to the other provisions of this Agreement.

14. **Governing Law.** This Agreement shall be interpreted, construed and enforced in accordance with the laws of the State of Missouri.

[SIGNATURES IMMEDIATELY FOLLOW]

WHEREAS, the parties have set their hands the day and date first above written.

**LICENSEE**

METROPOLITAN PARK AND  
RECREATION DISTRICT d/b/a  
THE GREAT RIVERS GREENWAY  
DISTRICT

By: \_\_\_\_\_

Name: Susan Trautman  
Title: CEO

**LICENSOR**

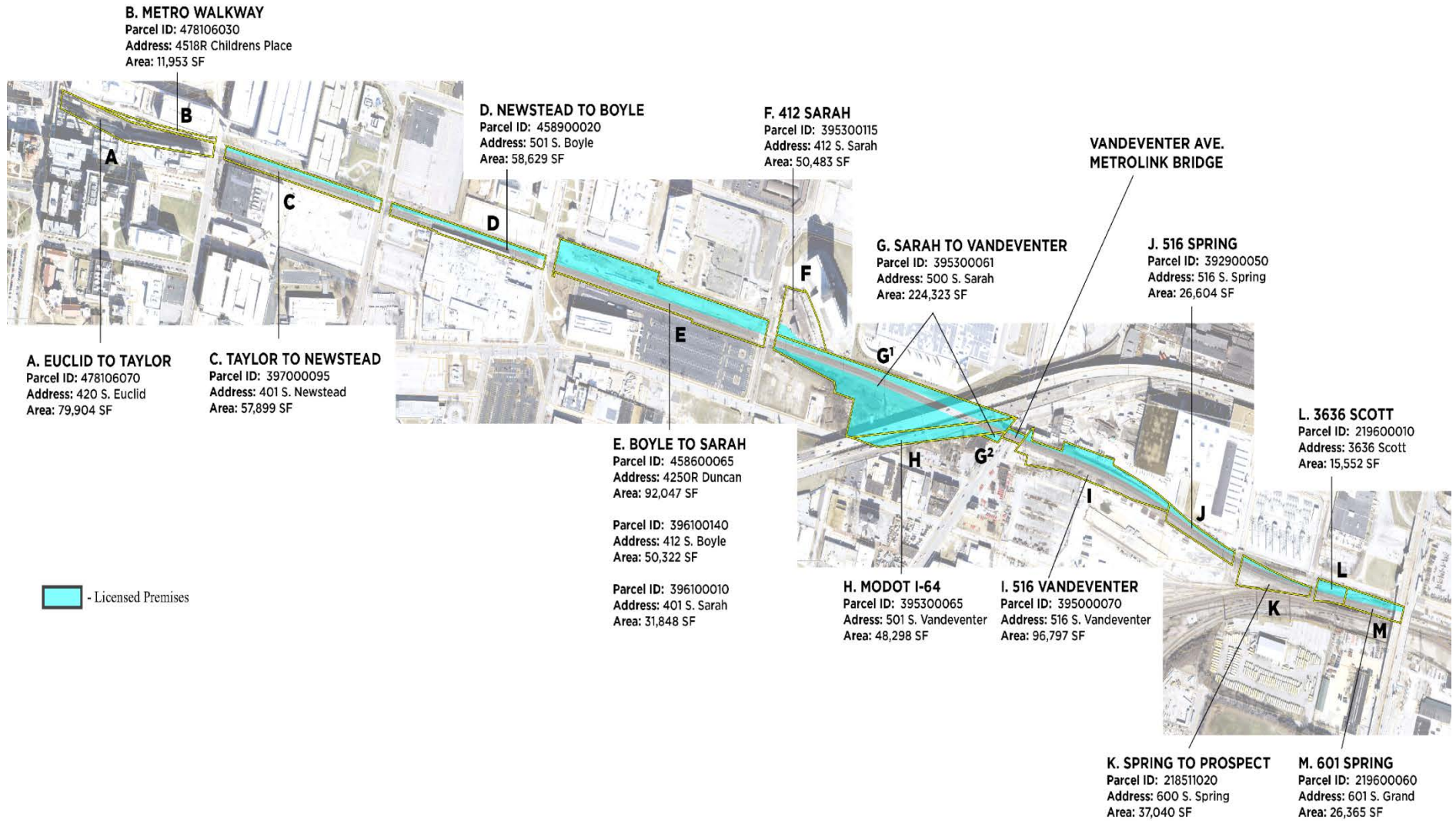
BI-STATE DEVELOPMENT  
AGENCY OF THE MISSOURI-  
ILLINOIS METROPOLITAN  
DISTRICT d/b/a METRO

By: \_\_\_\_\_

Name: \_\_\_\_\_  
Title: \_\_\_\_\_

# Attachment A

## EXHIBIT A





**Open Session Item**

**9**

**Bi-State Development Agency  
Combined Operations Committee and  
Audit, Finance & Administration Committee  
Open Session Agenda Item  
August 27, 2020**

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**From:** Mary Lamie, Executive Vice President of Multi Modal Enterprises, Bi-State Development  
**Subject:** **Memorandum of Understanding Between St. Louis Regional Freightway, St. Louis Community College, and Schneider National Carriers for the Administration and Implementation of a Truck Driver Training and Apprenticeship Program**  
**Disposition:** Approval  
**Presentation:** Mary Lamie, Executive Vice President of Multi Modal Enterprises

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**Objective:**

To present to the Committee, for discussion and referral to the Board of Commissioners for approval, a Memorandum of Understanding (**MOU**) between St. Louis Regional Freightway (**Freightway**), St. Louis Community College (**STLCC**), and Schneider National Carriers, Inc. (**Schneider**) for the administration and implementation of a truck driver training and apprenticeship program (**Apprenticeship Program**).

**Previous Board Actions:**

On November 17, 2017, the Board of Commissioners approved an MOU for the initial Apprenticeship Program between the Freightway, STLCC, and the St. Louis Agency on Training and Employment (**SLATE**).

**Board Policy:**

No Board Policy applies; however, Missouri Revised Statutes §70.220 and §70.230 require agreements between municipalities or other units of government to be approved by the Governing Board of such entity.

**Funding Source:**

On September 1, 2017, the Freightway received grant funding from TransPORTs for an amount of Fifteen Thousand Dollars and 00/100 (\$15,000.00). TransPORTs is a d/b/a of South Central Louisiana Technical College, which received a U.S. Department of Labor national industry intermediary contract to create or expand registered apprenticeship programs nationwide.

Shortly after receiving the funds, TransPORTs indicated that the program needed to include a variety of manufacturing and transportation-related fields, and the Freightway offered to return the funds in 2018. Upon further discussion, it was agreed the funds provided by TransPORTs could be used solely for the creation of a truck driver apprenticeship. During this time period, the Freightway has retained possession of the full funding amount. Most recently, the Freightway helped arrange an agreement between STLCC and a partner trucking company, Schneider.

Tuition for the Apprenticeship Program classroom-related instruction provided by STLCC is Five Thousand Dollars and 00/100 (\$5,000.00) per apprentice. Under this new agreement, the Freightway will use the funds provided by TransPORTs to defray the tuition costs of the Apprenticeship Program, for up to three (3) participants.

**Background:**

The Apprenticeship Program was initially created based on the identified shortage of qualified truck drivers by the transportation industry, a shortage that is expected to continue growing over time. In addition, it is anticipated the U.S. will experience a 45 percent increase in freight volume by 2045. Schneider has acknowledged the ability and desire to hire new truck drivers but is lacking a trained workforce from which to hire.

The Freightway and STLCC are seeking to address this shortage and promote meaningful career opportunities to unemployed or underemployed individuals, by providing a truck driver training and apprenticeship program. This Apprenticeship Program will be implemented in accordance with the basic standards of the U.S. Department of Labor, Office of Apprenticeship.

The Apprenticeship Program aligns with the Freightway's goal of strengthening the St. Louis region by increasing job growth through manufacturing and logistics. As the sponsor of this program, the Freightway will be responsible for all administration and implementation.

**Analysis:**

As the Registered Apprenticeship Program Sponsor, the Freightway will serve as the workforce intermediary; STLCC will provide classroom education; and Schneider will promote and market the Apprenticeship Program to job seekers, while also implementing and administering apprenticeship activities, including on-the-job learning (OJL). The organizations share the common goal and purpose of supporting a robust environment for freight activity in the St. Louis region and will leverage their existing resources to support a well-trained labor pool with skills tailored to the truck driving industry.

**Committee Action Requested:**

It is recommended that the Operations Committee and Audit, Finance & Administration Committee accept, and refer to the Board of Commissioners for approval, a request to authorize the President and CEO to execute Memorandum of Understanding between St. Louis Regional Freightway, St. Louis Community College, and Schneider National Carriers, Inc., regarding the truck driver training and apprenticeship program.

**Attachment:**

Draft Memorandum of Understanding between St. Louis Regional Freightway, St. Louis Community College, and Schneider National Carriers, Inc. regarding the truck driver training and apprenticeship program.

**Open Session Item 9**  
**Attachment**

## **Memorandum of Understanding and Cooperation Agreement**

THIS MEMORANDUM OF UNDERSTANDING AND COOPERATION AGREEMENT ("MOU") is entered into this 21<sup>st</sup> day of February, 2020, by and between The Bi-State Development Agency of the Missouri-Illinois Metropolitan District ("BSD"), St. Louis Community College ("STLCC") and Schneider National Carriers, Inc. ("Schneider") (each hereinafter referred to as a "Party" and collectively as the "Parties") in connection with the administration and implementation of a truck driver training and apprenticeship program.

WHEREAS, BSD desires to maintain and expand its ability to provide economic development and to act as a resource in the coordination of regional freight activity for manufacturing, logistics and multimodal transportation companies through the St. Louis Regional Freightway ("Freightway"); and

WHEREAS, the transportation industry has a recognized shortage of qualified truck drivers that is anticipated to continue to grow; and

WHEREAS, in order to help address the shortage and promote meaningful employment in the St. Louis bi-state region, especially for unemployed or under-employed individuals, BSD through the St. Louis Regional Freightway ("BSD/Freightway"), and STLCC have developed a truck driver training and apprenticeship program; and

WHEREAS, BSD/Freightway, STLCC and Schneider wish to memorialize their agreement and to describe their respective roles and responsibilities in connection therewith; and

NOW, THEREFORE, in consideration of the mutual promises herein, the Parties agree as follows:

### **Section 1. Apprenticeship Program General Description & Goals**

- (a) The *Standards of Apprenticeship Developed by St. Louis Regional Freightway in Collaboration with Participating Partners for the Occupation of Truck Driver*, attached hereto as Exhibit I and incorporated herein by reference, has been approved and registered with the U.S. Department of Labor, Office of Apprenticeship ("OA") for registered apprenticeships (the "Registered Apprenticeship Program" or "Program") and includes classroom related instruction and On-the-Job learning ("OJL").
- (b) The Parties acknowledge and agree that tuition for the Registered Apprenticeship Program classroom related instruction is Five Thousand Dollars and 00/100 (\$5000.00) per apprentice.
- (c) The Parties acknowledge and agree that BSD has secured grant funding in the amount of Fifteen Thousand and 00/100 (\$15,000.00) that will be used to defray the tuition costs of the Registered Apprenticeship Program for three participants.
- (d) The Parties acknowledge and agree that they share a common goal and purpose of offering opportunities to engage participants in the Program who are unemployed or under-employed and that might otherwise not have the financial resources to assume the full costs of tuition.

In no event shall Schneider be deemed the "sponsor" of the program.

## **Section 2. Responsibilities & Expectations.**

(a) **BSD/Freightway.** BSD/Freightway agrees to:

- i) Function as a workforce intermediary and serve as the Registered Apprenticeship Program Sponsor;
- ii) Implement and administer apprenticeship activities in accordance with the Registered Apprenticeship Program;
- iii) Develop and adopt in collaboration with the Parties, as needed, a selection procedure for apprentices;
- iv) Disburse to STLCC Five Thousand Dollars and 00/100 for tuition costs per apprentice, for three apprentices;
- v) Register Program apprentices and perform on-going electronic reporting obligations for the Registered Apprenticeship Program; and
- vi) Administer apprenticeship complaint procedures.

(b) **STLCC.** STLCC agrees to:

- i) Deliver 200 hours of Registered Apprenticeship Program related classroom instruction that prepares participants to complete the OJL portion of the program;
- ii) Ensure that Program instructors delivering related classroom instruction meet Missouri Department of Education requirements for vocational-technical instruction;
- iii) Implement and administer apprenticeship activities in accordance with the Registered Apprenticeship Program;
- iv) Participate in the development, coordination and delivery of weekly Program information sessions for prospective apprentices;
- v) Develop and adopt in collaboration with the Parties, as needed, a selection procedure for apprentices; and
- vi) Coordinate Program participant selection with Schneider and its hiring processes and procedures.

(c) **Schneider.** Schneider agrees to:

- i) Promote and market the Registered Apprenticeship Program to job seekers;
- ii) Develop and adopt in collaboration with the Parties, as needed, an initial selection procedure for apprentices;
  - A) Notwithstanding anything contained in this MOU to the contrary, all Parties agree and acknowledge that Schneider retains the right, in its sole discretion, to determine whether a Program participant is initially qualified and/or remains qualified to be employed by Schneider. Employment of any Program participant shall be, at all times, employment-at-will which is subject to termination by Schneider or the Program participant at any time, and with or without cause.
  - B) The Parties further acknowledge that truck drivers routinely work in excess of 40 hours per week, and that such work shall be deemed part of the OJL experience obtained by Program participants.
- iii) Coordinate Program participant selection and hiring with STLCC and any criteria developed by the Parties; and
- iv) Implement and administer apprenticeship activities, including OJL, in accordance with the Registered Apprenticeship Program.

### **Section 3. Term.**

This MOU is effective as of the date set forth above and continues for a 24-month period, unless mutually extended, in writing, by the Parties or terminated as provided in Section 6.

### **Section 4. Authority.**

The Parties agree and acknowledge that any cooperative activity undertaken in connection with this MOU and the Registered Apprenticeship Program may be accomplished only to the extent consistent with the laws, regulations, authorities and policies governing each Party.

### **Section 5. Termination.**

Notwithstanding any provision herein to the contrary, in the event that Registered Apprenticeship Program is cancelled or abandoned, or the funding for the tuition costs or services to be provided by any Party are withdrawn, then any of BSD/Freightway, Schneider or STLCC that are not then in breach of this MOU may withdraw from this MOU upon 60 days written notice to all remaining Parties. Subject to the foregoing, any withdrawal from this MOU shall not affect the validity or continuation of the MOU with respect to the remaining Parties. This MOU may be terminated by a mutual decision of the Parties.

### **Section 6. Administration of Registered Apprenticeship Program.**

In accordance with and subject to the terms of this MOU, BSD/Freightway will be the sole Sponsor of the Registered Program and shall manage and administer the Registered Apprenticeship Program. The Parties shall provide all documentation reasonably requested by BSD/Freightway and the OA in connection with the review, approval and audit of the Registered Apprenticeship Program and Registered Program.

The Parties shall undertake their respective responsibilities under this MOU in accordance with applicable U.S. Department of Labor and OA rules, regulations, guidelines, and policies and the requirements as set forth in **Exhibit I**. If there is any conflict between the terms of this MOU and the terms of the Registered Apprenticeship Program, the terms of the Registered Apprenticeship Program shall control.

Responsibilities and requirements under Section 7 shall survive the termination of this MOU.

### **Section 7. Events of Default.**

If any one or more of the following events occurs and is continuing, it is hereby defined as and declared to be and to constitute an Event of Default:

(a) Default in the due and punctual payment of any cost or reimbursement required pursuant to this MOU;

(b) Default in the due observance or performance of any other covenant, agreement, obligation or provision of the MOU on the part of any Party to be observed or performed, and continuance of such default for 30 days after the non-defaulting Party (or Parties) has given the defaulting Party written notice specifying such default, or such longer period as shall be reasonably required to cure such default, provided that (i) the defaulting Party has commenced such cure within said 30-day period, and (ii) the defaulting Party diligently prosecutes such cure to completion.

### **Section 8. Remedies on Default.**

If any Event of Default has occurred and is continuing, Parties may, at such Party's election, take any one or more of the following actions:

(a) A Party may suspend, stop or terminate work on the Registered Apprenticeship Program, including the payment of all costs, expenses, and fees;

(b) By mandamus or other suit, action or proceeding at law or in equity, to enforce its rights against the Party or Parties, as applicable, and its officers, agents, employees, and to require and compel duties and obligations required by the provisions of this MOU; and

(c) Take any other action at law or equity to enforce this MOU.

No waiver of any breach of the MOU shall operate as a waiver of any subsequent breach of the MOU.

#### **Section 9. No Assignment.**

No Party to this MOU shall assign the agreement as a whole or part without the written consent of the other Parties, nor shall any Party assign any monies due or to become due hereunder without the previous written consent of the other Parties.

#### **Section 10. Notices.**

All notices, invoices or other communications required or desired to be given hereunder shall be in writing and shall be deemed duly delivered and received (a) upon receipt or refusal of delivery, when delivered personally; (b) the day deposited with the U.S. Postal Service, when sent certified or registered mail (postage prepaid), return receipt requested; (c) the day deposited with Federal Express or other overnight courier service (charges prepaid) when sent next-day delivery; and (d) as of the date of email transmission during regular business hours if delivered by email communication to the addresses as follows (or to such other addressee or address as shall be set forth in a notice given in the same manner):

(a) To BSD/Freightway:

The Bi-State Development Agency of the Missouri-Illinois Metropolitan  
District/St. Louis Regional Freightway  
**Attention:** Mary Lamie, Executive Director  
One Metropolitan Square  
211 North Broadway, Suite 700  
St. Louis, Missouri 63102  
E-Mail: [MCLamie@TheFreightway.com](mailto:MCLamie@TheFreightway.com)

With a copy to: Barbara Enneking, General Counsel  
E-Mail: [baenneking@bistatedev.org](mailto:baenneking@bistatedev.org)

(b) To Schneider:

Schneider National Carriers, Inc.  
**Attention:** Andrea Keller  
2737 S. Ridge Road  
Green Bay, WI 54313  
E-Mail: [kellera@schneider.com](mailto:kellera@schneider.com)

(c) To STLCC:

St. Louis Community College – The Corporate College  
3221 McKelvey Rd.  
Bridgeton, MO 63044  
Attention: Rene Dulle, Sr. Program Manager  
E-Mail: [rdulle4@stlcc.edu](mailto:rdulle4@stlcc.edu)



**Section 11. Immunity.**

No recourse shall be had for any claim based upon any representation, obligation, covenant or agreement in this MOU contained against any past, present or future commissioner, officer, employee, or agent of BSD/Freightway, or of any successor public or private corporation thereto, as such, either directly or through BSD/Freightway or any successor public or private corporation thereto, under any rule of law or equity, statute or constitution or by the enforcement of any assessment or penalty or otherwise, and all such liability of any such commissioner, officers, employees, or agents as such is hereby expressly waived and released as a condition of and consideration for the execution of this MOU.

**Section 12. Entire Agreement.**

The Parties agree that this MOU constitutes the entire agreement between the Parties with respect to the subject matter contained herein and that no other agreements or representations other than those contained in this MOU have been made by the Parties.

**Section 13. Amendments and Modifications.**

Any amendment or modification of this MOU, or any consent required pursuant to the provisions of this MOU, shall be authorized by mutual written agreement of the Parties hereto.

**Section 14. Severability.**

If any provision hereof is held invalid or unenforceable by any court of competent jurisdiction, such holding shall not invalidate or render unenforceable any other provisions hereof. In the event that any part, section or subsection of this MOU shall be determined to be invalid or unenforceable, it is the intention of the Parties that there be added as part of this MOU a clause or terms similar to the invalid or unenforceable part as may be possible and be legal, valid and enforceable to the extent same can be accomplished without distorting the intent of the Parties.

**Section 15. Governing Law.**

This MOU shall be governed by and construed in accordance with the laws of the State of Missouri. In interpreting this MOU among the undersigned Parties, the provisions of the BSD Compact shall prevail over any conflicting provisions of other Missouri laws.

**Section 16. Execution in Counterparts.**

This MOU may be executed in counterparts, each of which shall be deemed to be an original and all of which shall constitute but one and the same instrument.

[Remainder of page left intentionally blank]

IN WITNESS WHEREOF, the undersigned have hereunto set their hand as of day and year first written above.

**THE BI-STATE DEVELOPMENT AGENCY OF  
THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT**

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

**SCHNEIDER TRANSPORT, LLC**

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

**ST. LOUIS COMMUNITY COLLEGE**

By: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

## **Exhibit I**

*Standards of Apprenticeship  
Developed by St. Louis Regional Freightway  
In collaboration with Participating Employers  
for the Occupation of Truck Driver*



**Bi-State Development Agency  
Combined Operations Committee and  
Audit, Finance, & Administration Committee  
Open Session Agenda Item  
August 27, 2020**

---

**From:** Angela M. Staicoff, CPA  
Interim Director of Internal Audit  
**Subject:** **FY2021 Annual Audit Work Plan**  
Briefing Paper No. 20-29  
**Disposition:** Approval  
**Presentation:** Angela M. Staicoff, Interim Director of Internal Audit

---

**Objective:**

To present to the Committee, the FY2021 Annual Audit Work Plan for review and approval.

**Background:**

The FY2021 Audit Work Plan will continue to concentrate on areas of greater exposure using a cycled approach to assure adequate coverage. Areas of exposure continue to be all customer revenue, grant revenue and compliance, and the management of employee programs. The proposed schedule of audits for each quarter in FY2021 is presented in Exhibit A of the attached “Fiscal Year 2021 Annual Audit Work Plan.”

**Executive Summary**

The proposed Internal Audit Department’s (**IAD**’s) Audit Work Plan for Fiscal Year (**FY**) 2021 confirms our compliance with the International Standards for the Professional Practice of Internal Auditing issued by the Institute of Internal Auditors (**IIA**). The Audit Work Plan incorporates a risk-based analysis of Bi-State Development’s (**BSD**’s) operations as its foundation.

IAD will employ an audit strategy to guide how IAD’s resources will be deployed to determine the timing of which audits will be performed. This audit strategy is a key step for the formulation of the Audit Work Plan. This document sets forth the Internal Audit Strategy and the Audit Work Plan that identifies the audit priorities to be addressed during this fiscal year. The Internal Audit Strategy has been used to determine the areas where resources should be allocated. The IAD has also taken into consideration that circumstances may arise during the year; therefore, the Audit Work Plan may be subject to changes.

The Internal Audit Strategy and Audit Work Plan provide:

- A clear view of IAD’s workload;
- A base for assessing the adequacy and deployment of audit resources;
- A yardstick against which progress and performance can be measured; and
- The flexibility to undertake special projects from the Audit, Finance and Administration Committee, President and CEO and/or Senior Management (this supersedes certain audit projects listed in the Audit Work Plan).

The Audit Work Plan for FY2021 confirms our compliance with the relevant professional standards for the Internal Audit Department (**IAD**). The Audit Work Plan incorporates a risk-based analysis of Bi-State Development's (**BSD's**) operations as its foundation, and explains how the IAD plans to utilize its resources to examine various auditable units. In performing these audits, the IAD will provide assurance to the Audit, Finance, and Administration Committee that risks which could prevent BSD from achieving its objectives have been identified. The IAD, working in conjunction with Management, will use the audit reports and related recommendations to develop Corrective Action Plans (**CAPs**) for the assessment and management of these risks.

The scope of the Annual Audit Work Plan is designed to address key risk areas in the following key systems:

- Corporate Systems: These include the overarching functions managed centrally to ensure effective operations, risk management and corporate governance;
- Support Systems: These include those functions and systems that contribute towards the overall objectives indirectly through providing services and resources to the Operational systems; and
- Operational Systems: These include the main functions associated with the core activities of BSD.

**Analysis:**

The Audit Work Plan provides a detailed list of audit projects to be performed during the fiscal year.

**Committee Action Requested:**

Based on the documentation presented to the Committee, approval is recommended for the Fiscal Year 2021 Audit Work Plan.

**Funding Source:**

Funding is provided through the IAD operating budget.

**Attachment:**

1. Draft -FY2021 Annual Audit Work Plan

**Open Session Item 10**  
**Attachment 1**

**INTERNAL AUDIT DEPARTMENT**

**BI-STATE DEVELOPMENT**

**FISCAL YEAR 2021**

**ANNUAL AUDIT WORK PLAN**

**Date Report to be Presented to the Combined Operations/Audit,  
Finance and Administration Committee: August 27, 2020**

**ANGELA M. STAICOFF, CPA**  
***INTERIM DIRECTOR OF INTERNAL AUDIT***

**RITA T. MARION**  
***EXECUTIVE ASSISTANT***



**BI-STATE DEVELOPMENT  
INTERNAL AUDIT DEPARTMENT  
FY2021 ANNUAL AUDIT WORK PLAN**

**Executive Summary**

The proposed Internal Audit Department's (**IAD's**) Audit Work Plan for Fiscal Year (**FY**) 2021 confirms our compliance with the International Standards for the Professional Practice of Internal Auditing issued by the Institute of Internal Auditors (**IIA**). The Audit Work Plan incorporates a risk-based analysis of Bi-State Development's (**BSD's**) operations as its foundation.

IAD will employ an audit strategy to guide how IAD's resources will be deployed to determine the timing of which audits will be performed. This audit strategy is a key step for the formulation of the Audit Work Plan. This document sets forth the Internal Audit Strategy and the Audit Work Plan that identifies the audit priorities to be addressed during this fiscal year. The Internal Audit Strategy has been used to determine the areas where resources should be allocated. The IAD has also taken into consideration that circumstances may arise during the year; therefore, the Audit Work Plan may be subject to changes.

The Internal Audit Strategy and Audit Work Plan provide:

- A clear view of IAD's workload;
- A base for assessing the adequacy and deployment of audit resources;
- A yardstick against which progress and performance can be measured; and
- The flexibility to undertake special projects from the Audit, Finance and Administration Committee, President and CEO and/or Senior Management (this supersedes certain audit projects listed in the Audit Work Plan).

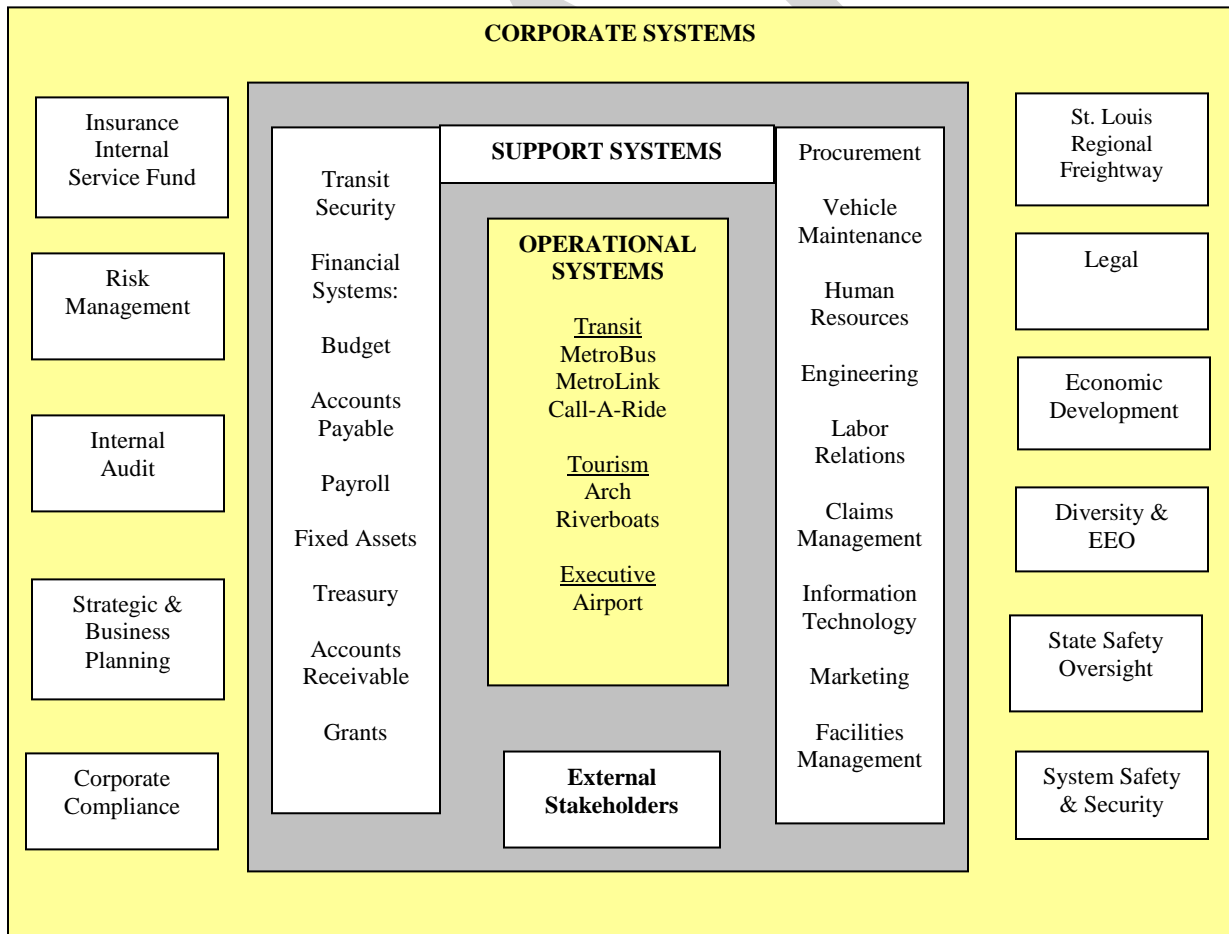
# BI-STATE DEVELOPMENT INTERNAL AUDIT DEPARTMENT FY2021 ANNUAL AUDIT WORK PLAN

## Annual Audit Work Plan

The detailed Audit Work Plan for this Fiscal Year is presented in Exhibit A. This plan sets out how the IAD proposes to provide assurance over BSD's key risks. From time to time, it may be necessary to update the Audit Work Plan to address unforeseen risks that emerge requiring the use of IAD's resources.

The scope of the Audit Work Plan is designed to address the following key systems:

- Corporate Systems: These include the overarching functions managed centrally to ensure effective operations, risk management, and corporate governance;
- Support Systems: These include those functions and systems that contribute towards the overall objectives indirectly through providing services and resources to the operational systems; and
- Operational Systems: These include the main functions associated with BSD's core activities.



**BI-STATE DEVELOPMENT  
INTERNAL AUDIT DEPARTMENT  
FY2021 ANNUAL AUDIT WORK PLAN**

**Quality Assurance**

The IAD's mission is to consistently provide the highest level of professional service to meet BSD's and the Audit, Finance and Administration Committee's needs. The IAD intends to achieve that goal through the following objectives:

- Prepare a detailed Audit Work Plan that will be presented to the Audit, Finance and Administration Committee for approval;
- Provide continuing professional education (CPE's) and training for the IAD staff;
- Utilize the expertise, resources, and technical excellence of the "On-Call" audit firms for specialized Audits;
- Discuss Audit Findings and Recommendations with Management prior to issuing the Draft Audit Report;
- Conduct regular follow-ups and review Management's progress towards the implementation of prior Audit Recommendations;
- Develop a tailored approach for each Audit using a defined methodology, current regulations, and professional audit standards;
- Maintain all Audit files and reports in accordance with the Institute of Internal Auditors (IIA) Quality Assurance Standards;
- Liaison with External Audit to ensure that there is effective communication and cooperation between Internal and External Audit; and
- Work with the following performance measures to achieve the corresponding target.

<b>Performance Measure</b>	<b>Target</b>
Completion of Annual Audit Work Plan	100%
Issuance of draft audit report	10 working days after exit conference
Receipt of Management responses to draft audit report	10 working days after draft audit report has been issued
Issuance of final draft audit report	10 working days after receipt of Management responses
Follow-Up Corrective Action Form And Issuance of Follow-Up Report	Follow-Up starts immediately following the approval of the Draft Audit Report by BSD's Board of Commissioners.
Staff training	A minimum of 40 hours of continuing professional education (CPE's) annually for staff members who are CPA's.

**BI-STATE DEVELOPMENT  
INTERNAL AUDIT DEPARTMENT  
FY2021 ANNUAL AUDIT WORK PLAN**

**Audit Follow-Up**

The IAD has included some specific reviews within the Audit Work Plan to follow up on Recommendations and improvement opportunities identified by previous Internal Audit Reports and by our External Auditors. Also, IAD will track Management's progress made towards implementing respective Recommendations.

The current Interim Director of Internal Audit and the future Chief Audit Executive will provide the Audit, Finance and Administration Committee, Board of Commissioners, President & CEO, and Senior Management with Audit Reports throughout the year to ensure that we are meeting your expectations. IAD will also ensure that effective communication channels are maintained with our External Auditors to make certain that BSD is receiving the maximum benefit from these combined audit resources.

**Internal Audit Department – Professional Staff**

For FY2021 the Internal Audit Department Staffing will be as follows:

To Be Determined – Chief Audit Executive  
Angie Staicoff, CPA – Interim Director of Internal Audit/Senior Internal Auditor  
Kelli Fitzpatrick, CPA – Senior Internal Auditor  
Karl Tyminski, CPA – Senior Internal Auditor – Part-time  
Gary Smith, MBA – SSO Internal Auditor  
Rita Marion, BA – Executive Assistant

During this Fiscal Year, IAD plans to continue the use of “On-Call Contracts” with Certified Public Accounting (CPA) firms and Cyber Security Consultants to assist in the execution of the Annual Audit Work Plan.

**BI-STATE DEVELOPMENT  
INTERNAL AUDIT DEPARTMENT  
FY2021 ANNUAL AUDIT WORK PLAN**

**EXHIBIT A**

**Internal Audit Department  
Proposed FY2021 - Audit Work Plan**

**1<sup>st</sup> Quarter – July, August, September**

---

Safekeeping Treasury Quarterly Accounts Audit – Ending June 30, 2020  
Internal Audit Follow-Up Report  
Internal Audit Department Quarterly Status Report – 4th Quarter Ending June 30, 2020  
Passenger Revenue Ticket Vending Machines (TVM's)  
Workers' Compensation Self-Insurance Fund Audit  
Armored Car Contract Audit

**2<sup>nd</sup> Quarter – October, November, December**

---

Safekeeping Treasury Quarterly Accounts Audit – Ending September 30, 2020  
Internal Audit Follow-Up Report  
Internal Audit Department Quarterly Status Report – 1st Quarter Ending September 30, 2020  
COVID 19 – Emergency Procurement Process  
Information Technology Penetration Test Audit – On-Call Audit  
Arch and Riverboat Ticket Sales Audit

**3<sup>rd</sup> Quarter – January, February, March**

---

Safekeeping Treasury Quarterly Accounts Audit – Ending December 31, 2020  
Internal Audit Follow-Up Report  
Internal Audit Department Quarterly Status Report – 2nd Quarter Ending December 31, 2020  
COVID 19 – CARES Act Compliance  
COVID 19 – Families First Coronavirus Response Act Compliance  
St. Louis Downtown Airport Revenue Audit – On-Call Audit  
Shift Pick Process  
Overall Risk Assessment

**4<sup>th</sup> Quarter – April, May, June**

---

Safekeeping Treasury Quarterly Accounts Audit – Ending March 31, 2021  
Internal Audit Follow-Up Report  
Internal Audit Department Quarterly Status Report – 3rd Quarter Ending March 31, 2021  
DataServ Accounts Payable Audit  
Facility Lost and Found  
Office Supply Program – required every two years  
FY2022 Annual Audit Work Plan

NOTE: The State Safety Oversight (SSO) Audits are presented in a separate Audit Work Plan that is based on the Calendar Year.

**Open Session Item**

**11**

**Bi-State Development Agency  
Combined Operations Committee and  
Audit, Finance & Administration Committee  
Open Session Agenda Item  
August 27, 2020**

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**From:** Andrew J Ghiassi, Director of Safety  
**Subject:** **Bi-State Safety Oversight: 2019 Annual Update**  
**Disposition:** Information  
**Presentation:** Andrew J Ghiassi, Director of Safety

---

**Objective:**

The Bi-State Safety Oversight (BSSO) will report, in conjunction with Metro Safety, the status of MetroLink safety for the 2019 year.

**Background:**

Pursuant 49 CFR Part 674(a)(7), the BSSO must report at least once a year the status of the safety of each rail fixed guideway public transportation system to the Governor, the FTA, and the board of directors, or equivalent entity, of the rail fixed guideway public transportation system.

**Analysis:**

The joint presentation will outline for 2019:

- BSSO Regulations
- BSSO Approvals
- Public Transportation Agency Safety Plan Approval
- Safety Management System Overview
- 2019 Internal Safety and Security Audits
- FTA Reportable Event Summary
- BSSO Joint Program Standard Review
- BSSO/Metro Safety Collaborations

**Committee Action Requested:**

None. Information only.

**Funding Source:**

None. No funding request is being made with this action.

**Attachments:**

1. Metro Transit's Annual Safety Presentation

**Open Session Item 11**  
**Attachment 1**





# BI-STATE SAFETY OVERSIGHT

Program Overview for the Bi-State Development  
Board of Commissioners

# BI-STATE SAFETY OVERSIGHT (BSSO)

**THE MISSOURI AND ILLINOIS DEPARTMENTS OF  
TRANSPORTATION HAVE PARTNERED AS THE BSSO TO  
PROVIDE BSD METRO CONSISTENT OVERSIGHT  
STANDARDS ACROSS BOTH STATES.**

- MoDOT- (1) Program Manager
- IDOT-(1) Program Manager, (4) Program Support Members
- Transportation Resource Associates, Contractor Support

# OVERVIEW



## TOPICS AND HIGHLIGHTS

BSSO Regulation

BSSO Approvals

Public Transportation Agency Safety  
Plan Approval

Safety Management System Overview

2019 Internal Safety and Security Audits

FTA Reportable Event Summary

BSSO Joint Program Standard Review

BSSO/Metro Safety Collaboration



# BSSO REGULATIONS

## FEDERAL REGULATIONS

- SAFETEA-LU 49 USC 5330
- MAP-21 49 USC 5329
- 49 CFR Part 674

## STATE REGULATIONS

- Missouri Revised Statutes  
Chapter 389, Sections 998 & 1005
- Missouri State Code  
7 CSR 265 Chapter 9
- Illinois Compiled Statutes  
45 ILCS 111
- Illinois Executive Orders  
2016-07  
2018-03

# BSSO

APPROVES



- The Metro Public Transportation Agency Safety Plan (PTASP)
- The Metro System Security Plan (SSP)
- The Metro Emergency Preparedness Program Plan (EPPP)
- Metro's RSSP, PTASP, SSP & EPP Internal Audit Reports
- Metro Event Investigation Procedures (EIP)
- All Metro Accident Investigation Reports
- Metro Corrective Action Plans (CAPs)

TITLE 49 CFR PART 674  
MAP-21 SECTION 5329

# BSSO



VERIFIES  
METRO  
COMPLIANCE  
WITH:

- Federal and State Regulations
- BSSO Program Standard Manual (PSM)
- Metro's Public Transportation Agency Safety Plan (PTASP)
- Metro Plans and Procedures approved by BSSO

VERIFIES  
METRO  
COMPLIANCE  
WITH:

- Metro SMS Implementation
- Metro Safety Risk Management Activates
- Metro Event Investigations
- Metro CAP tracking, monitoring and verification of completion



# BSSO

VERIFIES  
COMPLIANCE  
WITH:

- Regulations
- The Public Transportation Agency Safety Plan
- The System Security Plan (SSP)
- The Emergency Preparedness Program Plan (EPPP)
- Metro's Incorporation of SMS into the forthcoming Public Transportation Agency Safety Plan (PTASP)

# METRO AGENCY SAFETY PLAN



**JUNE 25, 2020**

**BOARD APPROVES PTASP**

**JULY 16, 2020**

**BSSO CERTIFIED PTASP**

**JULY 20, 2020**

**FEDERAL DEADLINE**







# SAFETY MANAGEMENT SYSTEM COMPONENTS

**1**

Safety  
Management  
Policy

**2**

Safety Risk  
Management

**3**

Safety  
Assurance

**4**

Safety  
Promotion

# METRO SAFETY FINALIZES EMPLOYEE TRAINING

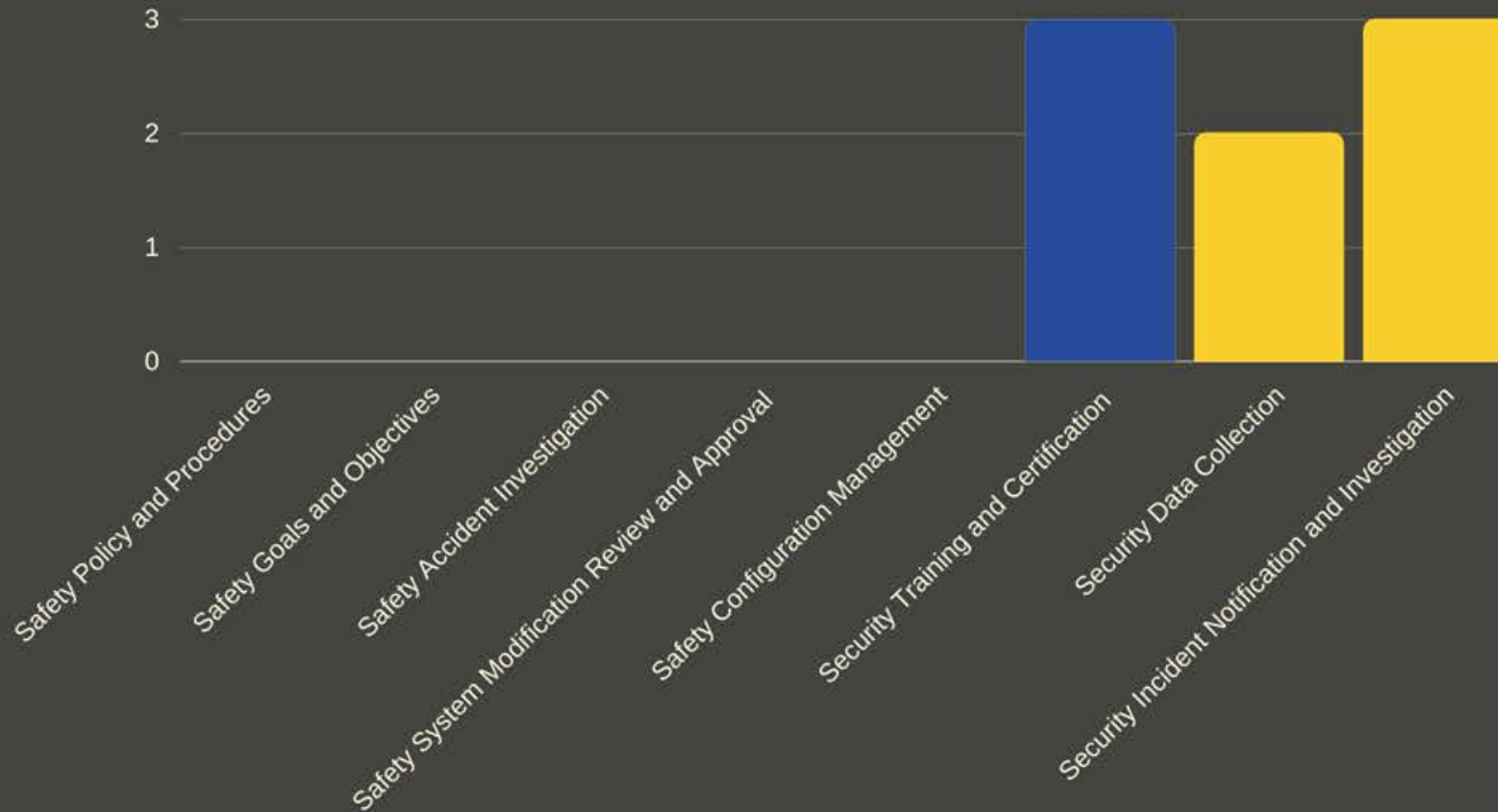
Provided through Metro's LMS

## SMS AWARENESS TRAINING

- Introduction to Metro's Safety Management System.
- Four components of Metro's SMS Framework.
- Importance of Employee Safety Reporting.



# 2019 INTERNAL SAFETY AND SECURITY REVIEW



- IAD recovery plan to bring audit schedule into compliance to complete 2018-2020 audit cycle by 12/31/2020
- New Chief Audit Executive



A white triangle pointing downwards, located in the upper left corner of the slide.

# FTA REPORTABLE EVENT CRITERIA

- A loss of life
- A report of a serious injury to a person
- A collision involving a rail transit vehicle.
- A runaway train.
- An evacuation due to life safety reasons.
- Any derailment of a rail transit vehicle.



# 2019

## REPORTABLE EVENT DATA



2018



2019

# BI-STATE SAFETY OVERSIGHT JOINT PROGRAM STANDARD

## COMPLETED ANNUAL REVISION AND UPDATE OF PSM FOR 2020

### CHANGE SUMMARY

- Enhanced Agency Safety Plan and Safety Management System implementation guidance.
- Updated the Appendices with the BSSO.CAP Form and an Investigation Review Checklist,
- General updates to the agencies staffing and contact information.



# BSSO/METRO COLLABORATION

INTERNAL  
AUDITS

EVENT  
DEBRIEFS

SAFETY  
MEETINGS

FACILITY  
INSPECTIONS

SAFETY  
CERTIFICATION

VEHICLE  
INSPECTIONS

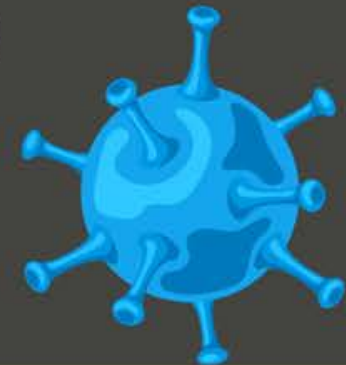
EXERCISES/  
DRILLS

BSSO/METRO  
MEETING



# COVID-19

**BSSO COLLABORATED WITH METRO SAFETY  
AND THE EMERGENCY OPERATIONS CENTER TO  
ESTABLISH AND IMPLEMENT A COVID-19  
SAFETY PLAN FOR THE AGENCY**





A dark, grayscale photograph of the St. Louis skyline at night, with the Gateway Arch and various skyscrapers visible. The image is used as a background for the text.

**FOR MORE INFORMATION EMAIL  
SAFETY@METROSTLOUIS.ORG**



**Bi-State Development Agency  
Combined Operations Committee and  
Audit, Finance, & Administration Committee  
Open Session Agenda item  
August 27, 2020**

---

**From:** Angela M. Staicoff, CPA  
Interim Director of Internal Audit  
**Subject:** **Internal Audit Follow-Up Summary – 4th Quarter FY2020**  
Briefing Paper No. 20-30  
**Disposition:** Information  
**Presentation:** Angela Staicoff, Interim Director of Internal Audit

---

**Objective:**

To present to the Committee the Internal Audit Department's (**IAD's**) Follow-Up Summary Findings regarding the status of prior Recommendations during the 4th Quarter Fiscal Year (**FY**) 2020.

**Background:**

The Standards for the Professional Practice of Internal Auditing, Standard 2500 – Monitoring Process, states that, “The Chief Audit Executive should establish and maintain a system to monitor the disposition of audit results communicated to management.” To ensure compliance with this standard, the IAD regularly monitors the status of recommendations.

The Audit Follow-Up Executive Summary Report, on the following page, is a comprehensive overview highlighting the current implementation status of recommendations issued in prior audit reports. Each Recommendation has been reviewed and its status has been classified as follows:

- **Completed** – The recommendation has been implemented.
- **Outstanding** – The recommendation has not yet been implemented, and/or the implementation date has not occurred yet.
- **Overdue** – The recommendation remains outstanding past the established implementation date.

The report should be used to determine the timeliness and the completeness of the implementation of corrective action. Management should place specific focus on those Recommendations that are determined to be overdue.

In response to the InterCompany Account Balances Audit that was presented to the Board of Commissioners on September 27, 2019, it was suggested that IAD inform the Board of Commissioners of the InterCompany Account Balances quarterly.

Below is the status of the InterCompany Account Balances as of June 30, 2020. (Unaudited)

Entities that are owed money:

- Transit was due \$8,003,912 from others;
- The Worker's Compensation Internal Service Fund was due \$704,228 from others; and
- The Casualty Internal Service Fund was due \$120,830 from others.

Entities that owe money to others:

- The Gateway Arch owed others \$6,279,551;
- Riverfront Attractions owed others \$1,880,224;
- The St. Louis Regional Freightway owed others \$373,658;
- Executive Services owed others \$148,878;
- The Health and Welfare Internal Service Fund owed others \$122,527;
- The Research Institute owed others \$23,284; and
- The St. Louis Downtown Airport owed others \$848.

**Funding Source:**

Funding is provided through the IAD Operating Budget.

**Committee Action Requested:**

This material is presented for information only; therefore, no action is required of the Committee.

### Fourth Quarter-FY2020 Audit Follow-Up Executive Summary

<b>Report Name</b>	<b>Number of Recommendations</b>	<b>Completed</b>	<b>Outstanding – Not Overdue</b>	<b>Overdue</b>
Legal Fees Expense 5030301 Audit	6	2	4	0
Passenger Revenue - Farebox Audit	4	4	0	0
Compliance & Fraud Helpline Audit	5	5	0	0
InterCompany Account Balances Audit	7	6	1	0
ADA “No Show” Policy Audit	7	7	0	0
Fare Collection System Project Audit	2	2	0	0
Small Purchase Requisition Audit	7	2	5	0
Accounts Receivables Core Credits Audit	3	3	0	0
Passenger Revenue-Working Funds Count Audit	5	5	0	0
Casualty Claims Audit	19	15	4	0
Contract Services - Vehicle Maintenance Audit	3	3	0	0
Benefits in Arrears Audit	12	12	0	0
Payroll Hours of Service Audit	14	11	3	0
Accounts Receivables Audit	5	5	0	0
Drug and Alcohol Program Testing Audit - FY2017	11	10	1	0
ID Badge Access Audit	19	19	0	0
Fuel Inventory Audit	6	6	0	0
SSO-Safety Data Collection & Analysis Audit	3	3	0	0
SSO-Compliance, Federal, State and Local Requirements Audit	5	3	2	0
SSO-Drug & Alcohol Testing Audit	15	15	0	0
<b>TOTAL</b>	<b>158</b>	<b>138</b>	<b>20</b>	<b>0</b>

**COMPLETED FY2020 FOLLOW-UP AUDIT REPORTS:**

1. Fuel Inventory Audit - Closed 1<sup>st</sup> Quarter-FY2020
2. Benefits in Arrears Audit - Closed 2<sup>nd</sup> Quarter-FY2020
3. Compliance and Fraud Helpline Audit – Closed 4<sup>th</sup> Quarter-FY2020
4. ADA-No Show Policy Audit – Closed 4<sup>th</sup> Quarter-FY2020
5. Accounts Receivables Core Credit Audit – Closed 4<sup>th</sup> Quarter-FY2020
6. SSO-Drug and Alcohol Testing Audit – Closed 4<sup>th</sup> Quarter-FY2020
7. Passenger Revenue-FareBox Audit-Closed 4<sup>th</sup> Quarter-FY2020



**Bi-State Development Agency  
Combined Operations Committee and  
Audit, Finance & Administration Committee  
Open Session Agenda Item  
August 27, 2020**

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**From:** Angela M. Staicoff, CPA  
Interim Director of Internal Audit  
**Subject:** **Internal Audit Status Report – 4th Quarter FY2020**  
Briefing Paper No. 20-32  
**Disposition:** Information  
**Presentation:** Angela M. Staicoff, Interim Director of Internal Audit

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**Objective:**

To present to the Committee the Internal Audit Department's (**IAD**) Status Report for the 4th Quarter Fiscal Year (**FY**) 2020.

**Background:**

The Internal Audit Status Report provides the Board of Commissioners, the Audit, Finance and Administration Committee members and Senior Management with a summary of the IAD's quarterly activity pertaining to the Annual Audit Plan.

In addition to tracking the status of current audits and special projects, this report also highlights the follow-up activity related to the implementation of recommendations from prior audits.

The IAD highlights for the 4th Quarter FY2020 are as follows:

- Jim Cali, Chief Audit Executive, announced his retirement. Angie Staicoff, Senior Internal Auditor, was appointed as the Interim Director of Internal Audit until a replacement is hired.
- Sally Bender, part-time Internal Auditor, resigned effective June 26, 2020.
- The majority of the IAD staff continued to mainly work remotely from home in response to the COVID-19 pandemic. The remaining staff split their time between the office and home.

**Committee Action Requested:**

This material is presented for information only; therefore, no action is required of the Committee.

**Funding Source:**

Funding is provided through the Internal Audit Operating Budget.

**Attachments:**

1. Internal Audit Status Report – 4th Quarter FY2020
2. Internal Audit Status Report – Special Projects – 4th Quarter FY2020



**Open Session Item 13**  
**Attachment 1**

**Bi-State Development  
Internal Audit Department**

**4th Quarter Status Report  
Ending June 30, 2020**

**Attachment 1**

<b>Fiscal Year 2020 - Audit Plan</b>	<b>Start Date</b>	<b>Completion Date</b>	<b>Status</b>	<b>Completion Rate (Percentage)</b>	<b>Budget</b>	<b>Hours Previous Periods</b>	<b>Hours This Quarter</b>	<b>Total Hours</b>	<b>Hours Remaining</b>
Audit Follow - Up	July 2019		Ongoing	86.01%	620.00	402.25	131.00	533.25	86.75
Quarterly IAD Status Report	July 2019		Ongoing	50.63%	240.00	71.50	50.00	121.50	118.50
Quarterly Treasury Safekeeping Audit	July 2019		Ongoing	22.81%	240.00	48.25	6.50	54.75	185.25
On-Call Bi-State Research Institute Consulting Services - IAD Time	December 2016		In Progress	69.58%	240.00	167.00	0.00	167.00	73.00
Passenger Revenue - Pass Unit	February 2018	August 2019	Complete	100.00%	1,000.00	938.50	0.00	938.50	61.50
Self-Funded Insurance Medical Claims Audit - IAD Time	July 2018	January 2020	Complete	100.00%	120.00	87.75	0.00	87.75	32.25
Due To and Due From Inter-Company Account Balance Audit	December 2018	August 2019	Complete	100.00%	480.00	416.75	0.00	416.75	63.25
Fuel Hedging Program Audit - IAD Time	January 2019		In Progress	71.88%	240.00	149.00	23.50	172.50	67.50
Disadvantaged Business Enterprise (DBE) - "Mock" Triennial Audit	June 2019		In Progress	98.00%	800.00	676.00	108.00	784.00	16.00
Bi-State Research Institute Audit	May 2019		In Progress	60.83%	120.00	73.00	0.00	73.00	47.00
Compliance & Fraud Helpline Audit	March 2019	August 2019	Complete	100.00%	240.00	239.75	0.00	239.75	0.25
Passenger Revenue - Fare Box Audit	June 2019	March 2020	Complete	100.00%	280.00	252.75	0.00	252.75	27.25
ADA "No Show Policy" Audit	June 2019	October 2019	Complete	100.00%	240.00	220.25	0.00	220.25	19.75
<b>Subtotal Audit Hours</b>					<b>4,860.00</b>	<b>3,742.75</b>	<b>319.00</b>	<b>4,061.75</b>	<b>798.25</b>

<b>Fiscal Year 2020 - Audit Plan</b>	<b>Start Date</b>	<b>Completion Date</b>	<b>Status</b>	<b>Completion Rate (Percentage)</b>	<b>Budget</b>	<b>Hours Previous Periods</b>	<b>Hours This Quarter</b>	<b>Total Hours</b>	<b>Hours Remaining</b>
Office Supply Program Audit	June 2019	January 2020	Complete	100.00%	240.00	197.00	0.00	197.00	43.00
Cortex MetroLink Station Project Audit	July 2019		In Progress	48.13%	360.00	87.25	86.00	173.25	186.75
Procurement Card Audit	November 2019		In Progress	92.43%	360.00	249.75	83.00	332.75	27.25
Facility Lost & Found Audit				0.00%	240.00	0.00	0.00	0.00	240.00
Customer Service Audit				0.00%	360.00	0.00	0.00	0.00	360.00
Freightway USDOL Grant - Truck Driver Apprentice Program Audit				0.00%	160.00	0.00	0.00	0.00	160.00
Legal Expenses Audit	September 2019	March 2020	Complete	100.00%	240.00	210.50	0.00	210.50	29.50
Embark Safety Audit				0.00%	120.00	0.00	0.00	0.00	120.00
Small Grants Audit				0.00%	240.00	0.00	0.00	0.00	240.00
Failed DOT Medical Exams Audit	December 2019		In Progress	91.70%	280.00	240.25	16.50	256.75	23.25
Arch and Riverboat Ticket Sales Audit				0.00%	360.00	0.00	0.00	0.00	360.00
St. Louis Downtown Airport Revenue Audit				0.00%	240.00	0.00	0.00	0.00	240.00
DataServ Audit				0.00%	120.00	0.00	0.00	0.00	120.00
Shift Pick Audit				0.00%	240.00	0.00	0.00	0.00	240.00
Customer Contact Responsiveness Audit				0.00%	240.00	0.00	0.00	0.00	240.00
<b>Subtotal Audit Hours</b>					<b>3,800.00</b>	<b>984.75</b>	<b>185.50</b>	<b>1,170.25</b>	<b>2,629.75</b>

<b>Fiscal Year 2020 - Audit Plan</b>	<b>Start Date</b>	<b>Completion Date</b>	<b>Status</b>	<b>Completion Rate (Percentage)</b>	<b>Budget</b>	<b>Hours Previous Periods</b>	<b>Hours This Quarter</b>	<b>Total Hours</b>	<b>Hours Remaining</b>
Armored Car Contract Audit				0.00%	240.00	0.00	0.00	0.00	240.00
Worker's Compensation Self-Insurance Fund Audit	March 2020		In Progress	36.25%	360.00	13.00	117.50	130.50	229.50
Payroll Hours of Service Audit				0.00%	360.00	0.00	0.00	0.00	360.00
Ticket Vending Machines (TVM's) Audit				0.00%	240.00	0.00	0.00	0.00	240.00
FY 2021 Annual Audit Plan & Risk Assessment	March 2020		In Progress	14.79%	120.00	13.75	4.00	17.75	102.25
Passenger Revenue - Bus Special Service (Red Bird Express)	February 2020	March 2020	Completed	100.00%	120.00	53.50	0.00	53.50	66.50
IT Penetration Test - IAD Hours	April 2020		In Progress	3.33%	120.00	0.00	4.00	4.00	116.00
<b>Grand Total Annual Audit Plan</b>					<b>10,220.00</b>	<b>4,807.75</b>	<b>630.00</b>	<b>5,437.75</b>	<b>4,782.25</b>

<b>Fiscal Year 2020 - Audit Plan Summary On-Call Contract Audit Hours</b>	<b>Start Date</b>	<b>Completion Date</b>	<b>Status</b>	<b>Completion Rate (Percentage)</b>	<b>Budget</b>	<b>Hours Previous Periods</b>	<b>Hours This Quarter</b>	<b>Total Hours</b>	<b>Hours Remaining</b>
Fuel Hedging Program Audit - On-Call Contract	March 2020		In Progress	23.33%	480.00	48.25	63.75	112.00	368.00
Research Institute Consulting - On-Call Contract	April 2017		In Progress	67.83%	480.00	325.60	0.00	325.60	154.40
Self-Funded Insurance Medical Claims Audit - On-Call Contract	February 2019	January 2020	Complete	100.00%	620.00	582.00	0.00	582.00	38.00
<b>Total On-Call Contract Audit Hours</b>					<b>1,580.00</b>	<b>955.85</b>	<b>63.75</b>	<b>1,019.60</b>	<b>560.40</b>

**Open Session Item 13**  
**Attachment 2**

<b>Fiscal Year 2020 Special Projects</b>	<b>Start Date</b>	<b>Completion Date</b>	<b>Status</b>	<b>Completion Rate (Percentage)</b>	<b>Budget</b>	<b>Hours Previous Periods</b>	<b>Hours This Quarter</b>	<b>Total Hours</b>	<b>Hours Remaining</b>
Board Meeting / Audit Committee Preparations and Meetings			Ongoing			350.25	45.50	395.75	
CEO Meetings/Projects			Ongoing			16.25	0.00	16.25	
DBE Application Review			Ongoing			72.50	44.00	116.50	
IAD Audit Research / Reading			Ongoing			173.50	74.00	247.50	
Records Retention			Ongoing			199.00	108.00	307.00	
Training & Professional Development			Ongoing			340.75	267.00	607.75	
<b>Total Special Projects Hours</b>					<b>0.00</b>	<b>1,152.25</b>	<b>538.50</b>	<b>1,690.75</b>	<b>0.00</b>

**Open Session Item**

**14**



**Bi-State Development Agency  
Combined Operations Committee and  
Audit, Finance, & Administration Committee  
Open Session Agenda Item  
August 27, 2020**

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**From:** Angela M. Staicoff, CPA  
Interim Director of Internal Audit  
**Subject:** **Internal Audit State Safety Oversight Status Report – 2nd Quarter  
Calendar Year 2020**  
Briefing Paper No. 20-33  
**Disposition:** Information  
**Presentation:** Angela M. Staicoff, Interim Director of Internal Audit

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**Objective:**

To present to the Committee the Internal Audit Department's (**IAD's**) State Safety Oversight (**SSO**) Status Report for the 2nd Quarter of Calendar Year 2020.

**Background:**

The Internal Audit Status Report provides the Board of Commissioners, the Audit, Finance and Administration Committee members and Senior Management with a summary of the IAD's quarterly activity pertaining to the Federal Transit Administration (**FTA**) Required Rail Security and Safety, 2020 - SSO Audit Work Plan.

This status report tracks all current SSO Audits and special projects completed during the 2nd Quarter. . The following Audits were initiated and developed by SSO Internal Auditor, Gary Smith, during the 2nd Quarter:

- SSO – Control Review and Approval of SSPP Audit
- SSO – Management Structure Audit
- SSO – Rules Compliance Audit
- SSO – Emergency Preparedness Program
- SSO – Configuration Management
- SSO – System Modification & Review Approval

The following Audits were completed and submitted to the Bi-State Development (**BSD**) Executive Safety and Security Committee (**ESSC**) for approval. They were also submitted to the Bi-State – State Safety Oversight Committee (**BSSO**) for approval; however, they were subsequently denied by the BSSO. Modifications are pending.

- SSO – Security Data Collection & Analysis Audit
- SSO – Security Incident Notification & Investigation Audit

Open Session Agenda Item  
Combined Operations Committee and  
Audit, Finance, and Administration Committee  
Internal Audit SSO Status Report –2nd Quarter Calendar Year 2020  
August 27, 2020  
Page 2

**Committee Action Requested:**

This material is presented for information only; therefore, no action is required of the Committee.

**Funding Source:**

Funding is provided through the Internal Audit Operating Budget.

**Attachment:**

1. Internal Audit SSO Status Report – 2nd Quarter Calendar Year 2020



<b>Calendar Year 2020 - Audit Plan</b>	<b>Start Date</b>	<b>Completion Date</b>	<b>Status</b>	<b>Completion Rate (Percentage)</b>	<b>Budget</b>	<b>Hours Previous Periods</b>	<b>Hours This Quarter</b>	<b>Total Hours</b>	<b>Hours Remaining</b>
SSO CAP Preparation & Follow-up	January 2020		Ongoing	8.13%	240.00	19.50	0.00	19.50	220.50
SSO Audit Plans	January 2020		Ongoing	42.89%	320.00	129.25	8.00	137.25	182.75
SSO Meetings / Executive Safety & Security Committee Meetings	January 2020		Ongoing	63.54%	120.00	64.75	11.50	76.25	43.75
Training & Professional Development	January 2020		Ongoing	0.00%	320.00	0.00	0.00	0.00	320.00
FTA Required Rail Security Audit - Security Data Collection & Analysis	July 2019		In Progress	100.00%	240.00	184.25	0.00	184.25	55.75
FTA Required Rail Safety Audit - Security Incident Notification & Investigation	July 2019		In Progress	100.00%	240.00	195.00	0.00	195.00	45.00
FTA Required Rail Safety Audit - Control, Review & Approval of SSPP	April 2020		In Progress	47.50%	120.00	0.00	57.00	57.00	63.00
FTA Required Rail Safety Audit - System Modification Review & Approval	October 2019		In Progress	88.48%	280.00	136.25	111.50	247.75	32.25
FTA Required Rail Security Audit - Management Structure	April 2020		In Progress	47.50%	120.00	0.00	57.00	57.00	63.00
FTA Required Rail Safety Audit - Emergency Management Program	April 2020		In Progress	71.25%	80.00	0.00	57.00	57.00	23.00
FTA Required Rail Safety Audit - Rules Compliance	April 2020		In Progress	57.00%	100.00	0.00	57.00	57.00	43.00
FTA Required Rail Safety Audit - Facility & Equipment Safety Inspections				0.00%	40.00	0.00	0.00	0.00	40.00
FTA Required Rail Security Audit - Configuration Management	October 2019		In Progress	92.08%	240.00	106.00	115.00	221.00	19.00
FTA Required Rail Safety Audit - Drug & Alcohol Program	September 2019		In Progress	4.38%	80.00	3.50	0.00	3.50	76.50
<b>Subtotal Audit Hours</b>					<b>2,540.00</b>	<b>838.50</b>	<b>474.00</b>	<b>1,312.50</b>	<b>1,227.50</b>

<b>Calendar Year 2020 - Audit Plan</b>	<b>Start Date</b>	<b>Completion Date</b>	<b>Status</b>	<b>Completion Rate (Percentage)</b>	<b>Budget</b>	<b>Hours Previous Periods</b>	<b>Hours This Quarter</b>	<b>Total Hours</b>	<b>Hours Remaining</b>
FTA Required Rail Safety Audit - Procurement Process				0.00%	24.00	0.00	0.00	0.00	24.00
FTA Required Rail Safety Audit - SSPP - Implementation Activities & Responsibilities				0.00%	16.00	0.00	0.00	0.00	16.00
FTA Required Rail Safety Audit - Safety & Security Certification				0.00%	24.00	0.00	0.00	0.00	24.00
FTA Required Rail Safety Audit -Hazard Management				0.00%	40.00	0.00	0.00	0.00	40.00
FTA Required Rail Safety Audit - Safety Data Collection & Analysis				0.00%	40.00	0.00	0.00	0.00	40.00
FTA Required Rail Safety Audit - Maintenance Audits & Inspections				0.00%	80.00	0.00	0.00	0.00	80.00
FTA Required Rail Safety Audit - Training & Certification Programs				0.00%	40.00	0.00	0.00	0.00	40.00
FTA Required Rail Safety Audit - Compliance: Federal, State, & Local Requirements				0.00%	24.00	0.00	0.00	0.00	24.00
FTA Required Rail Safety Audit - Hazardous Materials Program				0.00%	24.00	0.00	0.00	0.00	24.00
FTA Required Rail Security Audit - Threat & Vulnerability				0.00%	24.00	0.00	0.00	0.00	24.00
FTA Required Rail Security Audit - Personal Security of Passengers & Employees (Protective Measures)				0.00%	40.00	0.00	0.00	0.00	40.00
SSO Litigation Support	December 2019		In Progress	10.52%	240.00	25.25	0.00	25.25	214.75
PTASP - Audit Plan	January 2020		In Progress	31.67%	240.00	68.00	8.00	76.00	164.00
<b>Grand Total Annual Audit Plan</b>					<b>3,396.00</b>	<b>931.75</b>	<b>482.00</b>	<b>1,413.75</b>	<b>1,982.25</b>



**Bi-State Development Agency  
Combined Operations Committee and  
Audit, Finance & Administration Committee  
Open Session Agenda Item  
August 27, 2020**

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**From:** Angela M. Staicoff, CPA  
Interim Director of Internal Audit  
**Subject:** **Treasury-Safekeeping Quarterly Accounts –Ending June 30, 2020**  
Briefing Paper No. 20-31  
**Disposition:** Information  
**Presentation:** Angela M. Staicoff, Interim Director of Internal Audit

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**Objective:**

To provide the Committee with the results of the Treasury - Safekeeping Quarterly Accounts Audit, ending June 30, 2020.

**Background:**

In accordance with the FY2020 Internal Audit Plan and the requirements of the Board Policy, the Internal Audit Department (**IAD**) performed a quarterly audit of the Treasury Safekeeping Accounts.

IAD reviewed the Treasurer's Report, as of June 30, 2020, to identify the Securities classified under the Safekeeping Accounts criteria. Each bank custodian, where the Safekeeping Accounts are held, was contacted to verify the existence of the Securities and to confirm the account balances.

For financial statements issued after June 15, 2015, the Government Accounting Standards Board (**GASB**) Statement No. 72 *Fair Value Measurement and Application* requires investments to be measured at fair value. GASB defines fair value to be the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date.

**Analysis:**

In applying the new GASB Statement No. 72 *Fair Value Measurement and Application*, IAD performed an examination of each bank/safekeeping custodian's account confirmations as compared with the fair values for each investment presented in the Treasurer's Report dated June 30, 2020.

At June 30, 2020, BSD had approximately \$15.8 million in US Treasury and Government Agency Securities. Sales tax capital represented \$10.9 million, Self-Insurance funds consisted of approximately \$2.4 million, and FTA funds represented \$2.5 million.

**Conclusion:**

IAD has determined that the Safekeeping Accounts exist, and the respective balances have been fairly presented. A summary of our findings is presented in the attached table.

**Committee Action Requested:**

This material is presented for information only; therefore, no action is required of the Committee.

**Funding Source:**

Funding is provided through the Internal Audit Operating Budget.

**Attachment:**

1. Treasury Safekeeping Quarterly Accounts Audit – Ending June 30, 2020.



**Open Session Item 15**  
**Attachment 1**

Internal Audit Department  
**INDEPENDENT VERIFICATION for SAFEKEEPING ACCOUNTS**  
**Ending June 30, 2020**

ATTACHMENT

The Treasurer's Report as of June 30, 2020, indicates the following U. S. Securities held in Agency Safekeeping Accounts:

Issuer-Investment (Bank Safekeeping Agent)	Treasurer's Report Balance Stated At Market Value	Confirmed Balance Per Bank Agent Stated At Fair Value	Variance	Description/Disposition
Farm Credit Bank (Bank of America)	\$0.00	\$0.00	\$0.00	
Federal Home Loan (Bank of America)	\$0.00	\$0.00	\$0.00	
U.S. Treasury Bills (Bank of America)	\$13,493,375.00	\$13,493,375.00	\$0.00	
U.S. Treasury Bills (Jefferson Bank & Trust)	\$2,404,524.00	\$2,405,000.00	\$476.00	JBT confirms at par value
<b>Total</b>	<b>\$15,897,899.00</b>	<b>\$15,898,375.00</b>	<b>\$476.00</b>	

**GASB No. 72** = For financial statements issued after June 15, 2015, the Government Accounting Standards Board (**GASB**) Statement No. 72 *Fair Value Measurement and Application* requires investments measured at fair value. GASB defines fair value to be the price that would be received to sell an asset or paid to transfer a liability in an orderly transaction between market participants at the measurement date.

**Open Session Item**

**16**

**Bi-State Development Agency  
Combined Operations Committee and  
Audit, Finance & Administration Committee  
Open Session Agenda Item  
August 27, 2020**

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**From:** Charles A. Stewart, Jr., EVP, Organizational Effectiveness  
**Subject:** **Pension Plans, 401(k) Retirement Savings Program and OPEB Trust  
Investment Performance Update as of June 30, 2020**  
**Disposition:** Information  
**Presentation:** Charles A. Stewart, Jr., EVP, Organizational Effectiveness

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**Objective:**

To present to the Combined Operations Committee and Audit, Finance and Administration Committee the Pension Plans, 401(k) Retirement Savings Program and OPEB Trust Investment Performance Update as of June 30, 2020.

**Background:**

Year to Date June 30, 2020, Pension Plans, 401(k) Retirement Savings Program and OPEB Investment Performance Reports were presented to the respective trustees by Ellwood Associates at the August 2020 trustee meetings.

**Analysis:**

**BSD 401(k) Retirement Savings Program**

- Total 401(k) Program assets were \$64.9M as of the end of June 2020. This is down \$0.9M in combined contributions and investment earnings from calendar year end 2019 which stood at \$65.8M.
- For the first half of 2020, the Plan saw ~\$2.7M in new contributions representing vesting employer only contributions, employee elective contributions and their corresponding employer match.
- Allocations to individual funds and asset types remain relatively unchanged over the last year. The Vanguard Index Fund with ~\$12.5M in participant money or 19% of total assets. The T. Rowe Price Stable Value Fund (9%) and Dodge & Cox Balanced (10%) both also have significant participation. The most recent addition to the plan, Fixed Income Manager, MetWest Total Return, has seen positive inflows and current participant exposure of ~\$900k. The T. Rowe Price Lifecycle Funds continue to grow in popularity. Approximately 33% of participant money is now held in these funds.
- Long-Term Performance has been generally strong for all managers. Ellwood has no recommendations for investment option changes at this time.

### **Salaried Pension Plan**

- As of June 30, total Plan assets were \$81.4M, back to where the portfolio started since the beginning of the calendar year.
- Cash flows were positive in the second quarter. Year-to-date net cash flow were positive at \$2.4M.
- The Portfolio gained 14.2% during the second quarter of 2020, bringing the performance for the first six month to -2.9%. Since inception dating back to 1988, the Total Portfolio has gained +7.4% outpacing its benchmark by 40 basis points and its current actuarial return target of 7.0%.
- The Portfolio was rebalanced during the market downturn in March and is in line with target allocations.

### **IBEW Pension Plan**

- As of June 30, total Plan assets were \$6.3M, back to where the portfolio started at the beginning of the calendar year. With the exception of 2018, Total Portfolio Market values have steadily increased over the past 11 years. In 2008 the market value fell to \$1.1M, but has quadrupled since reaching the market bottom. Now that the Plan is closed to new entrants and also fully funded, cash flows into the Plan have moderated.
- The Portfolio gained 16.5% during the second quarter of 2020 bringing year-to-date performance to 0.2%. The Portfolio has strong long-term performance gaining +.27% and +8.9% over the trailing 3- and 5-year periods, respectively. Since inception the Plan has gained +6.4%. The Portfolio's current actuarial return target is 7.0%.
- Ellwood recommended moving to a more conservative asset allocation position over the next three years which was approved by the committee at the May trustee meeting. The first 2.5% move from Capital Appreciation to Capital Preservation occurred in July 2020.
- The Portfolio is in line with target allocations.

### **ATU 788 Pension Plan**

- As of June 30, total Plan assets were \$147.7M – a decrease of \$3.2M since the beginning of the calendar year. Fund flows over the past few years have been consistently negative and 2020 continued this trend. Calendar year cash totaled \$-1.3M. The Portfolio experienced investment gains of \$20.9M for the quarter.
- Ellwood and the Committee will continue to monitor the net cash balance of the plan to ensure that benefit payments and expenses can be paid.
- Through June 30, the Portfolio declined -1.3%. Longer term performance remains favorable. Over the trailing 10 year period, the Portfolio has gained 8.9%. The Portfolio's current actuarial return target is 7.0%.
- The Portfolio was rebalanced during the market downturn in March is in line with target allocations.

### **OPEB Trust**

- The OPEB Retirement Trust ended the quarter with a total Portfolio market value of \$40.5M. The portfolio gained 15.7% during the second quarter of 2020, bringing performance for the first six months of the year to -3.1%. This equates to -\$1.2M in investment earnings since the beginning of the calendar year.
- The Portfolio has gained 4.5% since inception on a current actuarial return target of 6%.
- The Portfolio was rebalanced during the market downturn in March and is in line with targeted asset class allocations.

**Committee Action Requested:**

None. Information only.

**Attachments:**

1. BSD 401(k) Retirement Savings Program 2nd Quarter 2020 Performance Report
2. BSD Salaried Pension Plan 2nd Quarter 2020 Performance Report
3. IBEW Pension Trust Local 2 and Local 309 2nd Quarter 2020 Performance Report
4. Div. 788 A.T.U. AFL-CIO Pension 2nd Quarter 2020 Performance Report
5. BSD OPEB Retirement Trust 2nd Quarter 2020 Performance Report

**Funding Source:**

No funding request is made. The pension plans and 401(k) retirement savings programs are funded by employer and employee contributions. The OPEB Trust is funded solely through the operating budget.

**Open Session Item 16**  
**Attachments 1-5**



## Pension Audit Updates - Attachments

The following documents are available  
on the Bi-State Development website:

[401 k Performance Report Q2-2020](#)

[IBEW Pension Performance Report Q2-2020](#)

[OPEB Retirement Trust Performance Report Q2-2020](#)

[Salaried Pension Performance Report Q2-2020](#)

[788 ATU Pension Performance Report Q2-2020](#)



**Bi-State Development Agency  
Combined Operations Committee and  
Audit, Finance & Administration Committee  
Open Session Agenda Item  
August 27, 2020**

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**From:** Charles A. Stewart, Jr., Executive Vice President Organizational Effectiveness  
**Subject:** **Update on Risk Management Insurance Program**  
**Disposition:** Information  
**Presentation:** Kathy Brittin, Director Risk & Absence Management

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**Objective:**

To inform and update the Audit, Finance & Administration Committee on the FY2021 Risk Management Insurance Program.

**Background:**

Since 1978, Bi-State Development (**BSD**) has self-insured a substantial portion of the risk of its transit operations, including: vehicle liability, rail liability, general liability and workers' compensation. Excess insurance coverage is purchased for all insured and self-insured risk exposures. Property insurance is purchased for its buildings, physical assets and rolling stock. Primary liability insurance is purchased for the Airport, the Arch Tram operations and the Riverboats.

The Risk Management Department is responsible for the design, implementation and monitoring of the self-insurance and insurance programs. BSD currently has a contract with an insurance consultant (Broker of Record), McGriff, Seibels & Williams of Missouri, Inc., to provide insurance marketing services, claims and loss control consulting and risk financing recommendations. This presentation provides an overview of the FY2020 Insurance Program.

**Analysis:**

Insurance Program - BSD annually reviews and renews coverage on July 1<sup>st</sup> of each fiscal year. In consultation with the broker, we selectively market some lines and renew others – depending on market conditions and changes in operating exposures.

For FY2021, the market conditions were extremely difficult especially in Excess Liability and Property.

- Excess Liability
  - Premium increased 112% over last year due to several reasons: market conditions; limited insurance markets that write public entities and transit related risks; State's sovereign immunity clauses being challenged and nuclear verdicts in transportation.

- Terms and conditions were also affected this year. Included in the Excess Liability coverage is the public officials' liability, law enforcement legal and employment practices liability. Last year these coverage were included up to \$75MM in limits. This year these coverages are only insured up to \$40MM in limits. Also included is a Communicable Disease exclusion.
- Property
  - Insurance coverage was renewed with Lloyds of London as the primary insurance carrier.
  - Premiums increased 33% over last year. The market conditions continue to demand increase due to widespread natural disasters and now including the Covid-19 pandemic. BSD also had two property losses that affected our premiums, the airport maintenance building fire and a LRV collision/derailment. Property values also increased.
  - Deductibles were also increased. The Airport/Arch/Meridian Garage deductible increased from \$10,000 to \$100,000. The LRV deductible increased from \$250,000 to \$500,000. All other deductibles remain the same at \$100,000
  - An exclusion for Riot, Strike and Civil Commotion has been added only to a 25% portion of the primary \$25MM property limits.
- Overall the total premium for all insurance coverages increased 49%. The budget for FY21 did forecast increases in premium, however, the excess liability market was worse than anticipated. The increase over FY21 Budget is 24.8%.

**Committee Action Requested:**

None - for informational purposes only.

**Attachments:**

PowerPoint Presentation

**Funding Source:**

Risk Management Insurance Program is funded through the operating budget.



# INSURANCE UPDATE

KATHY BRITTIN  
DIRECTOR, RISK AND ABSENCE MANAGEMENT  
AUGUST 21, 2020



# INSURANCE PREMIUMS SUMMARY

Line of Coverage	FY20 Premium	FY21 Premium	% Change	Budget	Variance
AIRPORT INSURANCE	\$ 45,706	\$ 53,807	18%	\$ 51,874	3.73%
RIVERBOAT INSURANCE	\$ 141,620	\$ 151,132	7%	\$ 145,914	3.58%
PACKAGE INSURANCE	\$ 76,181	\$ 83,578	10%	\$ 83,799	-0.26%
EXCESS LIABILITY INSURANCE	\$ 886,488	\$ 1,878,001	112%	\$ 1,050,000	78.86%
EXCESS WORKERS' COMPENSATION INSURANCE	\$ 231,484	\$ 222,034	-4%	\$ 240,000	-7.49%
PROPERTY INSURANCE	\$ 1,578,951	\$ 2,096,838	33%	\$ 1,973,688	6.24%
OTHER CORPORATE INSURANCE	\$ 214,153	\$ 240,776	12%	\$ 241,652	-0.36%
	<b>\$ 3,174,582</b>	<b>\$ 4,726,165</b>	<b>49%</b>	<b>\$ 3,786,927</b>	<b>24.80%</b>

# INSURANCE PREMIUMS TOTALS

FY2020 Insurance Premiums	\$3,174,582
FY2021 Budget	\$3,786,927
FY2021 Insurance Premiums	\$4,716,210
FY2021 Premium to FY2020 Premium Variance	48.56%
FY2021 Premium to FY2021 Budget Variance	24.8%



# AIRPORT INSURANCE

	<u>FY20 Premium</u>	<u>FY21 Premium</u>	<u>% Change</u>	<u>Budget</u>	<u>Variance</u>
<b>AIRPORT INSURANCE</b>					
Aviation - Airport & Heliport Liability	\$ 18,576	\$ 26,866	45%	\$ 19,318	39.07%
Airport WC	\$ 27,130	\$ 26,941	-1%	\$ 32,556	-17.25%
	<b>\$ 45,706</b>	<b>\$ 53,807</b>	<b>18%</b>	<b>\$ 51,874</b>	<b>3.73%</b>

- Liability market rate increase
- Workers' Compensation improved experience modification factor

# RIVERBOAT INSURANCE

	<u>FY20 Premium</u>	<u>FY21 Premium</u>	<u>% Change</u>	<u>Budget</u>	<u>Variance</u>
<b>RIVERBOAT INSURANCE</b>					
Riverboat - Hull, Primary P&I, MGL & TRIA	\$ 54,314	\$ 62,150	14%		
Protection & Indemnity Excess	\$ 62,703	\$ 70,843	13%		
Liquor Liability	\$ 2,185	\$ 2,100	-4%		
Vessel Pollution	\$ 3,341	\$ 3,341	0%		
USLH	\$ 19,077	\$ 12,698	-33%		
	<b>\$ 141,620</b>	<b>\$ 151,132</b>	<b>7%</b>	<b>\$ 145,914</b>	<b>3.58%</b>

- Increase due to market conditions – large industry losses
- USLH decrease due to decline in payroll from delayed operations
- No COVID-19 exclusions

# PACKAGE INSURANCE

	<u>FY20 Premium</u>	<u>FY21 Premium</u>	<u>% Change</u>	<u>Budget</u>	<u>Variance</u>
<b>PACKAGE INSURANCE (ARCH COVERAGES AND VEHICLES FOR AIRPORT AND RIVERBOATS)</b>					
Package - Scheduled GL & Auto	\$ 50,111	\$ 47,828	-5%		
Package Umbrella \$4M over \$1M	\$ 26,070	\$ 35,750	37%		
	<b>\$ 76,181</b>	<b>\$ 83,578</b>	<b>10%</b>	<b>\$ 83,799</b>	<b>-0.26%</b>

- GL covers Arch Tram operations, Arch Store and Headquarters.
- Autos covered are Airport, Riverboat, and Arch vehicles.
- Increase due to market rates for first layer of excess coverage

# EXCESS LIABILITY INSURANCE

	<u>FY20 Premium</u>	<u>FY21 Premium</u>	<u>% Change</u>	<u>Budget</u>	<u>Variance</u>
<b>EXCESS LIABILITY INSURANCE</b>					
Excess Liability	\$ 886,488	\$ 1,878,001	112%	\$ 1,050,000	78.86%

- Premium increase due to market conditions, fewer carriers writing public entities.
- Public Officials Liability, Law Enforcement Liability and Employment Practices Liability limits decreased from \$75M to \$40M
- Communicable disease exclusions are included in all layers of coverage.

# EXCESS LIABILITY INSURANCE

\$75M	\$15M Limit (\$15M vs \$60M) London, Policy #B0180P0N2004749 Renewal Premium \$220,000				
\$60M	\$10M Limit (\$10M vs \$50M) AWAC, Policy #0310-2250 Renewal Premium \$116,150				
\$50M	\$10M Limit (\$10M vs \$40M), will not include LEL and EPL Berkley Custom, Policy #CEX09604269-00 Renewal Premium: \$204,000				
\$40M	\$15M Limit (\$15M vs \$25M), including LEL, EPL, POL Great American, Policy #EXC3275768 Renewal Premium: \$315,000				
\$25M	\$5M Limit (\$5M vs \$20M), including LEL, EPL, POL Hallmark, Policy #77PEF2000F6 Renewal Premium: \$142,000				
\$20M	\$5M Limit (\$5M vs \$15M, excluding LEL, POL, EPL, SAM) Lexington, Policy #080877841 Renewal Premium: \$328,250  Genesis Premium to include LEL and EPL \$126,852, Policy #082933788/Indian Harbor to include POL \$15,460, Policy #PEO0954698				
\$15M	\$10M Limit (Excess SIR, \$5M) Trident, Policy #2902080-03 Renewal Premium: \$410,289				
\$5M	\$5M SIR	\$5M Management Liability D6-834284 Chubb \$51,765	\$4M Limit Navigators, Policy #CH20EXCB174231C Renewal Premium \$35,750		
			Statutory \$1M Emp Liab ARCH WCD0060048-03 \$222,00M	\$1M Limit \$4UENZV0646 Hartford Pig (Arch & scheduled auto) \$47,828	\$1M Limit Scottsdale Liquor \$2,100 CPS7112843
			\$1M Self Insd Retention		\$1M ALMA Emp Liab \$12,698 ALMA01796-02

# EXCESS WORKER'S COMPENSATION

	FY20 Premium	FY21 Premium	% Change	Budget	Variance
<b>EXCESS WORKERS' COMPENSATION INSURANCE</b>					
Workers Comp - Excess over SIR	\$ 231,484	\$ 222,034	-4%	\$ 240,000	-7.49%

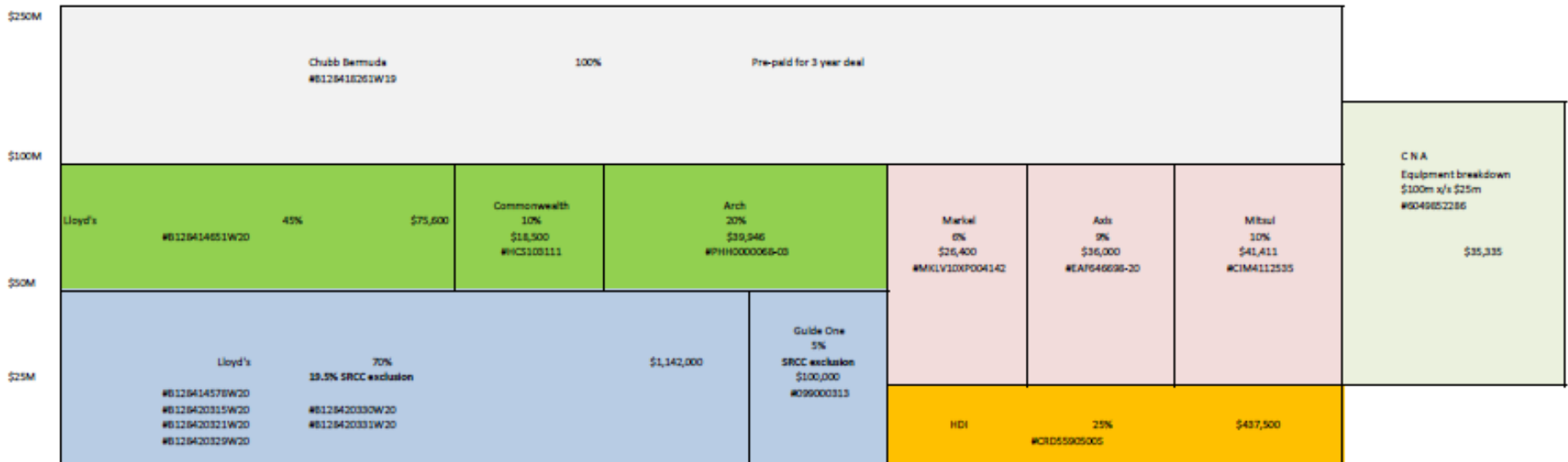
- Rate same as expiring from rate guarantee
- Premium decrease due to payroll decrease

# PROPERTY INSURANCE

	<b>FY20 Premium</b>	<b>FY21 Premium</b>	<b>% Change</b>	<b>Budget</b>	<b>Variance</b>
<b>PROPERTY INSURANCE</b>					
Property	\$ 1,492,922	\$ 2,009,003	35%	\$ 1,866,152	7.65%
Property - Equipment Breakdown	\$ 33,529	\$ 35,335	5%	\$ 41,911	-15.69%
Property - Terrorism	\$ 52,500	\$ 52,500	0%	\$ 65,625	-20.00%
	<b>\$ 1,578,951</b>	<b>\$ 2,096,838</b>	<b>33%</b>	<b>\$ 1,973,688</b>	<b>6.24%</b>

- Premium increase due increase in total values, large losses (Airport Fire, LRV Collision), and market capacity
- Airport/Arch/Meridian Garage deductible increased from \$10k to \$100k
- LRV deductible increased from \$250K to \$500k
- Riot, strike, civil commotion exclusion applies to 25% of the primary property insurance program

# PROPERTY INSURANCE





# OTHER INSURANCE

	FY20 Premium	FY21 Premium	% Change	Budget	Variance
<b>OTHER CORPORATE INSURANCE</b>					
AD&D/Felonious Assault	\$ 9,296	\$ 9,296	0%	\$ 9,296	0.00%
Crime/Employee Dishonesty	\$ 19,950	\$ 20,946	5%	\$ 21,945	-4.55%
Cyber Liability	\$ 62,001	\$ 69,998	13%	\$ 74,401	-5.92%
Law Enforcement Liability	\$ 55,244	\$ 69,279	25%	\$ 63,531	9.05%
Management Liability	\$ 48,170	\$ 51,765	7%	\$ 52,987	-2.31%
Environmental Liability	\$ 19,492	\$ 19,492	0%	\$ 19,492	0.00%
	<b>\$ 214,153</b>	<b>\$ 240,776</b>	<b>12%</b>	<b>\$ 241,652</b>	<b>-0.36%</b>

- Law Enforcement increase due to losses
- AD&D and Environmental are multi-year policies



## Financial Statements

The following document is available  
on the Bi-State Development website:

[Financial Statements - 4th Quarter - FY20](#)

**Open Session Item**

**19**

**BI-STATE DEVELOPMENT  
TREASURER'S REPORT  
Quarter Ended June 30, 2020**

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**INVESTMENTS**

***Yields:***

Bi-State investments had an average yield of 0.2% for the month of June, down from 1.06% in March. The Federal Reserve has kept the Federal Funds rate near zero, following sharp declines in economic activity and employment due to the coronavirus pandemic. They expect to maintain this target until the economy shows it is on track to meet employment and price stability goals.

***Invested Funds:***

In June, Bi-State directed approximately \$224 million of cash and investments. Approximately 7% of the invested funds were invested in U.S. Treasury or U.S. Government Agency securities, and 0.7% were invested in collateralized Certificates of Deposit (CDs). The balance was invested in AAA rated money market funds. The average maturity of Bi-State investments was approximately 9 days.

**DEBT MANAGEMENT**

***Debt Restructuring, 2019:***

On September 12, 2019, Bi-State successfully sold its \$164,430,000 Series 2019 Bonds. The deal closed on September 26, 2019, and a true interest cost of 2.87% was achieved. The bond restructuring refunded all \$97 million of the Series 2009 and \$90 million of the Series 2013A Cross County Bonds, achieving important short and long-term financial objectives for Bi-State:

- Generated \$49.1 million in debt service savings (in 2019 dollars) over the life of the bonds.
- Returned \$19.9 million of these savings to fund public safety infrastructure improvements.
- Eliminated the requirement to secure the Series 2019 debt with a debt service reserve fund, and lowered the required reserve on Series 2013A from \$23.6 to \$19.3 million.
- Brought 2013 subordinate bonds to senior lien status.

***Series 2013A and 2013B Bonds:***

On July 1, 2013, Bi-State successfully sold its \$381,225,000 Series 2013A Bonds at a rate of 4.75%. Between 2013 and 2015, St Louis County approved three loan advances using the Prop A Capital Reserve to reduce borrowing costs. The first loan for \$75 million was granted in 2013, with an interest rate of 1.06%. St Louis County approved the second loan in 2014 for \$30 million at 1.04%, and the third loan in 2015 for \$30,000 at 1.02%, allowing Bi-State to refund a portion of the 2013A debt. In September 2019, Series 2019 refunded an additional \$90 million, leaving the total 2013A principal outstanding at \$182,175,000.

***Arch Tram Revenue Bonds, 2014:***

On December 3, 2014, Bi-State closed on the Series 2014 Taxable Arch Tram Revenue Bonds. These bonds have a par value of \$7,656,000 and a 30-year term. The initial fixed rate term is 10 years with a fixed interest rate of 4.016%. The funds from this bond issuance will pay for the cost of issuance, a portion of the interior roof over the Arch visitor's center, and the replacement of the motor generator sets. The debt service requirement is approximately \$454 thousand.

***Bi-State Development/St. Clair County Transit District Revenue Bonds Refunding, 2014:***

On December 4, 2014, Bi-State and St Clair County Transit District closed on the \$4,160,000 issuance of the Series 2014 Bi-State Development/St Clair County Metrolink Extension Project Refunding Revenue Bonds. The refunding provides a savings of approximately \$700,000 in debt service expenses. It also eliminated the need for the debt service reserve funding of approximately \$450 thousand.

***Capital Leases:***

Bi-State has one remaining capital lease, its 2001 LRV Lease (C1, C2 Tranches). In February 2011, staff negotiated a default cure agreement with the 2001 C1 C2 lease investor. The agreement provided that Bi-State deposit additional collateral with the lease trustee, of which the St. Clair County Transit District (SCCTD) provided 70%. Our current collateral requirement is approximately \$5.5 million.

**FUEL HEDGING**

In June, in conjunction with its diesel fuel hedging program, Bi-State had a *realized gain* of approximately \$39 thousand and an *unrealized gain* of approximately \$500 thousand on the sale of Home Heating Oil #2 futures contracts. June oil prices ended the month at \$39.27 a barrel, a 92% increase since the end of March. Generally, as the price of oil increases, the value of Bi-State's future positions also increases. A gain in the futures partially offsets the actual increase in the cost of diesel fuel. If oil prices drop, the value of the futures decline. An increase in unrealized gains generally indicates that the price of fuel is rising, and losses generally indicate oil prices are falling.

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BI-STATE DEVELOPMENT - QUARTERLY TREASURER'S REPORT SUMMARY																
		AS OF: 30-Jun-2020					31-May-2020					30-Apr-2020				
BI-STATE DIRECTED:	Wt. Avg. Maturity (1)	Dollars (,000 omitted)	Percentage Of Total	Rate	Market Value (2)	Wt. Avg. Maturity (1)	Dollars (,000 omitted)	Percentage Of Total	Rate	Market Value (2)	Wt. Avg. Maturity (1)	Dollars (,000 omitted)	Percentage Of Total	Rate	Market Value (2)	
Cash	0	\$14,919	8.1%	0.00%	\$14,919	0	\$16,439	8.9%	0.00%	\$16,439	0	\$19,201	13.1%	0.00%	\$19,201	
U.S. Agencies (coupon)	0	0	0.0%	0.00%	0	0	0	0.0%	0.00%	0	788	15,502	10.6%	1.66%	15,503	
U.S. Treasury Securities	100	10,782	5.8%	1.48%	10,900	130	10,782	5.8%	1.48%	10,898	161	10,782	7.4%	1.48%	10,898	
Other Investments (3)	1	159,479	86.1%	0.09%	159,479	1	110,372	59.6%	0.12%	110,372	1	100,672	68.9%	0.25%	100,672	
SUB-TOTAL BI-STATE	7	\$185,180	100.0%	0.18%	\$185,298	11	\$137,593	74.3%	0.24%	\$137,709	96	\$146,157	100.0%	0.53%	\$146,274	
BI-STATE DIRECTED-PROP M:																
Certificates of Deposit	173	\$1,602	4.1%	1.51%	\$1,602	203	\$1,602	4.1%	1.51%	\$1,602	234	\$1,602	3.5%	1.51%	\$1,602	
U.S. Agencies (coupon)	0	0	0.0%	0.00%	0	0	0	0.0%	0.00%	0	811	7,501	16.4%	1.67%	7,502	
U.S. Treasury Securities	96	4,955	12.6%	1.41%	4,998	126	4,955	12.6%	1.41%	4,997	157	4,955	10.8%	1.41%	4,997	
Other Investments (3)	1	32,696	83.3%	0.09%	32,696	1	38,295	97.6%	0.13%	38,295	1	31,801	69.3%	0.20%	31,801	
SUB-TOTAL PROP M	20	\$39,253	100.0%	0.31%	\$39,296	22	\$44,852	114.3%	0.32%	\$44,894	158	\$45,859	100.0%	0.62%	\$45,902	
TOTAL BI-STATE DIRECTED	9	\$224,433		0.20%	\$224,594	14	\$182,445		0.26%	\$182,603	111	\$192,016		0.55%	\$192,176	
TRUSTEE DIRECTED:																
Cash	0	\$0	0.0%	0.00%	\$0	0	\$0	0.0%	0.00%	\$0	0	\$0	0.0%	0.00%	\$0	
Municipal Bonds	700	5,149	8.7%	2.90%	5,229	730	5,149	8.7%	2.90%	5,188	613	6,389	10.8%	2.75%	6,436	
U.S. Agencies (coupon)	484	19,264	32.4%	2.22%	19,637	389	25,715	43.3%	1.85%	26,167	420	25,715	43.3%	1.85%	26,161	
U.S. Treasury Securities	77	5,200	8.7%	1.38%	5,220	107	5,200	8.7%	1.38%	5,224	138	5,200	8.8%	1.38%	5,232	
Other Investments (3)	1	29,820	50.2%	0.02%	29,820	1	23,571	39.7%	0.02%	23,571	1	22,105	37.2%	0.02%	22,105	
SUB-TOTAL TRUSTEE	218	\$59,433	100.0%	1.10%	\$59,906	231	\$59,635	100.3%	1.18%	\$60,150	248	\$59,409	100.0%	1.22%	\$59,934	
TOTAL BI-STATE & TRUSTEE	53	\$283,866		0.39%	\$284,500	67	\$242,080		0.49%	\$242,753	143	\$251,425		0.71%	\$252,110	
LRV LEASE1:																
Cash	0	6,479	4.9%	0.00%	6,479	0	6,479	4.9%	0.00%	6,479	0	6,479	4.9%	0.00%	6,479	
US Treasury Securities	0	0	0.0%	0.00%	0	0	0	0.0%	0.00%	0	0	0	0.0%	0.00%	0	
Other Investments (4)	1	125,818	95.1%	5.80%	125,818	1	125,149	95.1%	5.80%	125,149	1	124,480	95.1%	5.80%	124,480	
SUB-TOTAL LRV		\$132,297	100.0%	5.52%	\$132,297		\$131,628	100.0%	5.51%	\$131,628		\$130,959	100.0%	5.51%	\$130,959	
Grand Total (5)		\$416,163			\$416,797		\$373,708			\$374,381		\$382,384			\$383,069	
Explanatory Notes:																
(1) Approximate weighted average of days to effective maturity, from last business day of the month.																
(2) Market value of government securities provided by safekeeping agent. Cost equals market for other investments.																
(3) Includes money market funds and fuel hedging accounts.																
(4) Investment Contracts (leases). Values of investment contracts adjusted to conform to lease payment schedules.																
(5) All amounts preliminary and subject to audit and adjustment.																
Prepared by: Theresa J. Gudowicz, Mgr. of Treas. Ops. 8/5/20										Date						
Reviewed by: Tammy Pulbright, Sr. Dir. of Financial Planning 8/5/20										Date						
Approved by: Mark Vago, Sr VP & CFO 8/5/20										Date						





BI-STATE DEVELOPMENT  
MONTHLY TREASURER'S REPORT- ALL COMPANIES  
BANK / ISSUER SUMMARY as of:

6/30/2020

Section 1 Bank/issuer Summary

BI-STATE DIRECTED * all non debt/lease assets, inc. Prop M:	CASH	CERTIFICATES OF DEPOSIT	REPURCHASE AGREEMENTS	OTHER	GOVERNMENT SECURITIES	COMMERCIAL PAPER\ BA's	TOTAL	MARKET VALUE	NOTES
BANK OF AMERICA MERRILL LYNCH	768,344	0	0	0	0	0	768,344	768,344	FDIC\tri-party collateral(deposits).
BLACK ROCK	0	0	0	71,363,014	0	0	71,363,014	71,363,014	Money Market Fund (Govt. Securities).
COMMERCE BANK	0	1,601,661	0	0	0	0	1,601,661	1,601,661	FDIC\FRB collateral.
FIDELITY	0	0	0	91,260,147	0	0	91,260,147	91,260,147	Money Market Fund (First Tier\Prime)
INVESCO	0	0	0	20,879,489	0	0	20,879,489	20,879,489	Money Market Fund (First Tier\Prime)
JEFFERSON BANK & TRUST	96,217	0	0	0	0	0	96,217	96,217	FDIC; repo collateral held at JBT.
JP MORGAN CHASE	(11,927)	0	0	0	0	0	(11,927)	(11,927)	FDIC (bank acct.)MMKT (First Tier\Prime)
OPTUM	0	0	0	0	0	0	0	0	FDIC\FRB collateral.
BENEFLEX	4,307	0	0	0	0	0	4,307	4,307	FDIC\FRB collateral.
HEALTHSCOPE	50,370	0	0	0	0	0	50,370	50,370	FDIC\FRB collateral.
PNC BANK	14,451,115	0	0	0	0	0	14,451,115	14,451,115	FDIC\FRB collateral.
RBC DAIN RAUSCHER	0	0	0	1,181,707	0	0	1,181,707	1,181,707	Commodities Margin Acct. (fuel hedging)
RJ O'BRIEN	0	0	0	7,491,253	0	0	7,491,253	7,491,253	Commodities Trading Acct. (fuel hedging)
RELIANCE BANK	0	0	0	0	0	0	0	0	FDIC\FRB collateral.
U.S. BANK	(72,292)	0	0	0	0	0	(72,292)	(72,292)	FDIC\FRB Collateral.
FARM CREDIT BANK	0	0	0	0	0	0	0	0	Safekept at Bank of America (BOA).
FEDERAL HOME LOAN BANK	0	0	0	0	0	0	0	0	Safekept at Bank of America (BOA).
U.S. TREASURY	0	0	0	0	15,736,496	0	15,736,496	15,897,899	Safekept by BOA or designated agent.
OTHER	644,461	0	0	0	0	0	644,461	644,461	
<b>sub-total Bi-State directed</b>	<b>15,930,595</b>	<b>1,601,661</b>	<b>0</b>	<b>192,175,610</b>	<b>15,736,496</b>	<b>0</b>	<b>225,444,362</b>	<b>225,605,765</b>	
<b>TRUSTEE DIRECTED</b>									
<b>DEBT ISSUES</b>									
<b>Arch Bonds, Series 2014</b>									
<b>BANK OF NEW YORK MELLON</b>									
GOLDMAN	0	0	0	722,882	0	0	722,882	722,882	Money Market Fund (First Tier\Prime).
<b>Cross County Bonds, Series 2013, 2019</b>									
<b>BOK FINANCIAL</b>									
BANK OF NEW YORK	0	0	0	0	0	0	0	0	FDIC Insured.
FEDERATED GOVT OBLIG	0	0	0	29,096,813	0	0	29,096,813	29,096,813	Money Market Fund (First Tier\Prime).
MORGAN STANLEY	0	0	0	0	0	0	0	0	Safekept at BOKF
GOVERNMENT AGENCIES	0	0	0	0	19,264,214	0	19,264,214	19,637,341	Safekept at BOK Financial
MUNICIPAL BONDS	0	0	0	0	5,148,958	0	5,148,958	5,229,357	Safekept at BOK Financial
U.S. TREASURY	0	0	0	0	5,199,814	0	5,199,814	5,219,838	Safekept at BOK Financial
<b>sub-total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>29,819,695</b>	<b>29,612,986</b>	<b>0</b>	<b>59,432,681</b>	<b>59,906,231</b>	
<b>SUB-TOTAL TRUSTEE (BONDS)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>29,819,695</b>	<b>29,612,986</b>	<b>0</b>	<b>59,432,681</b>	<b>59,906,231</b>	
<b>SUB-TOTAL BI-STATE AND TRUSTEE</b>	<b>15,930,595</b>	<b>1,601,661</b>	<b>0</b>	<b>221,995,305</b>	<b>45,349,482</b>	<b>0</b>	<b>284,877,043</b>	<b>285,511,996</b>	
<b>LRV Lease\Leaseback 2001 C1 C2</b>									
FSA\AIG	0	0	0	125,818,054	0	0	125,818,054	125,818,054	Guaranteed Investment Contract (GIC).
US TREASURY	5,467,096	0	0	0	0	0	5,467,096	5,467,096	Safekept by Lease Trustee.
<b>sub-total</b>	<b>5,467,096</b>	<b>0</b>	<b>0</b>	<b>125,818,054</b>	<b>0</b>	<b>0</b>	<b>131,285,150</b>	<b>131,285,150</b>	
<b>sub-total leases</b>	<b>5,467,096</b>	<b>0</b>	<b>0</b>	<b>125,818,054</b>	<b>0</b>	<b>0</b>	<b>131,285,150</b>	<b>131,285,150</b>	
<b>GRAND TOTAL</b>	<b>21,397,691</b>	<b>1,601,661</b>	<b>0</b>	<b>347,813,359</b>	<b>45,349,482</b>	<b>0</b>	<b>416,162,193</b>	<b>416,797,146</b>	

## **INVESTMENT CATEGORY DESCRIPTIONS**

**CASH:** Demand deposit accounts. Some accounts are consolidated by bank for presentation purposes. Negative balances generally reflect check float. Bi-State's bank accounts are protected either by Federal Deposit Insurance Corporation (FDIC), or collateralized with securities pledged to Bi-State and held either in a segregated customer account, tri-party account, or at the Federal Reserve.

**CERTIFICATES OF DEPOSIT:** Non-negotiable certificates of deposit, protected by FDIC insurance, AAA rated surety or Letter of Credit, or collateralized with securities placed in joint safekeeping with Bi-State at the Federal Reserve Bank.

**BANKER'S ACCEPTANCE (BAs):** Negotiable investment instruments created by banks to finance commercial trade transactions. Bi-State's investment policy permits purchase of BAs only from banks rated "B" or better by Fitch Ratings (formerly Thomson BankWatch-see ratings descriptions below).

**REPURCHASE AGREEMENTS (REPOs):** An investment created by the simultaneous sale and repurchase of a security (usually a government security) for different settlement dates. Bi-State's repos are collateralized with securities held in segregated customer accounts, or at the Federal Reserve.

**OTHER:** Interest checking, money market funds, guaranteed investment contracts (GICs) and investment agreements. Also includes fuel hedging related accounts. Bi-State's policy restricts use of money market funds to Triple A rated institutional funds which have over \$500 million in assets.

**GOVERNMENT SECURITIES:** Securities (bills, discount notes, strips, coupon notes and bonds), issued by the U.S. Treasury or U.S. Government Agencies. Some securities are subject to "call" (redemption before stated final maturity).

**COMMERCIAL PAPER:** Short-term unsecured promissory note that is the obligation of the issuing entity, generally a large corporation (see ratings descriptions below).

**NOTE:** Permitted Bi-State investments are specified in Board Policy 30.040. All investments are shown at cost, unless otherwise noted. Market values shown for government securities or commercial paper are considered "subject to market" and provided for informational use only. Cost or par approximates market for other investments, and some of these may be subject to penalty for early redemption.

## **CREDIT QUALITY RATING DEFINITIONS (also see Page 9)**

### **Standard & Poor's, Moody's Investor Services, Fitch:**

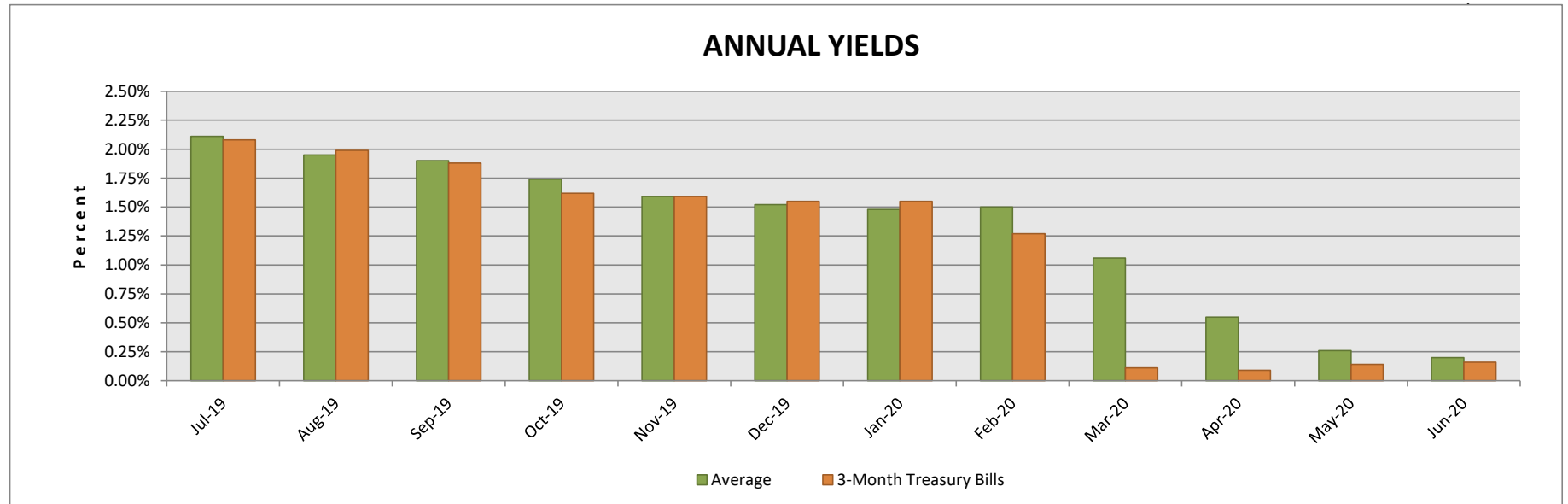
**AAA** Standard & Poor's, Moody's and Fitch rate credit quality on an A to C scale, with A generally regarded as "upper investment grade" and C as "speculative" (D would indicate default). Within each category are different gradients. The triple A rating indicates that the issuer's long term unsecured debt rating or specific investment instrument (such as money market funds) are of the highest credit quality (lowest expectation of risk.) The AAA rating is assigned only when there is exceptionally strong capacity for timely payment of financial commitments.

**A1-P1** Commercial Paper issues rated "A-1 by Standard and Poor's and "P-1" by Moody's have the greatest capacity for timely payment (least risk). Bi-State's investment policy permits purchase of A2-P2 commercial paper from issuers with a business presence in the St. Louis region.

**BI-STATE DEVELOPMENT  
ANNUAL INVESTMENT REPORT  
FOR MOST CURRENT 12 MONTHS**

<b>Funds (ooo's omitted)</b>	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20
Bi-State Investments	166,308	145,761	140,517	159,828	160,796	151,684	161,376	163,260	160,318	146,157	137,593	<b>185,180</b>
Bi-State Prop M Investments	43,593	43,293	36,310	43,182	42,318	42,246	43,993	44,718	45,191	45,859	44,852	<b>39,253</b>
Total	209,901	189,054	176,827	203,010	203,114	193,930	205,369	207,978	205,509	192,016	182,445	<b>224,433</b>
Trustee Investments	53,031	57,527	256,185	54,245	52,377	54,901	54,145	54,172	54,313	59,409	59,635	<b>59,433</b>

<b>Yields/Rates Information</b>	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20	Feb-20	Mar-20	Apr-20	May-20	Jun-20
Bi-State	2.09%	1.93%	1.89%	1.72%	1.58%	1.52%	1.48%	1.50%	1.04%	0.53%	0.24%	<b>0.18%</b>
Prop M	2.16%	1.99%	1.97%	1.79%	1.64%	1.52%	1.49%	1.51%	1.14%	0.62%	0.32%	<b>0.31%</b>
<b>Average</b>	<b>2.11%</b>	<b>1.95%</b>	<b>1.90%</b>	<b>1.74%</b>	<b>1.59%</b>	<b>1.52%</b>	<b>1.48%</b>	<b>1.50%</b>	<b>1.06%</b>	<b>0.55%</b>	<b>0.26%</b>	<b>0.20%</b>
Trustee	2.30%	2.20%	2.08%	0.91%	0.94%	1.41%	1.35%	1.34%	1.34%	1.22%	1.18%	<b>1.10%</b>
<b>3-Month Treasury Bills</b>	<b>2.08%</b>	<b>1.99%</b>	<b>1.88%</b>	<b>1.62%</b>	<b>1.59%</b>	<b>1.55%</b>	<b>1.55%</b>	<b>1.27%</b>	<b>0.11%</b>	<b>0.09%</b>	<b>0.14%</b>	<b>0.16%</b>
1 Year Treasury	2.00%	1.76%	1.75%	1.59%	1.60%	1.59%	1.45%	0.97%	0.17%	0.16%	0.17%	<b>0.16%</b>
Fed Funds (target)	2.25%	2.00%	2.00%	1.75%	1.75%	1.75%	1.75%	1.75%	0.25%	0.25%	0.25%	<b>0.25%</b>
20-Year Municipals	3.43%	2.97%	2.66%	2.79%	2.77%	2.74%	2.47%	2.27%	2.27%	2.56%	2.16%	<b>2.21%</b>
SIFMA (BMA) Index (month end)	1.40%	1.35%	1.48%	1.19%	1.10%	1.32%	0.94%	1.15%	1.83%	0.22%	0.14%	<b>0.09%</b>



Diesel Fuel Hedging Program - FY 2020				
	<b>Diesel Fuel Budget \ Actual Comparison:</b>	<b>Jun-20</b>	<b>Year to Date</b>	<b>Life to Date</b>
a	Gallons consumed-actual	312,276	4,788,709	95,309,966
b=(c/a)	Average cost per gallon-actual	\$ 1.19	\$ 1.72	\$ 2.08
c	<b>Total Diesel Fuel Cost-Actual</b>	<b>\$ 370,734</b>	<b>\$ 8,212,961</b>	<b>\$ 198,686,264</b>
d	Gallons consumed- budget	435,518	5,200,250	99,729,085
e=(f/d)	Average cost per gallon- budget	\$ 2.10	\$ 2.10	\$ 2.28
f	<b>Total Diesel Fuel Cost- Budget</b>	<b>\$ 915,807</b>	<b>\$ 10,935,086</b>	<b>\$ 227,724,472</b>
g=(f-c)	<b>Budget Variance (Unfavorable)</b>	<b>\$ 545,073</b>	<b>\$ 2,722,125</b>	<b>\$ 29,038,208</b>
h	<b>Realized Futures Gains (Losses)</b>	<b>\$ 39,488</b>	<b>\$ (567,836)</b>	<b>\$ (132,445)</b>
i=(c-h)	<b>Net Cost of Fuel</b>	<b>\$ 331,246</b>	<b>\$ 8,780,797</b>	<b>\$ 198,818,709</b>
j=(i-f)	<b>Net Budget Variance (Unfavorable)</b>	<b>\$ 584,561</b>	<b>\$ 2,154,289</b>	<b>\$ 28,905,763</b>
j=(i/f)	Net Cost of Fuel, Per Gallon, inc. Hedge	\$ 1.06	\$ 1.83	\$ 2.09
k=(e-i)	Net Budget Variance Per Gallon	\$ 1.04	\$ 0.27	\$ 0.20
<b>Futures Activity:</b>		<b>Price of Barrel of Oil:</b>		
	Futures Contracts Purchased	8	<b>Date</b>	<b>Price</b>
	Futures Contracts Sold	16	02/29/2020	\$ 44.76
	Futures Contracts Net Change at month end	(8)	03/31/2020	\$ 20.48
	Total Open Futures Contracts, at month end	272	04/30/2020	\$ 18.84
	Futures Contracts Unrealized Gain/(Loss) *	\$506,310	05/31/2020	\$ 35.49
	(% of Estimated Future Consumption)	75%	06/30/2020	\$ 39.27
<p>* = At month end</p> <p><b><u>Explanatory Notes:</u></b></p> <p>Consumption budgeted at approximately 120,000 gallons per week.</p> <p>Current diesel contracts: diesel =Platts +10.17 cents per gal.; B2 diesel= Platts + 10.93 cents per gal.</p> <p>A futures contract equals 42,000 gallons.</p> <p>Numbers above rounded.</p> <p>Amounts do not include transaction or consulting costs.</p> <p>Futures Contracts are purchased from Aug 2020 through May 2023 (35 months).</p> <p><b><u>Background:</u></b></p> <p>Linwood Capital is a consultant retained by Bi-State since April 2004 to assist with its energy price risk management program.</p> <p>Bi-State manages the cost of fuel by utilizing purchase of exchange traded futures, specifically NYMEX Heating Oil#2 (HO#2) futures.</p> <p>Generally, as oil prices increase, the value of the futures goes up, and acts to partially offset the actual increase in the price of fuel.</p>				

**Bi-State Development**  
**Monthly Investment Report**  
**Report of Term Investment\* Purchases: Jun 2020**

Item	Investment:	Par Amount	Settled	Maturity Date	Term(days)	Yield	Purchased From	Fund
*Note: there were no new investment purchases in June.								
	<b>Total</b>	\$ -						

**Notes:**

\* Investments with an original term of over 14 days.

**Bi-State Development Agency dba Metro**  
**Credit Ratings of Financial Institutions (see also page 5)**

Depository Banks:	Long-Term Debt Rating			Short-Term Debt Rating			Fitch Bank Rating
	S&P	Moody's	Fitch	S&P	Moody's	Fitch	
Bank of America, N.A.	A+	Aa2	AA	A-1	P-1	F1+	NA
Commerce Bank	A	A2		A-1	P-1		NA
PNC Bank	A	Aa2	AA-	A-1	P-1	F1+	NA
<b>Trust Companies:</b>							
Bank of New York Mellon Trust	AA-	Aa1	AA+	A-1+	P-1	F1+	NA
BOK Financial	A-	A3	A	A-1	P-1	F1	NA
<b>Money Market Funds:</b>							
	S&P			Moody's			
Black Rock Fed Trust	AAAm			Aaa-mf			
Black Rock Temp	AAAm			Aaa-mf			
Black Rock T Fund	AAAm			Aaa-mf			
FFI Treasury Fund	AAAm			Aaa-mf			
Columbia (BOA/Merrill) Money Market Reserves	AAAm			Aaa-mf			
Columbia (BOA/Merrill) Government	AAAm			Aaa-mf			
Dreyfus Government Cash Management	AAAm			Aaa-mf			
Federated Treasury	AAAm			Aaa-mf			
Federated Government	AAAm			Aaa-mf			
Fidelity Government	AAAm			Aaa-mf			
Fidelity Treasury	AAAm			Aaa-mf			
Goldman Financial Government	AAAm			Aaa-mf			
Invesco Government and Agency	AAAm			Aaa-mf			
Wells Fargo Treasury	AAAm			Aaa-mf			
<b>Other:</b>	Long-Term Debt Rating						
	S&P	Moody's	Fitch				
AIG (2001 LRV Lease)	A+	A2	A+	<b>NA = Fitch overall bank ratings or LT debt ratings have been withdrawn</b>			
U.S. Treasury	AA+	Aaa	AAA				
Federal Home Loan Bank (FHLB)	AA+	Aaa					
Federal Farm Credit Bank (FCB)	AA+	Aaa	AAA				

Bi-State Development				
Mass Transit Sales Tax Appropriation Cross-County Bonds & St Louis County Loan				
Series	2013		2019	Total Cross County
	2013A Bonds	2013B Loan	Refunding	
Issue date	1-Aug-13	1-Aug-13	26-Sep-19	
Principal (original)	\$381,225,000	\$75,000,000	\$164,430,000	
<b>Principal (currently outstanding)</b>	<b>\$182,175,000</b>	<b>\$135,000,000</b>	<b>\$164,430,000</b>	<b>\$481,605,000</b>
Lien on 1\4 cent Prop M, Prop M2, Prop A tax	Senior	Subordinate	Senior	
Stand alone credit rating (S&P\Moody's\Kroll)	AA+\Aa2\NA	NA	AA+\NA\AA+	
Maturity date(s)	2048	2053	2048	
Optional Call Date	Various	Anytime	2029	
Optional Put Date	NA	2018	NA	
Interest rate mode	Fixed	1% + SIFMA	Fixed	
Rate	3.00%-5.00%	1.02%-1.06%	3.00%-5.00%	
Interest pmt. Dates (4/1 &10/1)	April, October	April, October	April, October	
<b>Annual debt service:</b>				
<b>Interest - FY 2020</b>	<b>\$11,499,313</b>	<b>\$1,413,000</b>	<b>\$3,641,674</b>	<b>\$16,553,986</b>
<b>Principal - (Previous payment 10/1/19 - \$196,850,000) (next payment 10/1/20 - \$10,445,000)</b>	<b>\$99,630,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$99,630,000</b>
<b>total princ.&amp;int.</b>	<b>\$111,129,313</b>	<b>\$1,413,000</b>	<b>\$3,641,674</b>	<b>\$116,183,986</b>
Debt Service Reserve Fund (DSRF)	\$19 million in DSRF with bond trustee, Bank of Oklahoma Financial.	NA	NA	
Other	Refunded Series 2002A,B,C, 2007, and Series 2010B.	Refunded Series 2010A Bonds	Refunding balance of 2009, and 2013A Bonds Maturing in 2019, 2028, 2046 and 2048	





# Memorandum

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**To:** Audit, Finance and Administration Committee

**From:** Gregory A. Smith  
Vice President Purchasing, Materials Management and Supplier Diversity

**Date:** July 28, 2020

**Subject:** **Quarterly Procurement Activity Report**  
**Fiscal Year 2020**

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BSD Board Policy Chapter 50 Section 010 Paragraph N.3 requires that we provide quarterly reports to the Board relating to procurement activities, which exceed \$100,000, including contract modifications and award of options. The report format that has been used the past several years includes the key sections that are explained below.

**Section 1 – Non-Competitive Procurement Trend**

Federal regulations and Board Policy require that all procurements be conducted in a manner which fosters full and open competition. In certain instances however, competition is not feasible or practical. This section of the report summarizes the trend and relationship of non-competitive spend to total spend. All individual non-competitive contract awards exceeding \$100,000 are presented to the Board of Commissioners for approval prior to award. Other non-competitive expenditures must be approved by the appropriate Division Vice President, the Vice President of Procurement, and the President and CEO prior to award.

**Section 2 – Procurement Contract Awards**

This report lists all major (>\$100,000) contract awards during the reporting period and the relevant contract information for each. Information in this report is now listed in descending contract dollar value as requested previously by the Committee.

### **Section 3 – Contract Modifications**

This report lists all contract modification actions executed during the period where the total revised contract amount exceeds \$100,000. Contract modifications include changes to contract scope, exercise of options and extensions, or other actions effecting the contract term. Information in this report is listed in descending contract dollar value as requested previously by the Committee.

### **Section 4 – Davis Bacon Act Projects**

The Davis Bacon Act requires that all construction contracts financed with Federal assistance contain provisions requiring that all laborers and mechanics employed by the contractors or subcontractors to work on the project must be paid wages not less than those established for the area by the Secretary of Labor. The contractors listed in this section submit weekly “certified payrolls” to BSD, which we monitor in accordance with the regulatory requirements.

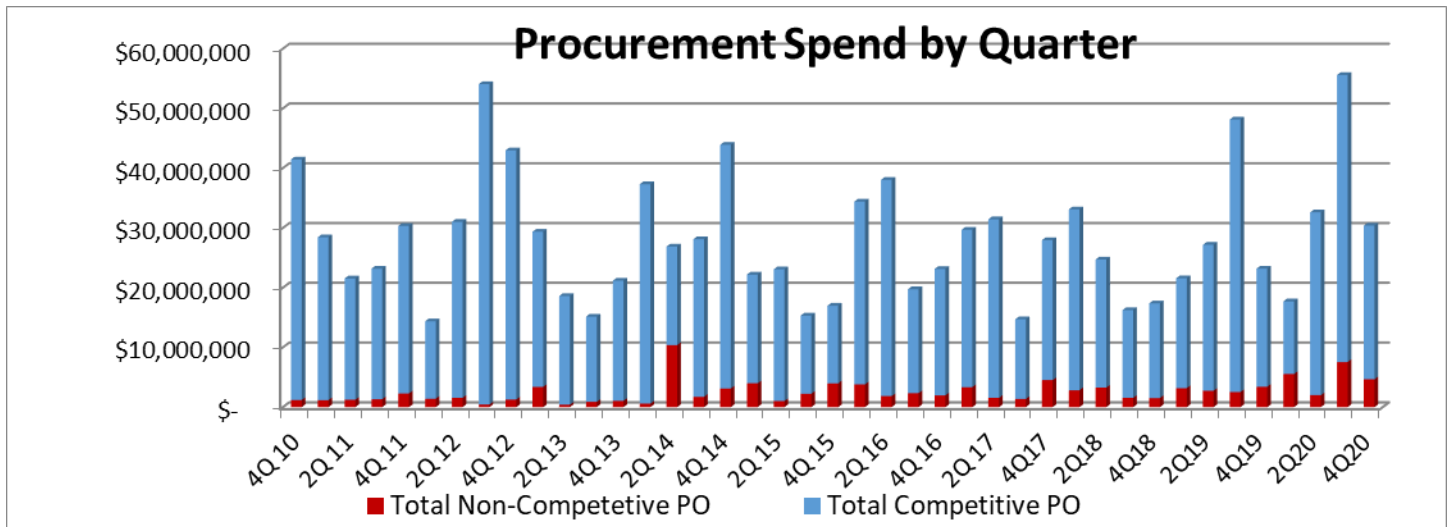
### **Section 5 – Procurement Card Administration**

BSD’s Procurement Department administers a Procurement Card Program, which provides a means for cardholders to procure low-dollar goods and services independently. This program reduces the administrative burden of processing Purchase Orders and Check Requests for small dollar purchases (typically less than \$2500). The report included in this section details the overall volume of transactions and information related to procedural violations and administrative actions on those violations.

Please feel free to contact me with any suggestions, questions, or information requests that you may have.

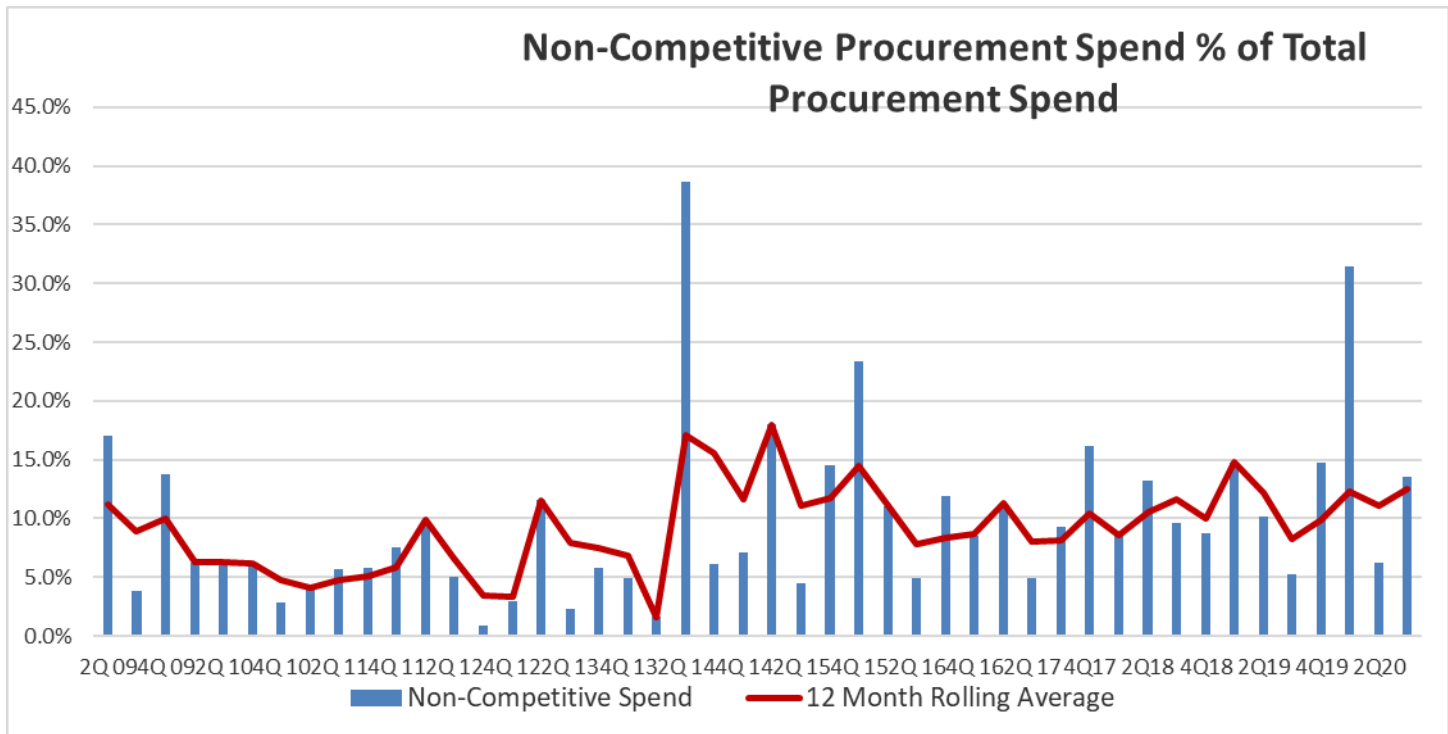
**Procurement Activity Report**  
**Non-Competitive Procurement Trend**  
**FY2020**

Fourth Quarter 2020 Non-Competitive Procurements totaled \$4,671,150 or 15.4% of total Purchase Order Commitment volume of \$30,371,199.



Rolling last 12 months Non-Competitive Procurements totaled \$19,792,208 or 14.5

% of total Purchase Order Commitment volume of \$136,249,070.



**NEW CONTRACT AWARDS EXCEEDING \$100,000  
JULY 1, 2019 - JUNE 30,2020**

<u>Number</u>	<u>Rev</u>	<u>Description</u>	<u>Type</u>	<u>Order Date</u>	<u>Supplier</u>	<u>Amount</u>	<u>Buyer</u>	<u>Closure Status</u>	<u>DBE Goal</u>
66841	1	LONO grant funded 14 Battery Electric articulated buses	Standard Purchase Order	1/16/20	NEW FLYER OF AMERICA	\$ 18,561,997.16	Hill, Diana L	Open	N/A
67207	0	20-RFP-106534-DGR E-Bus Infrastructure	Contract Purchase Agreement	2/24/20	NEW FLYER OF AMERICA	\$ 7,582,918.69	Ramsay, David George	Open	7%
67337	0	LONO funded competitive grant 4 Battery Electric 40 Ft. Buses	Standard Purchase Order	3/6/20	GILLIG LLC	\$ 3,800,000.00	Hill, Diana L	Open	0%
65783	0	20-SB-106232-DGR Bus Stop Signage Replacement Period of Performance October 2019 through April, 2020.	Contract Purchase Agreement	10/8/19	THE HARLAN COMPANY	\$ 2,480,850.00	Ramsay, David George	Open	0%
67097	0	19-RFP-105914-FP Life & Disability Insurance. Period of Performance January 1, 2020 - December 31, 2023	Contract Purchase Agreement	2/11/20	STANDARD INSURANCE COMPANY	\$ 2,334,434.00	Paronish, Francis J Jr	Open	0%
68212	0	20-RFP-106723-DR - Microtransit Pilot Program. Period of Performance June 1, 2020 - May 31, 2021	Contract Purchase Agreement	5/13/20	RIVER NORTH TRANSIT LLC	\$ 1,419,372.00	Rowey, Deborah M	Open	7.8%
67598	0	20-RFP-106367-DR - Parkway Interlocking , Richmond Heights Turnout Design Services. Period of Performance April 16, 2020 through April 30, 2021.	Contract Purchase Agreement	3/25/20	STV INCORPORATED	\$ 1,100,000.00	Rowey, Deborah M	Open	7%
64942	0	Arch Transportation System Tram Mechanics & Materials FY20. Period of Performande July, 2019 through June, 2020.	Standard Purchase Order	7/18/19	NATIONAL PARK SERVICE	\$ 979,082.00	Dillard, Marian Denise	Open	0%
64902	1	19-RFP-105970-MD Gateway Arch Marketing & Advertising Agency, Three Base Years and Two Option Years. Period of Performance July 16, 2019 through July 15, 2022.	Contract Purchase Agreement	7/16/19	PNMG, INC.	\$ 825,000.00	Dillard, Marian Denise	Open	0%

**NEW CONTRACT AWARDS EXCEEDING \$100,000  
JULY 1, 2019 - JUNE 30,2020**

<u>Number</u>	<u>Rev</u>	<u>Description</u>	<u>Type</u>	<u>Order Date</u>	<u>Supplier</u>	<u>Amount</u>	<u>Buyer</u>	<u>Closure Status</u>	<u>DBE Goal</u>
67526	2	20-SS-106921-CG Payment Card Industry Payment Application Data Security (PCI-PA-DSS for Ticketing Vending Machine (TVM). Period of Performance April 1, 2020 through March 31, 2021.	Contract Purchase Agreement	3/20/20	INDRA USA INC	\$ 739,166.24	Gates, Carol Renee	Open	0%
65344	0	19-SB-106178-FP Wellston Walkway and Drainage Improvements. Period of Performance August 27, 2019 through December 27, 2019.	Contract Purchase Agreement	8/26/19	KOZENY WAGNER INC	\$ 657,469.00	Paronish, Francis J Jr	Open	13%
64897	0	20-SB-106272-SG Right of Way Worker Protection System Delivery, Period of Performance Ten (10) Days ARO.	Standard Purchase Order	7/15/19	GLOBE ELECTRIC SUPPLY COMPANY	\$ 652,980.00	Griffin, Sandra P	Closed	0%
65570	0	19-RFP-106008-CB ML Audio Frequency Track Circuit Upgrades. Period of Performance September 18, 2019 through December 31, 2019.	Standard Purchase Order	9/17/19	ROCKY MOUNTAIN SYSTEMS SERVICES	\$ 566,313.00	Bonds, Charcita M	Open	0%
68113	0	20-SB-106637-CB 5th & MO Parking Lot Rehabilitation. Period of Performance March 17, 2020 through September 30, 2020.	Contract Purchase Agreement	5/6/20	STUTZ EXCAVATING, INC.	\$ 509,921.30	Bonds, Charcita M	Open	23%
67765	0	20-SB-106694-CB DeBaliviere Bus Facility Western Wall Replace. Period of Performance April 6, 2020 - July 30, 2020.	Contract Purchase Agreement	4/9/20	KOZENY WAGNER INC	\$ 498,869.00	Bonds, Charcita M	Open	13%
65300	0	19-SB-106099-DGR MetroLink Phase 1 Substation AC Breaker Replacement, Period of Performance, September 2019 through December 2020.	Contract Purchase Agreement	8/22/19	ZELLER TECHNOLOGIES INC	\$ 489,468.00	Ramsay, David George	Open	0%
65027	0	20-SS-106323-CG Oracle Annual Maintenance E-Business Suite. Period of Performance August 1, 2019 through July 31, 2020.	Contract Purchase Agreement	7/26/19	MYTHICS INC	\$ 465,156.83	Gates, Carol Renee	Open	0%
66305	0	19-RFQ-106627-BH Winter Storm Supplies.	Standard Purchase Order	11/22/19	KIRKWOOD MATERIAL SUPPLY, INC.	\$ 427,000.00	Howard, Bryan L	Open	0%
64978	0	19-SB-106246 -TJ Missouri Yards & Shop Facility Cleaning. Period of Performance June 10, 2019 through June 9, 2022.	Contract Purchase Agreement	7/24/19	WORLD MANAGEMENT, INC	\$ 365,460.00	Johnson, Theresa	Open	15%

**NEW CONTRACT AWARDS EXCEEDING \$100,000  
JULY 1, 2019 - JUNE 30,2020**

<u>Number</u>	<u>Rev</u>	<u>Description</u>	<u>Type</u>	<u>Order Date</u>	<u>Supplier</u>	<u>Amount</u>	<u>Buyer</u>	<u>Closure Status</u>	<u>DBE Goal</u>
67536	1	Emergency Temp - Brightstar - Vobis Sanus LLC.	Standard Purchase Order	3/25/20	VOBIS SANUS LLC	\$ 349,999.00	Rowey, Deborah M	Open	0%
66216	0	20-RFP-106320-DH Light Rail Vehicle Fleet Assessment. Period of performance 11-19-19 through 05-25-20.	Standard Purchase Order	11/14/19	LTK CONSULTING SERVICES, INC.	\$ 280,120.00	Hill, Diana L	Open	0%
67178	0	20-RFQ-106748-SG Food, Beverage, Produce and Supply Items for Riverboats and Dock. Period of Performance January 1, 2020 through December 31, 2020.	Standard Purchase Order	2/19/20	US FOODSERVICE INC	\$ 270,000.00	Griffin, Sandra P	Open	0%
66961	0	20-SB-106706-MD GETAC Mobile Tablets for EAM Project. Period of Performance January, 2020 to December, 2020	Standard Purchase Order	1/30/20	CDW GOVERNMENT INC	\$ 249,630.00	Dillard, Marian Denise	Open	0%
67054	0	20-SB-106195-DGR JNEM North West Corner Rehabilitation. Period of Performance February 2020 through June 2020.	Contract Purchase Agreement	2/6/20	KOZENY WAGNER INC	\$ 249,215.00	Ramsay, David George	Open	0%
68588	0	Temporary Personnel - Period of performance, 6-2020 through 05-2021.	Standard Purchase Order	6/15/20	ABOVE ALL PERSONNEL	\$ 240,000.00	Rowey, Deborah M	Open	0%
68123	0	20-SB-106786-CB IL Bus Facility Restroom & Locker Room Rehab. Period of Performance May 12, 2020 - September 30, 2020.	Contract Purchase Agreement	5/7/20	INTERFACE CONSTRUCTION CORP	\$ 239,528.00	Bonds, Charcita M	Open	8%
67902	0	20-SB-106740-CG Bus Wash Rack Replacement for BSD - Illinois Bus Facility. Period of Performance May 1, 2020 - September 1, 2020.	Contract Purchase Agreement	4/20/20	N/S CORP	\$ 238,840.86	Gates, Carol Renee	Open	0%
67460	0	20-SB-106791-SG Metro Timetables Panel Size 4 thru 9. Period of Performance March 16, 2020 through March 15, 2021.	Contract Purchase Agreement	3/16/20	M. C. I. PRINTING INC	\$ 225,390.00	Griffin, Sandra P	Open	0%
65922	0	20-RFQ-106411-BH - Rehab Brentwood Bus Facility Tank Farm (One Time Project).	Standard Purchase Order	10/22/19	UPC ENTERPRISE LC	\$ 201,772.99	Howard, Bryan L	Open	0%

**NEW CONTRACT AWARDS EXCEEDING \$100,000  
JULY 1, 2019 - JUNE 30,2020**

<u>Number</u>	<u>Rev</u>	<u>Description</u>	<u>Type</u>	<u>Order Date</u>	<u>Supplier</u>	<u>Amount</u>	<u>Buyer</u>	<u>Closure Status</u>	<u>DBE Goal</u>
67180	1	20-RFQ-106748-SG Food, Beverage, Produce and Supply Items for Riverboats and Dock. January 1, 2020 through December 31, 2020.	Standard Purchase Order	2/19/20	SYSCO ST LOUIS LLC	\$ 200,000.00	Griffin, Sandra P	Open	0%
65664	0	Sole Source SCF Services, LLC - Install False Inner Bottom on the Mooring Barge.	Standard Purchase Order	9/26/19	SCF SERVICES, LLC	\$ 185,845.00	Griffin, Sandra P	Open	0%
66717	0	Tom Sawyer January 2020 e-mail quotes.	Standard Purchase Order	1/7/20	SCF SERVICES, LLC	\$ 185,000.00	Hill, Diana L	Open	0%
67774	1	Covid 19 Emergency Services Covid 19. Sanitation and Fogging.	Standard Purchase Order	4/10/20	ISS FACILITY SERVICES, INC	\$ 180,000.00	Hill, Diana L	Open	0%
67906	0	Sole Source Contract with John Rippy as requested by NPS for One Year. Period of Performance May 1, 2020 - April 30, 2021.	Contract Purchase Agreement	4/20/20	JOHN RIPPY	\$ 170,000.00	Ramsay, David George	Open	0%
67057	0	19-RFP-105506-DGR New Gateway Arch Experience Step 2 Period of Performance from February 2020 through September 2021.	Contract Purchase Agreement	2/6/20	AECOM TECHNICAL SERVICES	\$ 169,980.00	Ramsay, David George	Open	0%
64991	0	State Contract # - AR-23 (14-19) - Cisco Hardware Replacement/Upgrade. Contract Code: CISWSCAMO1G - Expiration 05-31-2020.	Standard Purchase Order	7/24/19	CDW GOVERNMENT INC	\$ 165,662.25	Dillard, Marian Denise	Closed	0%
66984	0	20-SB-106666-CG Computer Equipment.	Standard Purchase Order	1/31/20	DELL MARKETING LP	\$ 162,216.00	Gates, Carol Renee	Closed	0%
66825	1	CWE Shuttle Service Metrolink Station.	Standard Purchase Order	1/15/20	GEM TRANSPORTATION	\$ 158,922.00	Hill, Diana L	Open	0%
64793	0	20-RFQ-106291-CB, Unleaded Gasoline, Period of Performance, July 3, 2019 through September 3, 2019.	Standard Purchase Order	7/2/19	PETROLEUM TRADERS CORPORATION	\$ 158,518.38	Bonds, Charcita M	Open	0%
68691	0	SOLE SOURCE-Campaign testing to possibly to extend the life of the engine.	Standard Purchase Order	6/23/20	VALVOLINE INC	\$ 154,352.80	Hill, Diana L	Open	0%

**NEW CONTRACT AWARDS EXCEEDING \$100,000  
JULY 1, 2019 - JUNE 30,2020**

<u>Number</u>	<u>Rev</u>	<u>Description</u>	<u>Type</u>	<u>Order Date</u>	<u>Supplier</u>	<u>Amount</u>	<u>Buyer</u>	<u>Closure Status</u>	<u>DBE Goal</u>
66477	0	20-SB-106442-FP SCCTD Bus Shelter (Pads). Period of Performance December 20, 2019 through March 4, 2020.	Standard Purchase Order	12/11/19	RAINERI CONSTRUCTION, LLC	\$ 128,691.00	Paronish, Francis J Jr	Open	21%
65879	0	50 Ton HVAC Roof Top Unit Replacement Ewing (One Time Purchase)	Standard Purchase Order	10/18/19	THE WALDINGER CORP	\$ 123,671.22	Rowey, Deborah M	Open	0%
68775	0	20-RFQ-135964-CB Purchase of Unleaded Gasoline. Period of Performance July 1, 2020 - September 30, 2020.	Standard Purchase Order	6/30/20	ENERGY PETROLEUM COMPANY B135	\$ 118,011.00	Bonds, Charcita M	Open	0%
67798	1	Covid 19 Emergency Services. Fogging of work areas - 4 facilities - . Period of Performance 8 weeks beginning 4-13-20 extended to 7-27-20.	Standard Purchase Order	4/13/20	4M BUILDING SOLUTIONS INC	\$ 117,288.00	Hill, Diana L	Open	0%
67496	0	20-RFP-106440-CG Consulting Services. Strategic Planning on Investment and Decison Making for Metro Transit. Period of Performance February 10, 2020 through August 10, 2020.	Contract Purchase Agreement	3/18/20	EXPERIENCE ON DEMAND LLC	\$ 115,544.00	Gates, Carol Renee	Open	0%
68145	5	Covid 19 Emergency Equipment. Temperature Monitorining Portals.	Standard Purchase Order	5/8/20	DH PACE COMPANY	\$ 114,100.00	Hill, Diana L	Closed	0%
67005	0	20-RFQ-106749-SG Food, Beverage, Candy, and Other Items for the Riverboats and Dock. Period of Performance January 1, 2020 through December 31, 2020.	Standard Purchase Order	2/4/20	FOUR SEASONS DISTRIBUTORS	\$ 113,500.00	Griffin, Sandra P	Open	0%
68674	0	20-RFQ-125952-MD Dell Equipment	Standard Purchase Order	6/22/20	DELL MARKETING LP	\$ 112,138.85	Dillard, Marian Denise	Open	0%
67764	0	20-SB-106824-DH LRV Lifting Jacks	Standard Purchase Order	4/9/20	HANDLING SPECIALTY MANUFACTURING LTD.	\$ 111,365.00	Hill, Diana L	Open	0%
67733	0	Covid 19 Emergency Equipment.KN95 Masks	Standard Purchase Order	4/6/20	N.A. BUFFEN COMPANY INC	\$ 108,850.00	Hill, Diana L	Open	0%



Contract Modifications FY 2020

July 1, 2019 - June 30, 2020

Contract #	Task Order	Mod #	Description	Reason for Mod	Contractor	DBE %	Original Contract Amount	Value of Previous Mods	Mod Date	Mod Amount	Revised Contract Amount	Funding Source	# Days Extend	# of Extension to Date
18-SB-104750-BH		2	Purchase/Delivery of Diesel Fuel Oil	Time Extension	Mansfield Oil Company	0%	\$ 33,375,000	\$ 2,063,813	05/19/20	\$ -	\$ 35,438,813	Operations	180	2
13-RFP-5980-SG		18	Security & Fare Enforcement Services	No Cost Time Extension	Securitas Security Services USA, Inc.	10%	\$ 3,235,705	\$ 30,143,807.01	01/07/20	\$ -	\$ 33,379,512	Operations	630	4
13-RFP-5980-SG		17	Security & Fare Enforcement Services	Time Extension/Change in Scope	Securitas Security Services USA, Inc.	10%	\$ 3,235,705	\$ 28,643,807.00	07/24/19	\$ -	\$ 31,879,512	Operations	360	2
18-RFP-103593-DGR		4	CM/GC for Union Station Tunnel	Additional Funds	Kiewit Infrastructure Company	20%	\$ 441,944	\$ 12,991,679.49	03/26/20	\$ 316,476	\$ 13,750,099	MO-54-001 & Prop M	0	0
18-RFP-103593-DGR		5	CM/GC for Union Station Tunnel	Additional Funds	Kiewit Infrastructure Company	20%	\$ 441,944	\$ 13,308,155	04/14/20	\$ 1,149,491	\$ 14,899,590	MO-54-001, 90-X296 & Prop M	0	0
18-RFP-103593-DGR		3	CM/GC for Union Station Tunnel	Additional Funds	Kiewit Infrastructure Company	19.5%	\$ 441,944	\$ 10,980,806.00	12/23/19	\$ 419,438	\$ 11,842,188	MO-54-0001 & Prop M	0	0
14-SB-99550-SM/CG		8	MetroLink Station Cleaning	Additional Funds/Time Extension	Katsam Enterprises	15%	\$ 5,770,470	\$ 4,693,823.60	12/26/19	\$ 520,125	\$ 10,984,418	Operations	180	2
14-SB-99550-SM/CG		7	MetroLink Station Cleaning	Time Extension and additional funds	Katsam Enterprises	15%	\$ 5,770,470	\$ 4,173,698.60	10/01/19	\$ 520,125	\$ 10,464,293	Operations	90	1
16-SB-102360-CB		10	Metro Downtown Transit Center	Additional Funds	KCI Construction Co.	29%	\$ 7,267,000	\$ 1,257,406.11	01/09/20	\$ 62,897	\$ 8,587,303	FTA: MO-90-X296 & Prop M	0	0
16-SB-102360-CB		9	Metro Downtown Transit Center	Additional Funds	KCI Construction Co.	29%	\$ 7,267,000	\$ 1,174,923.19	12/13/19	\$ 82,483	\$ 8,524,406	FTA: MO-90-X296 & Prop M	90	1

Contract Modifications FY 2020  
July 1, 2019 - June 30, 2020

Contract #	Task Order	Mod #	Description	Reason for Mod	Contractor	DBE %	Original Contract Amount	Value of Previous Mods	Mod Date	Mod Amount	Revised Contract Amount	Funding Source	# Days Extend	# of Extension to Date
16-SB-102360-CB		8	Metro Downtown Transit Center	Additional Funds	KCI Construction Co.	29%	\$ 7,267,000	\$ 1,110,059.50	11/05/19	\$ 64,864	\$ 8,441,923	FTA: MO-90-X296 & Prop M	90	1
17-SB-104149-DR		11	Boyle Ave/CWE Metrolink Station - Facilities	Change Orders	L. Keeley Construction	14%	\$ 6,405,349	\$ 214,819.10	09/16/19	\$ 463,652	\$ 7,083,820	MO-79-X004 and Cortex	0	0
15-RFP-101355-DR		3	Medical ASO & Stop Loss Coverage (Employment Assistance Program (EAP) Services)	Option Yr. 2	Cigna Health & Life Insurance and Cigna Behavioral Health	0%	\$ 3,721,760	\$ 1,355,991.12	12/10/19	\$ 1,429,614	\$ 6,507,365	Operations	0	0
17-RFP-103314-DGR		3	Union Station Rehabilitation Design Services	Additional Funds	Modjeski & Masters, Inc.	10%	\$ 4,432,067	\$ 170,435.39	11/21/19	\$ 664,089	\$ 5,266,592	MO-54-0001/MO-95-X257 and Prop M	0	0
16-RFP-102885-DR		1	Dental Plan Services	Option Yr. 1	Delta Dental of Missouri	0%	\$ 3,430,610	\$ -	12/03/19	\$ 1,225,390	\$ 4,656,000	Operations	0	0
17-RFP-103083-DR		4	Enterprise Asset Management Software & Implementation	Additional Funds	Trapeze Software Group	0%	\$ 3,000,000	\$ 1,012,978.00	03/12/20	\$ 69,138	\$ 4,082,116	FTA 5307 & Prop M	180	1
17-RFP-103083-DR		2	Enterprise Asset Management Software & Implementation	Upgrade of M5 to EAM for Rolling Stock / Time Extension	Trapeze Software Group, Inc.	0%	\$ 3,000,000	\$ (14,862.00)	08/19//19	\$ 1,027,840	\$ 4,012,978	FTA 5307 & Prop M	1	180
17-SB-103545-CB		3	Elevator Rehab - 6 units - MO	Additional Funds	The Harlan Company	0%	\$ 2,145,450	\$ 1,077,118.97	03/20/19	\$ 499,087	\$ 3,721,656	FTA: MO-2018-002 & Prop M	540	1

Contract Modifications FY 2020

July 1, 2019 - June 30, 2020

Contract #	Task Order	Mod #	Description	Reason for Mod	Contractor	DBE %	Original Contract Amount	Value of Previous Mods	Mod Date	Mod Amount	Revised Contract Amount	Funding Source	# Days Extend	# of Extension to Date
17-RFP-103684-DGR		2	Elevator & Escalator Full Maintenance and Repair	Option Yr. 1	ThyssenKrupp Elevator	0%	\$ 2,325,560	\$ 360,700	06/05/20	\$ 816,600	\$ 3,502,860	Operations	0	0
17-SB-103545-CB		2	Elevator Rehab - 6 Units - MO	Change in Scope/Time Extension	The Harlan Company	0%	\$ 2,145,450	\$ 258,118.97	07/16/19	\$ 819,000	\$ 3,222,569	MO-90-X296, MO-2018-002, MO-54-000, SCCTD & Prop M	540	1
17-RFP-103083-DR		1	Enterprise Asset Mangement Software & Implementation	Change in Scope	Trapeze Software Group, Inc.	0%	\$ 3,000,000	\$ -	07/16/19	\$ (14,862)	\$ 2,985,138	FTA Grant MO-04-0130 & MO-90-X296 & Prop M	0	0
18-RFP-104788-DGR		1	ML Structures Inspection Program Engineering Services	Option Yr. 1/ Additional Funds	Juneau Associates, Inc.	16%	\$ 1,782,223	\$ -	03/25/20	\$ 1,067,100	\$ 2,849,323	Operations	0	0
16-RFP-102633-CB		3	Track Maintenance Services	Option Yr 1	Ironhorse, Inc.	0%	\$ 1,737,449	\$ 312,303.00	09/26/19	\$ 715,788	\$ 2,765,540	Operations	0	0
20-SB-106232-DGR		1	Bus Stop Signage Replacement	Additional Funds	The Harlan Company	0%	\$ 2,480,850	\$ -	06/10/20	\$ 31,171	\$ 2,512,021	MO-2017-034 & Prop M	0	0
16-RFP-102111-CG		4	On Call GEC Services/Multiple Disciplines	Time Extension	Jacobs Engineering	0%	\$ 500,000	\$ 2,000,000.00	03/12/20	\$ -	\$ 2,500,000	Capitol Projects, Local Funding, FTA, Operating Budget	90	1
14-RFP-99256-DAB		5	Brentwood Facility Cleaning Services	Time Extension/ Additional Funds	ISS Facility Services Inc.	15%	\$ 791,168	\$ 1,284,903.63	09/19/19	\$ 98,152	\$ 2,174,224	Operations	180	2
16-RFP-102886-CG		3	Development and Implementation of Marketing Activities for BSD	Option Yr. 2	Werremeyer, Inc.	0%	\$ 600,000	\$ 1,000,000	05/28/20	\$ 400,000	\$ 2,000,000	Operations	0	0

Contract Modifications FY 2020  
July 1, 2019 - June 30, 2020

Contract #	Task Order	Mod #	Description	Reason for Mod	Contractor	DBE %	Original Contract Amount	Value of Previous Mods	Mod Date	Mod Amount	Revised Contract Amount	Funding Source	# Days Extend	# of Extension to Date
14-SB-99459-TJ		4	DeBaliviere Center Cleaning	Time Extension	ISS Facility Cleaning	15%	\$ 739,359	\$ 1,109,679.72	10/04/19	\$ 150,000	\$ 1,999,039	Operations	120	1
15-SB-101602-CG		4	Tree Maintenance Services	Option Yr 2/ Additional Funds	Happy Tree Service, LLC	0%	\$ 918,000	\$ 531,000.00	08/27/19	\$ 464,355	\$ 1,913,355	Operations	0	0
14-RFP-99536-DR		6	Temporary Help Services	Additional Funds	Above All Personnel	0%	\$ 952,825	\$ 680,251.00	12/11/19	\$ 205,900	\$ 1,838,976	Operations	180	1
15-RFP-101247-DR		3	Occupational medicine - Medical Examinations & Drug & Alcohol Screening Services	Time Ext. / Additional Funds	BJC/BarnesCare	0%	\$ 941,282	\$ 652,543	04/01/20	\$ 150,000	\$ 1,743,825	Operations	90	1
14-RFP-99536-DR		4	Temporary Help Services	Additional Funds	Above All Personnel	0%	\$ 952,825	\$ 568,251.00	08/21/19	\$ 112,000	\$ 1,633,076	Operations	0	0
14-RFP-99536-DR		5	Temporary Help Services	Time Extension	Above All Personnel	0%	\$ 952,825	\$ 680,251.00	10/14/19	\$ -	\$ 1,633,076	Operations	180	1
16-RFP-102886-CG		2	Development and Implementation of Marketing Activities for BSD	Option Yr. 1	Werremeyer, Inc.	0%	\$ 600,000	\$ 600,000.00	07/18/19	\$ 400,000	\$ 1,600,000	Operations	0	0
16-RFP-102975-CG		1	Development and Implementation of Marketing Activities for Metro Transit	Option Yr 1	PAVLOV Advertising, Inc.	0%	\$ 1,200,000	\$ -	08/27/19	\$ 400,000	\$ 1,600,000	Operations	0	0
15-RFP-101247-DR		2	Occupational Medicine - Medical Examinations & Drug & Alcohol Screening Services	Option Yr 2	BJC/BarnesCare	0%	\$ 941,282	\$ 323,845.50	08/21/19	\$ 328,698	\$ 1,593,825	Operations	0	0

Contract Modifications FY 2020  
July 1, 2019 - June 30, 2020

Contract #	Task Order	Mod #	Description	Reason for Mod	Contractor	DBE %	Original Contract Amount	Value of Previous Mods	Mod Date	Mod Amount	Revised Contract Amount	Funding Source	# Days Extend	# of Extension to Date
17-SB-104164-BH		3	Brentwood Bus Cleaning Service	Option Yr 1	Innex Service Co	11%	\$ 598,712	\$ 260,845.42	07/02/19	\$ 434,920	\$ 1,294,478	Operations	0	0
18-SB-104858-SG		1	Bus Shelter/Transit Center Cleaning	Option Yr. 1	MERS/Goodwill Ind.	10%	\$ 983,906	\$ (269,752)	04/27/20	\$ 491,953	\$ 1,206,106	Operations	0	0
14-RFP-98761-DR		5	Health & Welfare Consultant Services	Additional Funds/Time Extension	Arthur J. Gallagher & Co.	0%	\$ 145,000	\$ 655,934.00	02/25/20	\$ 106,500	\$ 907,434	Operations	455	2
18-RFP-105125-CB		1	Design & Construction Phase Services - Downtown Tunnel Repairs	Time Extension	Modjeski & Masters	8%	\$ 869,768	\$ -	05/05/20	\$ -	\$ 869,768	FTA #MO-54-001 & Prop M	180	1
14-RFP-98761-DR		4	Health & Welfare Consultant Services	Time Extension/ Additional Funds	Arthur J. Gallagher & Co	0%	\$ 427,000	\$ 302,931.61	08/12/19	\$ 71,000	\$ 800,932	Operations	180	1
17-SB-103489-DAB		3	Central Main Facility Cleaning Services	Additional Funds	LRL Commercial Cleaning	12%	\$ 446,400	\$ 274,026.10	08/19/19	\$ 65,829	\$ 786,255	Operations	0	0
18-SB-104684-SG		1	MetroLink Manual Ticket Sales/Revenue Services	Option Yr. 1	Above All Personnel	7%	\$ 522,545	\$ -	11/21/19	\$ 261,272	\$ 783,817	Operations	0	0
18-SB-104767-CG		3	Fire Extinguisher Services	Additional Funds	Weber Fire & Safety	0%	\$ 592,296	\$ 63,885.42	11/25/19	\$ 96,000	\$ 752,181	Operations	0	0
19-SB-106178-FP		1	Wellston Walkway and Drainage Improvements	Additional Funds	Kozeny Wagner Construction	13%	\$ 657,469	\$ -	01/15/20	\$ 20,976	\$ 678,445	MO-90-X296 & Prop M	0	0
16-SB-102814-TJ/BH		6	North County Transit Center Facility Cleaning	Time Extension	MERS/Goodwill Industries	13%	\$ 140,483	\$ 466,913.58	10/22/19	\$ 39,000	\$ 646,397	Operations	90	2

Contract Modifications FY 2020

July 1, 2019 - June 30, 2020

Contract #	Task Order	Mod #	Description	Reason for Mod	Contractor	DBE %	Original Contract Amount	Value of Previous Mods	Mod Date	Mod Amount	Revised Contract Amount	Funding Source	# Days Extend	# of Extension to Date
16-SB-102814-TJ/BH		5	North County Transit Center Facility Cleaning	Time Extension	MERS/Goodwill Industries	13%	\$ 140,483	\$ 431,792.88	07/23/19	\$ 35,121	\$ 607,397	Operations	90	1
17-SB-104153-CG		4	Boyle Avenue Station and CWE Platform Extension Package 4 - Communications	Time Extension/ Additional Funds	Sachs Electric Company	9%	\$ 540,645	\$ -	08/28/19	\$ 49,592	\$ 590,237	FTA #MO79-X004/ Cortex	180	3
19-RFP-106008-CB		1	Railway Signaling Integration Services for MetroLink Audio Frequency Track Circuit Upgrades	Time Extension	MJG/MRS Joint Venture dba Rocky Mountain System Services (RMSS)	0%	\$ 566,313	\$ -	06/26/20	\$ -	\$ 566,313	MO-54-001 & Prop M	180	1
19-SB-106099-DGR		1	MetroLink Phase 1 Substation AC Breaker Replacement	Additional Funds	Zeller Technologies, Inc.	0%	\$ 489,468	\$ -	01/15/20	\$ 38,888	\$ 528,356	FTA: MO-54-0001 & Prop M	0	0
16-RFP-102014-DR		2	Risk Management Information System	Option Yr. 2	Computer Sciences Corporation	0%	\$ 357,789	\$ 71,824.00	03/05/20	\$ 71,824	\$ 501,437	Transit Operating Uniform Budget	0	0
16-RFP-102791-CG		2	On-Call GEC Services/Traction Power Engineering Services	Option Yr. 2	STV Incorporated	0%	\$ 300,000	\$ 100,000	05/13/20	\$ 100,000	\$ 500,000	Various Per Task Order	0	0
18-RFP-104576-SG		2	Passenger Counting & Surveying	Option Yr. 2	Above All Personnel	10%	\$ 165,800	\$ 165,755.00	10/21/19	\$ 165,770	\$ 497,325	Operations	0	0
17-RFP-103939-SG		2	Bi-State Development Broker of Record Services	Option Yr. 2	McGriff, Seibels & Williams	0%	\$ 199,500	\$ 127,750	04/13/20	\$ 113,750	\$ 441,000	Operations	0	0
18-SB-105225-CB		1	Brentwood Oil & Water Separator	Time Extensions	The Harlan Company	8%	\$ 404,800	\$ -	04/27/20		\$ 404,800	MO-2016-026	180	2

Contract Modifications FY 2020  
July 1, 2019 - June 30, 2020

Contract #	Task Order	Mod #	Description	Reason for Mod	Contractor	DBE %	Original Contract Amount	Value of Previous Mods	Mod Date	Mod Amount	Revised Contract Amount	Funding Source	# Days Extend	# of Extension to Date
15-RFP-101423-SG		7	Temporary Employee Services for Quality Control Observation (Spotter)	Option Yr. 2/ Additional Funds	Above All Personnel	0%	\$ 50,650	\$ 315,950.00	03/19/20	\$ 35,000	\$ 401,600	Operations	0	0
17-SB-103398-SG		1	Metro Timetables Panel Size 4 thru 9	Option Yr 1/ 90 Day Extension	James Mulligan Printing	0%	\$ 233,704	\$ -	08/23/19	\$ 166,852	\$ 400,566	Operations	90	1
19-RFP-105520-MD	3	1	On-Call Information Technology Consulting Services - Task Order 3	Time Extension	Advance Resources Groups, Inc.	0%	\$ 187,200	\$ -	06/04/20	\$ 208,000	\$ 395,200	MO-90-X296 & Prop M	365	1
18-RFP-104845-DR		2	Northside-Southside Corridor TOD Planning Study	Time Extension	N/A	10%	\$ 375,000	\$ 5,000.00	07/01/19	\$ -	\$ 380,000	Operations	90	2
17-SB-104294-TJ		2	St Clair Yards & Shop	Additional Funds	MERS Goodwill	10%	\$ 219,963	\$ 15,000.00	10/24/19	\$ 131,982	\$ 366,945	Operations	0	0
16-SB-102491		3	Uniform Rental & Cleaning Services	Time Extension	Aramark	0%	\$ 167,773	\$ 142,297.00	08/11/19	\$ 48,000	\$ 358,070	Operations	120	1
16-SB-103049-CB		2	Roadbed Spraying Services	Optional Yr 2	Asplundh Tree Expert Co., Railroad Division	0%	\$ 205,367	\$ 70,752	06/22/20	\$ 72,165	\$ 348,284	Operations	0	0
13-RFP-5991-DR/VH/MD		2	On-Call Information Technology Consulting Services	Time Extension/ Additional Funds	Randstad Technologies	0%	\$ 150,000	\$ 97,440.00	08/20/19	\$ 97,440	\$ 344,880	Operations	105	1
17-RFP-103340-MD		3	On Call Public Relations and Community Engagement Support	Additional Funds	The Hauser Group, Inc.	0%	\$ 66,667	\$ 240,000.00	09/19/19	\$ 34,000	\$ 340,667	Operations	0	0

Contract Modifications FY 2020  
July 1, 2019 - June 30, 2020

Contract #	Task Order	Mod #	Description	Reason for Mod	Contractor	DBE %	Original Contract Amount	Value of Previous Mods	Mod Date	Mod Amount	Revised Contract Amount	Funding Source	# Days Extend	# of Extension to Date
16-SB-102788-CB		8	Refuse Removal Services	Option Yr. 3	Allied Waste Services/dba Republic Services		\$ 76,347	\$ 180,356	04/22/20	\$ 81,437	\$ 338,140	Operations	0	0
16-RFP-102859-DR		5	Pre-Employment Background Investigation Services	Option Yr 3	AccuSource, Inc.	0%	\$ 75,000	\$ 182,000.00	08/28/19	\$ 75,000	\$ 332,000	Operations	0	0
19-SB-105471-DGR		1	DeBaliviere Facility Masonry Repair	Additional Funds	Western Specialty Contractors	5%	\$ 327,337	\$ -	12/18/19	\$ 1,558	\$ 328,895	MO-90-X231 & Prop M	0	0
17-SS-103773-CG		2	Remix Software	Additional Funds/Time Extension	Remix Software, Inc.	0%	\$ 280,000	\$ 22,500.00	02/27/20	\$ 22,500	\$ 325,000	Operations	180	2
18-SB-105089-CB		4	Feeder Wire Rehabilitation & Substation Waterproofing at MO-05	Change in Scope	Wissehr Electrical	15%	\$ 318,800	\$ 10,557.38	07/12/19	\$ (9,963)	\$ 319,395	FTA MO-05-0028 & Prop M	180	2
17-SB-103729-CG		3	Oracle Analytics Software/ Maintenance	Time Extension/ Additional Funds	Mythics., Inc	0%	\$ 198,851	\$ 74,976.40	11/18/19	\$ 39,564	\$ 313,392	Operations	0	0
17-RFP-103340-MD		2	On Call Public Relations and Community Engagement Support	Option Yr 2	The Hauser Group, Inc.	0%	\$ 66,667	\$ 120,000.00	09/06/19	\$ 120,000	\$ 306,667	Operations	0	0
18-RFP-104933-DR/MD		1	Gateway Arch Public Relations Communications Agency Services	Additional Funds/Change in Scope	Common Ground Public Relations	0%	\$ 30,000	\$ 270,000.00	02/20/20	\$ 6,500	\$ 306,500	Operations	0	0



Contract Modifications FY 2020  
July 1, 2019 - June 30, 2020

Contract #	Task Order	Mod #	Description	Reason for Mod	Contractor	DBE %	Original Contract Amount	Value of Previous Mods	Mod Date	Mod Amount	Revised Contract Amount	Funding Source	# Days Extend	# of Extension to Date
17-SS-103773-CG		1	Remix Software	Time Extension/ Additional Funds	Remix Software, Inc.	0%	\$ 280,000	\$ -	11/12/19	\$ 22,500	\$ 302,500	Operations	90	1
19-RFP-105970-MD		1	Gateway Arch Marketing & Advertising Agency	Additional Funds	Paradigm New Media Group, Inc. (PNMG)	0%	\$ 275,000	\$ -	07/02/20	\$ 25,000	\$ 300,000	Operations	0	0
13-RFP-5991-DR/VH/MD	8	2	On-Call Information Technology Consulting Services	Time Extension/ Additional Funds	Amitech Solution, Inc.	0%	\$ 89,100	\$ 90,000.00	12/06/19	\$ 107,120	\$ 286,220	Operations	180	1
16-SB-103100-DAB		1	Metro's Towing & Wrecker Services	Option Yr. 1	Mike's Towing and Automotive Specialties, Inc.	15%	\$ 210,000	\$ -	11/21/19	\$ 70,000	\$ 280,000	Operations	0	0
16-SB-103049-CB		1	Roadbed Spraying Services	Option Yr. 1	Asplundh Tree Expert Co., - Railroad Division	0%	\$ 205,367	\$ -	11/18/19	\$ 70,752	\$ 276,119	Operations	0	0
16-SB-102788-CB		7	Refuse Removal Services	Additional Funds	Allied Waste Services	0%	\$ 76,347	\$ 179,360.72	11/22/19	\$ 995	\$ 256,703	Operations	0	0
13-RFP-5991-DR/VH/MD	8	1	On-Call Information Technology Consulting Services	Time Extension/ Additional Funds	Randstad Technologies	0%	\$ 119,600	\$ -	09/09/19	\$ 119,600	\$ 239,200	Operations	180	1
18-SB-104566-TJ		2	Alternate Transit Service Van Cleaning	Additional Funds	World Management Inc.	10%	\$ 69,960	\$ 69,960	04/20/20	\$ 91,063	\$ 230,983	Operations	0	0
17-SB-103918-CG		1	Audit Services - Pension and 401(k) Retirement Plan	Option Yr. 1	UHY LLP	0%	\$ 165,317	\$ -	12/09/19	\$ 57,165	\$ 222,482	Operations	0	0

Contract Modifications FY 2020

July 1, 2019 - June 30, 2020

Contract #	Task Order	Mod #	Description	Reason for Mod	Contractor	DBE %	Original Contract Amount	Value of Previous Mods	Mod Date	Mod Amount	Revised Contract Amount	Funding Source	# Days Extend	# of Extension to Date
17-RFP-103726-MD		4	On-Call Pre-Development Services	Option Yr. 3	PGAV Planner, LLC	0%	\$ 15,000	\$ 105,000.00	01/28/20	\$ 75,000	\$ 195,000	Operations	0	0
19-SB-105737-CB		2	Pedestrian Access Control - Fairview Heights, N. Hanley, Forest Park/DeBaliviere, Delmar and Central West End	Additional Funds	Raineri Construction, LLC	10%	\$ 142,650	\$ 43,058.05	03/26/20	\$ 8,113	\$ 193,821	FTA #MO-217-033, SCCTD & Prop M	160	2
14-RFQ-99354-DR		10	Metro TSM, OCC Training Instructors & Metro Group Uniforms	Time Extension	Blue Sky Apparel & Promotions, LLC	0%	\$ 114,741	\$ 71,217.63	10/08/19	\$ -	\$ 185,959	Operations	234	2
19-SB-105737-CB		1	Pedestrian Access Control - Fairview Hts., N. Hanley, Forest Park/DB, Delmar and CWE	Additional Funds/Time Extension	Raineri Construction, LLC	10%	\$ 142,650	\$ -	09/09/19	\$ 43,040	\$ 185,690	FTA #MO-217-033, SCCTD & Prop M	160	1
16-RFQ-101805-DAB		4	Bus and Van Inspection	Option Yr 4	First Transit, Inc	0%	\$ 42,744	\$ 110,953.12	08/21/19	\$ 30,000	\$ 183,697	SCCTD, MO 2017-033, Prop M, MO 2016-006	0	0
16-RFP-103214-MD		3	License Monitoring Program	Additional Funds / Option Yr 1	Embark Safety	0%	\$ 67,437	\$ 73,718.67	07/11/19	\$ 42,192	\$ 183,348	Operations	0	0
17-RFQ-103921-MD		1	ADA Eligibility Specialist (Temporary Services)	Option Yr. 1	Maxim Staffing Solutions	0%	\$ 123,590	\$ -	03/06/20	\$ 39,000	\$ 162,590	Operations	0	0
18-RFP-104818-CG		1	Systemwide Signage & Wayfinding Design	No Cost Time Extension	MERJE	0%	\$ 159,784	\$ -	08/28/19	\$ -	\$ 159,784	N/A	180	1
16-RFP-102111-CG	25	1	On Call GEC Services/Multiple Disciplines	Additional Funds	Jacobs Engineering	0%	\$ 79,568	\$ -	03/04/20	\$ 70,332	\$ 149,900	MO-54-0001/Prop M	0	0
19-RFP-105427-CG		1	On-Call Planning and Analysis Consulting Services - St. Louis Regional Freightway	Option Yr. 1	TranSystems Corporation	0%	\$ 74,119	\$ -	11/13/19	\$ 74,119	\$ 148,238	Operations	0	0

Contract Modifications FY 2020  
July 1, 2019 - June 30, 2020

Contract #	Task Order	Mod #	Description	Reason for Mod	Contractor	DBE %	Original Contract Amount	Value of Previous Mods	Mod Date	Mod Amount	Revised Contract Amount	Funding Source	# Days Extend	# of Extension to Date
19-RFP-105520-MD	1	1	On-Call Information Technology Consulting Oracle and E Business DBA Manager Consultant	Time Extension	Randstad Technologies	0%	\$ 117,000	\$ -	10/08/19	\$ 27,000	\$ 144,000	Operations	90	1
14-RFP-99137-DW-MD		2	Commissioned Artwork-Downtown Transfer Center	Additional Funds	Art.Site Integration of Art & Architecture	0%	\$ 60,000	\$ 60,500.00	10/18/19	\$ 14,664	\$ 135,164	FTA Grant # MO-90-X231 and Prop M	0	0
18-RFP-104849-MD		1	On-Call Graphic Design Services	Option Yr. 1	Graphic Design	0%	\$ 80,000	\$ -	02/14/20	\$ 40,000	\$ 120,000	Operations	0	0
19-SS-106093-CG		1	Professional Services Contractor Agreement for JNEM between BSD & TR advisors	Time Extension	Tr Advisors, LLC (Tara Rath)	0%	\$ 110,000	\$ -	03/18/20	\$ -	\$ 110,000	Jefferson National Expansion Memorial Beneficial	90	1



## Prevailing Wage Report Fiscal Year 2020 - April 1, 2020 - June 30, 2020

**Project:** 16-SB-102360-CB METRO DOWNTOWN TRANSIT CENTER - FTA GRANT NO# MO-04-0013; MO-90-X296; MO-95-X261

**Project Control ID:** Is Community Hiring Goal a Requirement: No

Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
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3148948888

KCI Construction

Start Date: **04/13/2016** End **10/03/2017**  
Contract Amount: **\$7,267,000.00**

10315 Lake Bluff Drive ,  
St. Louis , MO 63123

314.535.6063

Acme Glass

Start Date: **02/15/2017**

6369490605

ACOUSTICAL CEILINGS INC

Start Date: **05/01/2017**

3147766686

Allied Waterproofing Company, Inc.

Start Date: **03/01/2017**

636-937-7500

Blakely Sheet Metal, LLC

Start Date: **02/01/2017**

6362835031

C2 Service Group

Start Date: **05/01/2018**

3142925069

Coatings Unlimited

Start Date: **09/28/2018**

314-741-1637

Control Line, Inc.

Start Date: **07/01/2017**

636-343-5769

CR Painting and More, Inc

Start Date: **06/15/2017**

3144862038

D&L Painting and Drywall, LLC

Start Date: **03/01/2017**

3145341030	David Mason & Associates	Start Date: <b>05/01/2018</b>
3142003550	Enterprise Industrial Construction	Start Date: <b>07/15/2016</b>
314-329-9300	Flooring Systems	Start Date: <b>06/01/2017</b>
314-892-7622	Gateway Fire Protection Systems, Inc	Start Date: <b>05/01/2017</b>
3149977440	GEOTECHNOLOGY, INC.	Start Date: <b>06/01/2016</b>
6364091115	Hawkins Construction & Flatwork Contracting	Start Date: <b>07/21/2017</b>
3145346664	ICS CONSTRUCTION SERVICES	Start Date: <b>06/01/2017</b>
314-658-5203	Kaemmerlen Electric Company	Start Date: <b>04/25/2016</b>
3148723400	KMEIER Roof Systems, Inc	Start Date: <b>01/02/2017</b>
618-277-4280	MAYER LANDSCPAING INC	Start Date: <b>06/01/2016</b>
3148431000	Merlo Plumbing Co Inc	Start Date: <b>09/19/2016</b>
3143618090	MISSOURI TERRAZZO	Start Date: <b>12/01/2016</b>
8477053863	Penn Services LLC	Start Date: <b>11/01/2016</b>
6363494990	RF MEEH CO	Start Date: <b>04/15/2017</b>

3146441666  
Sally Waterproofing

Start Date: **11/20/2016**

5733925554  
SURECUT LAWCARE LLC

Start Date: **03/01/2017**

(636) 970-2710  
XL Contracting Inc.

Start Date: **07/01/2016**

314-534-1030  
DAVID MASON & ASSOC

Start Date: **08/01/2016**

Contract Amount: **\$0.00**

**Project:** 17-SB-103454-CB ELEVATOR REHAB - 8 UNITS - MO (FTA GRANTS MO-05-0028, MO-54-0001 AND PROP M)

**Project Control ID:** Is Community Hiring Goal a Requirement: No

Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
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3148902351

THE HARLAN COMPANY

Start Date: <b>05/26/2017</b>	End	<b>07/31/2018</b>
Contract Amount: <b>\$2,145,450.00</b>		

1515 PAGE INDUSTRIAL BLVD. ,  
ST. LOUIS , MO 63132

314-522-9400  
All American Painting Company

Start Date: <b>02/19/2018</b>	End Date: <b>09/06/2018</b>
Contract Amount: <b>\$23,694.00</b>	

6363431211  
Aschinger Electric

Start Date: <b>02/19/2018</b>	End Date: <b>09/06/2018</b>
Contract Amount: <b>\$179,920.00</b>	

3147710868  
BEETZ PLUMBING

Start Date: **04/16/2018**

LC9738124  
D&S Fencing Co., Inc

Start Date: **05/16/2017**

3146311554  
Degenhardt Heating & Cooling, Inc.

Start Date: <b>02/19/2018</b>	End Date: <b>09/06/2018</b>
Contract Amount: <b>\$184,695.00</b>	

9729635273  
ThyssenKrupp Elevator Corp.

Start Date: <b>02/14/2018</b>	End Date: <b>09/06/2018</b>
Contract Amount: <b>\$1,100,246.00</b>	

3149910800 THYSSENKRUPP ELEVATOR CORPORATION		Start Date: 02/14/2018	End Date: 09/06/2018
		Contract Amount: \$1,100,246.00	
Project: 17-SB-104149-DR - BOYLE - CENTRAL WEST END METROLINK STATION - FACILITIES (FTA GRANT MO-79-X004 AND CORTEX)			
Project Control ID:		Is Community Hiring Goal a Requirement: No	
Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor
3144215933			
L. Keeley		Start Date: 06/29/2017	End 10/31/2018
		Contract Amount: \$6,405,349.00	
500 South Ewing Avenue , Suite G St. Louis , MO 63103			
3147850078 BRK ELECTRICAL CONTRACTORS LLC			
Start Date: 07/03/2017			
		6363524818 Brandt Contracting, Inc.	Contract ID: 17020-03 Start Date: 07/01/2017 End Date: 08/01/2017 Contract Amount: \$75,789.00
		6363495999 GERSTNER ELECTRIC	Contract ID: SC#17020-01 Start Date: 06/23/2017 End Date: 05/31/2018 Contract Amount: \$377,037.00
		3148927550 Sager & Son	Contract ID: 17020-03 Start Date: 07/01/2017 End Date: 08/01/2017 Contract Amount: \$9,460.00
618-274-0105 BUMPY'S STEEL ERECTION LLC			
Start Date: 07/03/2017			
3147716200 Corrigan Company Mechanical Contractors			
Start Date: 05/02/2018			
6369378300 D & S FENCING CO INC			
Start Date: 07/03/2017			
LC9738124 D&S Fencing Co., Inc			
Start Date: 07/03/2017			
314-291-1111 DRILLING SERVICE CO			
Start Date: 02/20/2018			

3148436030

Kupferer Brothers Ironworks, Inc.

Start Date: **03/02/2018**

3142802800

St. Louis Steel

Start Date: **02/08/2018**

3144233338

Lorenz and Associates, Inc.

Start Date: **03/02/2018**

618-277-4280

MAYER LANDSCAING INC

Start Date: **07/03/2017**

3147739954

Mechanical Solutions

Start Date: **11/01/2017**

636-257-3701

Precision Daylighting, Inc.

Start Date: **05/02/2018**

End Date: **05/02/2018**

6365197770

ROSCH Co

Start Date: **06/20/2018**

(636) 978-7770

ROSCH COMPANY

Start Date: **03/26/2018**

6036214090

SPAN SYSTEMS, INC.

Start Date: **07/03/2017**

636332889

ST. CHARLES GLASS & GLAZING

Start Date: **07/09/2018**

6364753500

THOMAS INDUSTRIAL COATINGS, INC.

Start Date: **03/05/2018**

6362257800

Traffic Control Company

Start Date: **07/03/2017**

3142976968

Trinity Masonry

Start Date: **01/10/2018**

**Project:** 17-SB-104151-DGR BOYLE AVE. STATION & CWE PLATFORM EXTENSION PACKAGE 2 - TRACK (MO-79-X004 AND CORTEX)

**Project Control ID:** Is Community Hiring Goal a Requirement: No



Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
3142912233				
RAILWORKS TRACK SERVICES		Start Date: 10/12/2017	End	06/30/2018
		Contract Amount: \$1,808,394.00		
4301 BRIDGETON INDUSTRIAL DRIVE , BRIDGETON , MO 63044-1204				
	3144215933			
	L. Keeley		Start Date: 03/26/2018	
	3143812277			
	N & J RAILROAD CONTRACTING		Start Date: 05/07/2018	
Project: 17-SB-104152-CB BOYLE AVE STN AND CWE PLATFORM EXT PACKAGE 3 -SIGNALS FTA GRANT MO-79-X004 AND CORTEX				
Project Control ID:		Is Community Hiring Goal a Requirement: No		
Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
6183987575				
WISSEHR ELECTRICAL CONTRACTORS		Start Date: 07/30/2017	End	07/31/2018
		Contract Amount: \$726,787.03		
P.O. BOX 23798 , BELLEVILLE , IL 62223				
Project: 17-SB-104153-CG BOYLE AVE STN AND CWE PLATFORM EXT PKG 4 - COMMUNICATIONS FTA GRANT MO-79-X004 & CORTEX				
Project Control ID:		Is Community Hiring Goal a Requirement: No		
Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
3145322000				
SACHS ELECTRIC		Start Date: 08/23/2017	End Date:	03/01/2018
PO BOX 96 , ST. LOUIS , MO 63166				
	3144205550			
	Pearl Street Electric		Start Date: 08/18/2017	
Project: 17-SB-104494-CB, REPAIR & REPLACE CONCRETE AT DEBALIVIERE BUS FACILITY FTA GRANT MO-90-X296 & PROP M				
Project Control ID:		Is Community Hiring Goal a Requirement: No		

Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
6183379494 L. KEELEY CONSTRUCTION, INC.		Start Date: 08/16/2017 Contract Amount: \$287,927.75	End	12/31/2017
2901 FALLING SPRINGS RD , SAUGET , IL 62206				
3144215933 L. Keeley		Start Date: 08/28/2017 Contract Amount: \$287,927.75	End	12/31/2017
500 South Ewing Avenue , Suite G St. Louis , MO 63103				
	3145962311 JR CONCRETE SERVICES LLC		Start Date: 08/21/2017	
Project: 18-RFP-103593-DGR CM/GC for Union Station Tunnel				
Project Control ID:		Is Community Hiring Goal a Requirement: No		
Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
5313657619 Kiewit Corporation		Start Date: 02/01/2019		
12720 I Street , Suite 200 Omaha , NE 68137				
	20040815 CMT,LLC		Start Date: 03/13/2019	
	20050765 Crossroads Construction Services, Inc.		Start Date: 03/06/2019	
	6369378300 D & S FENCING CO INC		Start Date: 03/04/2019	
	636-225-0017 Elastizell of St. Louis, Inc.		Start Date: 05/14/2019	
	6362962012 KOZENY WAGNER		Start Date: 03/01/2019	

573-893-2335

Meyer Electric Company, Inc.

Start Date: **03/19/2019**

3146455566

Premier Demolition, Inc

Start Date: **04/01/2019**

LC9865431

Strick & Legit,LLC

Start Date: **03/28/2019**

6183987575

WISSEHR ELECTRICAL CONTRACTORS

Start Date: **06/03/2019**

LC9863821

ZOIE,LLC

Start Date: **05/01/2019**

3149391701

D&K Welding

Start Date: **03/13/2019**

LC9738124

D&S Fencing Co., Inc

Start Date: **11/19/2019**

End Date: **05/31/2020**

Contract Amount: **\$0.00**

3142911111

Drilling Service Co.

Start Date: **03/01/2019**

314-291-1111

DRILLING SERVICE CO

Start Date: **03/06/2019**

5738932335

Meyer Electric Compnay, Inc.

Start Date: **03/01/2019**

3147850078

BRK ELECTRICAL CONTRACTORS LLC

Start Date: **08/01/2019**

Contract Amount: **\$182,720.00**

**Project:** 18-SB-104831-MD PHASE 5 ADA MISSOURI METROBUS STOP ENHANCEMENT PROJECT - FTA GRANT FUNDED - MO-57-X006

**Project Control ID:** Is Community Hiring Goal a Requirement: No

**Prime Contractor**

**Subcontractor**

**Sub Subcontractor**

**Sub Sub Subcontractor**

**Sub Sub Sub Subcontractor**

3146675913

RAINERI CONSTRUCTION

Start Date: **04/05/2018**

End **07/31/2018**

Contract Amount: **\$143,336.00**

1300 Hampton Avenue Ste 200 ,  
ST. LOUIS , MO 63109

**Project:** 18-SB-104938-CB ELECTRICAL INSTALLATION - ILLINOIS SECURITY GUARD SHACKS (MO-90-X296 AND SCCTD)

**Project Control ID:** Is Community Hiring Goal a Requirement: No

Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
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6183987575

WISSEHR ELECTRICAL CONTRACTORS

Start Date: <b>03/26/2018</b>	End	<b>06/26/2018</b>
Contract Amount: <b>\$66,860.00</b>		

P.O. BOX 23798 ,  
BELLEVILLE , IL 62223

**Project:** 18-SB-105089-CB FEEDER WIRE REHABILITATION AND SUBSTATION WATERPROOFING AT MO-05

**Project Control ID:** Is Community Hiring Goal a Requirement: No

Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
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6183987575

WISSEHR ELECTRICAL CONTRACTORS

Start Date: <b>07/24/2018</b>	End	<b>12/07/2018</b>
Contract Amount: <b>\$318,800.00</b>		

P.O. BOX 23798 ,  
BELLEVILLE , IL 62223

6369378300  
D & S FENCING CO INC

Start Date: <b>10/01/2018</b>
Contract Amount: <b>\$26,420.00</b>

LC9738124  
D&S Fencing Co., Inc

Start Date: <b>10/07/2018</b>	End Date: <b>06/01/2019</b>
Contract Amount: <b>\$26,420.00</b>	

3146675913  
RAINERI CONSTRUCTION

Start Date: <b>04/01/2019</b>	End Date: <b>06/02/2019</b>
Contract Amount: <b>\$8,520.00</b>	

**Project:** 18-SB-105153-CG Rehab & Overlay Repair Illinois Bus Facility Training Lot - FTA Funding MO-90-X296

**Project Control ID:** Is Community Hiring Goal a Requirement: No

Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
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3145677997

BYRNE & JONES CONSTRUCTION INC.		Start Date: 06/25/2018	End	10/01/2018
		Contract Amount: \$211,900.00		
11745 REAR LACKLAND , ST. LOUIS , MO 63146				
Project: 18-SB-105225-CB BRENTWOOD OIL AND WATER SEPARATOR				
Project Control ID:		Is Community Hiring Goal a Requirement: No		
Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
3148902351				
THE HARLAN COMPANY		Start Date: 03/21/2019	End	10/31/2019
		Contract Amount: \$404,800.00		
1515 PAGE INDUSTRIAL BLVD. , ST. LOUIS , MO 63132				
Project: 18-SS-104906-CB Emergency Temporary Shoring of Union Station Tunnel				
Project Control ID:		Is Community Hiring Goal a Requirement: No		
Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
6183379494				
L. KEELEY CONSTRUCTION, INC.		Start Date: 01/06/2018	End	04/30/2018
		Contract Amount: \$100,000.00		
2901 FALLING SPRINGS RD , SAUGET , IL 62206				
Project: 18-SS-104908-CB Temporary Shoring & Barrier Curbs at Delmar Station				
Project Control ID:		Is Community Hiring Goal a Requirement: No		
Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
3148902351				
THE HARLAN COMPANY		Start Date: 01/06/2018	End	03/31/2018
		Contract Amount: \$50,000.00		
1515 PAGE INDUSTRIAL BLVD. , ST. LOUIS , MO 63132				
Project: 18-SS-105288-CB CROSS COUNTY HANLEY BRIDGE - STEEL REPAIR (OPERATIONAL FUNDING)				
Project Control ID:		Is Community Hiring Goal a Requirement: No		
Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor

6362963300				
ST. LOUIS BRIDGE COMPANY		Start Date: 05/23/2018	End Date: 07/31/2018	
655 LANDMARK DRIVE , ARNOLD , MO 63010				
Project: 19-RFQ -105558-FP Feeder Cables at MO-25 Substation				
Project Control ID:		Is Community Hiring Goal a Requirement: No		
Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
618-398-7575				
Wissehr Electrical Contractor		Start Date: 11/15/2018		
5801 W. State Route 161 , Belleville , IL 62223				
Project: 19-RFQ-105651-CB FURNISH & INSTALL SECURITY FENCES @ 3 METROLINK SIGNAL HOUSES				
Project Control ID:		Is Community Hiring Goal a Requirement: No		
Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
314/869-8000				
Collins & Hermann, Inc.		Start Date: 03/26/2019	End Date: 06/30/2019	
1215 Dunn Road , St. Louis , MO 63138				
Project: 19-RFQ-106189-CG Install New Fiber Optic Cable - BSD Central Facility PBX Room to Server Room FTA MO-2016-026				
Project Control ID:		Is Community Hiring Goal a Requirement: No		
Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
3143932903				
L'Rae Industries LLC dba Arden Technologies		Start Date: 06/05/2019	End Date: 08/30/2019	
Contract Amount: \$4,500.00				
4285 River Oaks Drive , Florissant , MO 63034				
Project: 19-SB-105737-CB PEDESRIAN ACCESS CONTROL				
Project Control ID:		Is Community Hiring Goal a Requirement: No		

Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
3146675913				
RAINERI CONSTRUCTION		Start Date: 02/26/2019	End	06/30/2019
		Contract Amount: \$142,650.00		
1300 Hampton Avenue Ste 200 , ST. LOUIS , MO 63109				
LC9892717				
Empire Fence and Custom Iron Works, Inc.		Start Date: 08/01/2019		
Project: 19-SB-106178-FP Wellston Walkway and Drainage Improvements				
Project Control ID:		Is Community Hiring Goal a Requirement: No		
Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
6362962012				
KOZENY WAGNER		Start Date: 08/27/2019	End Date:	12/27/2019
951 WEST OUTER ROAD , ARNOLD , MO 63010				
3147850078				
BRK ELECTRICAL CONTRACTORS LLC		Start Date: 12/02/2019		
6369378300				
D & S FENCING CO INC		Start Date: 09/16/2019		
636-225-0017				
Elastizell of St. Louis, Inc.		Start Date: 10/01/2019		
		(314) 869-8000		
		COLLINS & HERMAN	Start Date: 11/01/2019	
		3148698000		
		COLLINS & HERMANN	Start Date: 11/04/2019	
Project: 20-SB-106637-CB 5TH & MO PARKING LOT REHABILITATION				
Project Control ID:		Is Community Hiring Goal a Requirement: No		
Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor

<div> <div>618-259-2485</div> <div>STUTZ EXCAVATING, INC.</div> <div>3837 Fosterburg Road , Alton , IL 62002</div> </div>				
<div> <div>618-310-0105</div> <div>Right Way Traffic Control, Inc.</div> <div>Start Date: 03/17/2020</div> </div>				
<div> <div>Project: 20-SB-106694-CB DEBALIVIERE BUS FACILITY WESTERN WALL REPLACEMENT</div> <div>Project Control ID: Is Community Hiring Goal a Requirement: No</div> <div> <div>Prime Contractor</div> <div>Subcontractor</div> <div>Sub Subcontractor</div> <div>Sub Sub Subcontractor</div> <div>Sub Sub Sub Subcontractor</div> </div> </div>				
<div> <div>6362962012</div> <div>KOZENY WAGNER</div> <div> <div>Start Date: 04/20/2020</div> <div>Contract Amount: \$498,869.00</div> </div> <div>951 WEST OUTER ROAD , ARNOLD , MO 63010</div> </div>				
<div> <div>6362716300</div> <div>Arrow Drilling</div> <div>Start Date: 06/01/2020</div> </div>				
<div> <div>6369378300</div> <div>D &amp; S FENCING CO INC</div> <div>Start Date: 05/01/2020</div> </div>				
<div> <div>636-255-0808</div> <div>TRAMAR CONTRACTING INC.</div> <div>Start Date: 05/01/2020</div> </div>				
<div> <div>Project: 20-SB-106786-CB, Restroom &amp; Locker Room Rehabilitation at Illinois Bus Facility</div> <div>Project Control ID: Is Community Hiring Goal a Requirement: No</div> <div> <div>Prime Contractor</div> <div>Subcontractor</div> <div>Sub Subcontractor</div> <div>Sub Sub Subcontractor</div> <div>Sub Sub Sub Subcontractor</div> </div> </div>				
<div> <div>3145221011</div> <div>INTERFACE CONSTRUCTION CORPORATION</div> <div> <div>Start Date: 06/01/2020</div> <div>End 09/30/2020</div> <div>Contract Amount: \$2,395,280.00</div> </div> <div>8401 WABASH AVENUE , ST. LOUIS , MO 63134</div> </div>				
<div> <div>Project: SCCTD Bus Shelters</div> <div>Project Control ID: Is Community Hiring Goal a Requirement: No</div> </div>				



Prime Contractor	Subcontractor	Sub Subcontractor	Sub Sub Subcontractor	Sub Sub Sub Subcontractor
3146675913				
RAINERI CONSTRUCTION		Start Date: 12/20/2019	End Date:	05/31/2020
1300 Hampton Avenue Ste 200 , ST. LOUIS , MO 63109				

**PROCUREMENT CARD PROGRAM  
ADMINISTRATIVE REVIEW STATISTICS  
JULY 1, 2019 - December 31, 2019**

	1st QUARTER FY20		2nd QUARTER FY20		3rd QUARTER FY20		4TH QUARTER FY20		FY2020 YTD TOTAL	
	TRANSACTION COUNT	TRANSACTION AMOUNT	TRANSACTION COUNT	TRANSACTION AMOUNT	TRANSACTION COUNT	TRANSACTION AMOUNT	TRANSACTION COUNT	TRANSACTION AMOUNT	TRANSACTION COUNT	TRANSACTION AMOUNT
TOTAL TRANSACTIONS	4044	\$ 1,400,653	3445	\$ 1,225,004	4066	\$ 1,458,984	3971	\$ 1,557,894	15,526	\$ 5,642,535
TRANSACTIONS REVIEWED	4044	\$ 1,400,653	3445	\$ 1,225,004	4066	\$ 1,458,984	3971	\$ 1,557,894	15,526	\$ 5,642,535
TRANSACTIONS INVESTIGATED	138	\$ 119,129	159	\$ 81,408	162	\$ 120,572	269	\$ 314,812	728	\$ 635,921
PERCENTAGE OF TOTAL INVESTIGATED	3.4%	8.5%	4.6%	6.6%	4.0%	8.3%	6.8%	20.2%	4.7%	11.3%
CONFIRMED PROCEDURAL VIOLATIONS	7 TRANS 2 INCIDENTS	\$ 9,214	3 TRANS 2 INCIDENTS	\$ 3,296	0 TRANS 0 INCIDENTS	\$ -	0 TRANS 0 INCIDENTS	\$ -	10 TRANS 4 INCIDENTS	\$ 12,511
CONFIRMED VIOLATION PERCENTAGE OF TOTAL	0.0%	0.7%	0.1%	0.3%	0.0%	0.0%	0.0%	0.0%	0.0%	0.2%
TRANSACTIONS WITH SALES TAX	15	\$ 3,160	20	\$ 3,456	34	\$ 2,353	43	\$ 10,317	112	\$ 19,286
SALES TAX CHARGED	11	\$ 121	7	\$ 51	21	\$ 185	17	\$ 143	56	\$ 500
PERCENTAGE OF TOTAL TRANSACTIONS WITH SALES TAX	0.4%	0.2%	0.6%	0.3%	0.8%	0.2%	1.1%	0.7%	0.7%	0.3%
REFUNDED SALES TAX	4	\$ 104	11	\$ 169	13	\$ 586	26	\$ 466	54	\$ 1,325



**Bi-State Development Agency  
Combined Operations Committee and  
Audit, Finance & Administration Committee  
Agenda Item  
August 27, 2020**

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**From:** Kent W. Swagler, CCEP  
Director of Corporate Compliance and Ethics  
**Subject:** **Compliance and Ethics “State of the Agency”**  
**Disposition:** Information  
**Presentation:** Kent W. Swagler, Director of Corporate Compliance and Ethics

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**Objective:**

To update the Audit, Finance & Administration Committee on the “State of the Agency” for Bi-State Development’s (BSD) Corporate Compliance and Ethics requirements and programs.

**Background:**

The enclosed presentation will provide the current state of the Agency with respect to meeting its documented compliance requirements for the period January 1, 2019 to June 30, 2020. Current status of compliance and ethics programs, initiatives, and training programs will also be presented.

**Board Policy:**

*Chapter 100 Compliance Program.* Although not required by a specific Board Policy, best practice dictates that the Director of Corporate Compliance and Ethics provide an annual update on the status of compliance and ethics requirements, issues, and programs.

**Analysis:**

Analysis to be presented will include compliance requirements status and results of division reviews across the entire agency.

**Committee Action Requested:**

This material is presented to the combined Operations and Audit, Finance & Administration Committees for information only.

**Attachment:**

1. Compliance and Ethics “State of the Agency” presentation as of June 30, 2020

**Funding Source:**

Funding is provided through operating funds.





BI•STATE  
**DEVELOPMENT**

# Corporate Compliance & Ethics “State of the Agency” Report

As of June 30,2020

Kent Swagler CCEP  
Director, Corporate Compliance  
Direct line (314) 923-3097  
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## Agenda

- Consolidated Compliance Requirements Reviews
- Employee Policy Compliance Update
- Compliance and Ethics Training Program Update
- Records Retention Reviews
- Payment Card Industry (PCI) Compliance Update

## Consolidated Compliance Requirements List

Lists requirements with associated statute / regulatory references, required report status, and review status

- Reviewed/updated associated statute / regulatory references for all 320 requirements
  - 34 updated statutes and regulations
- 2019 - 2020 annual review completed
- Issues identified, resolved, or in process with 23 requirements (up from 6 in 2018, 18 from FTA triennial audit; all on hold due to COVID-19)
  - All inspection completion, documentation update related
- HIPAA annual self-assessment (42 requirements): No findings
- **Overall Rating for 2020: Compliant**



## Employee Policy Compliance Update

- 2019 – present: 152 policies/procedures reviewed for compliance with statute or regulator updates, 42 were revised
- 2014: Over 1,100 uncompleted readings aged over 18 months
- 2019 - Present: 11,270 readings completed on an average of 6 days (down 1 day from 2018)
- Policy readings and training records key for substantiating disciplinary actions, suspensions, and/or terminations for 7 BSD employee grievance/legal proceedings
  - Averted ~\$0.84M in additional settlements in 2019 \*
  - 49 total proceedings, ~\$4.6M since 2011
- **Overall Rating for 2020: Compliant**
  - \* (Legal/Compliance industry standard ~ \$100K - \$120K savings/litigation)

## Compliance and Ethics Training Program

### Completed training:

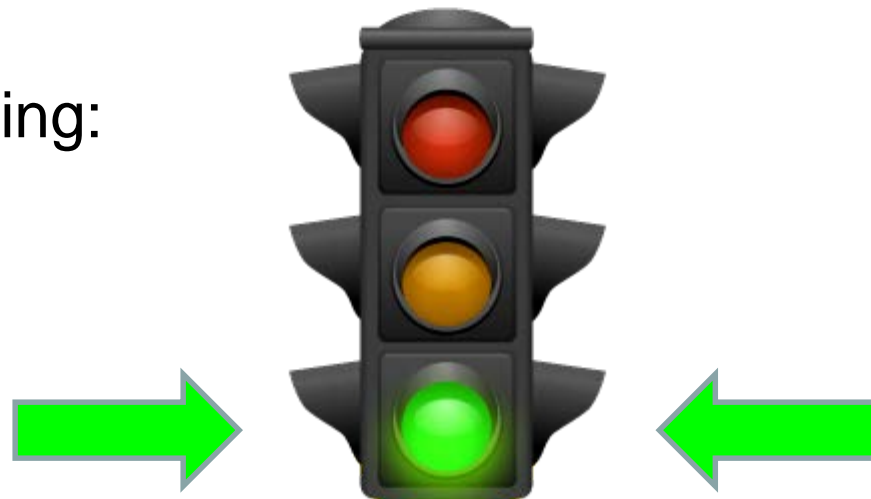
- Corporate Compliance and Ethics/Workplace Violence Prevention (337 new employees):
  - Salaried employees (130, up 57 (78%) from 2018)
  - MetroLink and Call-A-Ride Operators (153, up 35 (30%) from 2018)
  - MetroBus Operators (121, down 32 (21%) from 2018)
  - Refresher webinar training (130 employees)
- Information Security/Records Management: 100%
  - 75 department managers; annual refresher training delayed due to COVID-19; will be conducted by Sept 1, 2020
  - HIPAA training: 36 employees (Internal Audit, Talent Management, Labor Relations, TSMs, Dispatchers, and ADA services)
- **Overall Rating for 2020: Compliant**

## Compliance and Fraud Helpline Audit

- Internal Audit period: July 1 2018 – February 28, 2019
- Overall Helpline reporting, management, and system administration compliant with industry-standard best practices
- Completed Recommendations:
  - Updated Board Policy Chapter 100, Compliance Program;
  - Published Helpline Report Investigator and Senior Management Access and Investigation Instructions;
  - Published internal department process memo for EthicsPoint system administrative management; and
  - Transferred reporting management responsibility for Metro Transit Operator assaults to Public Safety

## Final Evaluation Rating for 2019-2020

- Corporate Compliance Requirement: **Compliant**
- Adherence to Policies and Procedures: **Compliant**
- Employee Training Completion: **Compliant**
- Records Retention and Information Security: **Compliant**
- Overall Rating:





# VISION



*"Now more than ever, Metro is committed to meeting the needs of our team members, customers, and community. We are driven to deliver service that is safe, secure, and attractive. We are combining reliable performance with cutting edge programs to make Metro a mobility system of choice for residents and visitors across the St. Louis region."*

*Jessica Mefford-Miller*

Jessica Mefford-Miller  
Executive Director, Metro Transit

## METRO TRANSIT OPERATIONS UPDATE

**August 27, 2020**

**BSD Board of  
Commissioners  
Operations Committee**



## PERFORMANCE

### Metro Transit Operations At-A-Glance

FY20 Annual Performance Measures	MetroBus Fixed Route + Special Services	FY20 vs. FY19	MetroLink	FY20 vs. FY19	Call-A-Ride	FY20 vs. FY19
System Ridership	18,842,600	(-17%)	10,510,200	(-20%)	412,964	(-21%)
Missouri	16,751,900	(-18%)	8,446,600	(-21%)	412,964	(-21%)
Illinois	2,090,700	(-12%)	2,063,600	(-17%)		
Revenue Miles	16,719,508	(-10%)	2,923,400	(-4.4%)	4,294,000	(-18%)
Revenue Hours	1,233,000	(-12%)	126,000	(-3.4%)	242,100	(-16%)
On-Time Performance	91.1%	(-0.9%)	98.3%	0.4%	94.9%	3.2%
MetroBus + MetroLink 12-Month Rolling Average Fare	\$0.99	(-5.7%)	Call-A-Ride 12-Month Rolling Average Fare		\$2.60	(-13%)
Financials	FY20 12-Month Actual		FY20 12-Month Budget		Budget Adherence	
Expenses (Transit)	\$316,527,400		\$325,843,500		(-\$9,316,100) / (-2.9%)	
Passenger Revenue	\$29,918,700		\$36,886,100		(-\$6,967,400) / (-19%)	

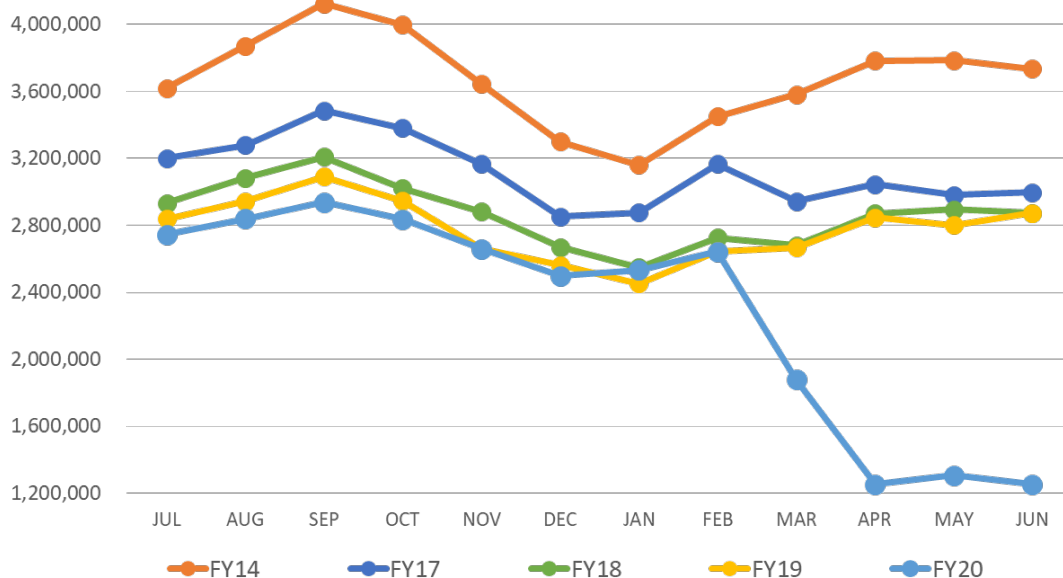
# RIDERSHIP TRENDS

## Fiscal Year Outlook

FY17, FY18,  metro  
FY19 & FY20 vs.  
Peak FY14  
Ridership Levels

- ➔ FY20 Q1 & Q2 ridership was shaped by several notable events. After a spike in ridership in the last quarter of FY19 due to Stanley Cup Playoff events, Fair St. Louis contrasted with disappointing attendance. The implementation of Metro Reimagined, as expected, temporarily destabilized ridership as customers acclimated to new service schedules.
- ➔ At the start of the Metro System saw ridership gains and stabilization, likely due to streamlined service and added frequency within the Metro Reimagined plan & implementation.
- ➔ In response to COVID-19 crisis and social distancing measures implemented across the region, ridership on all modes in March & April dropped abruptly. By the end of April and through the first half of May, MetroLink ridership rapidly decreased on a week-by-week basis to nearly 70% of base ridership levels, and Call-A-Ride to 60%. The decline on MetroBus was no less abrupt but remained relatively stable through April and the first half of May hovering around 50% of base level ridership for the bulk of the fourth quarter.
- ➔ On May 15<sup>th</sup>, businesses in the region began to gradually reopen permitting many riders to return to work, patron businesses, and schedule elective medical procedures. The reopening impacted MetroLink and Call-A-Ride positively, with significant gains to average daily ridership through June. In contrast, MetroBus saw a slight dip in June ridership, likely due to variety of different reasons unrelated to the reopening, including the already relatively higher proportion of riders on MetroBus throughout the pandemic, reinstatement of MetroBus fares on June 1<sup>st</sup>, and heightened protest activity around the region. All modes see a slight-to-moderate gains in preliminary July ridership reports, indicating if conditions in the region improve, riders may gradually return to the system. Call-A-Ride remains fare free.

### STANDARDIZED FIXED-ROUTE RIDERSHIP (TOTAL SYSTEM)



# Fiscal Year 2020 in Review

*The coronavirus pandemic has been a pronounced event for FY20. This crisis has altered our operations, ridership and financial outlook beginning in March 2020, and its impacts will last for months to come. However, the challenges of today should not overshadow the progress the Metro team has made in the past year. I want to highlight a few of our recent achievements:*

**We are focused on growing and sustaining ridership.** We are reinvesting in our MetroBus system through Metro Reimagined, and in the months immediately preceding the coronavirus pandemic our ridership began to climb out of a nearly four year decline. We have launched new mobility programs that expand the reach of MetroBus and MetroLink, and technology solutions that make transit easier to use.

**We are creating a safer, more secure Metro.** Our new Public Safety approach is more focused on the needs of our customers and team members, and we are making good progress in creating a more secure system thanks to Metro's Public Safety team, G4S contract security, and our law enforcement partners.

**We operating and maintaining a safe, reliable and efficient transit system.** Our reliability and efficiency continues to lead the transit industry. We are building on this success as we prepare to launch our battery electric bus program at the end of the year, and we are making improvements across the system including new signage, access control investments at our MetroLink stations.

**We are achieving greater financial sustainability.** Our budgeted expenses are now closer in line with our anticipated revenue, and we are carefully planning our expenditures. We have gained greater confidence from our funding partners, and the fiscal year 2021 budget has been approved by the City of St. Louis and St. Louis County. We ratified a 3-year operations and maintenance contract with the Amalgamated Transit Union (ATU) Local 788; in August 2020 we are seeking Board authorization to execute a collective bargaining agreement with the International Brotherhood of Electrical Workers (IBEW); and we are preparing for our next contract negotiations with ATU Call-A-Ride Operators.

**We are focusing on developing and engaging our team members.** Our team members have told us that they want greater transparency, and more frequent information about what's going on at Bi-State Development. We have begun engaging more often with our teams, and are communicating with frequent email updates, the Weekly Buzz, and events across our facilities. We are working to develop special training opportunities for you across the organization, and we look forward to rolling those out in the year head.

**While we have made tremendous progress, we have important work ahead of us.** We will continue to work toward achieving these strategic goals, and responding to new realities:

- We have to keep our team safe. This has become more difficult in the midst of the coronavirus pandemic, and we will remain vigilant in our efforts.
- We will remain relentless in our pursuit for a more secure Metro Transit.
- As we begin to move beyond COVID-19, we must deliver service that is meaningful and competitive so that we can recover from the tremendous ridership loss of recent months.



- We will deliver a strong capital project program that is responsive to critical challenges including making our system more secure, preserving and replacing our aging rail fleet, delivering projects that improve the experience of our customers, and continuing to maintain focus on state of good repair.
- We will develop more focused and meaningful training opportunities for team members across the organization, both in formal settings like classrooms and computer-based training, but also through informal programs including new employee mentoring.
- Finally, we must all understand that transit is a vital resource for the African American community, and that our service is provided by a predominantly African American team. We will have difficult but important conversations about racial equity inside and outside our organization. We will critically evaluate the services and programs we provide. We must follow up with action to build a truly inclusive transit system and organization. Bi-State Development has created a staff-led Racial Equity Task Force. This task force is committed to valuing all team members for their unique experiences, insights and talents. They will review and recommend revisions to any BSD policies or practices that do not lend themselves to racial equity. This task force is preparing now to launch its first “Let’s Talk” employee engagement series.

## METRO LEADERSHIP TEAM UPDATE

BSD and Metro leadership have been working to build a team that is prepared to achieve our strategic goals. The realization of these goals requires a talented and coordinated team that is focused on a set of clear objectives, and has the training and support necessary to guide their performance. Effective August 2020 Metro made adjustments to the organization and leadership of the transit functions outlined here:

- All Metro capital assets, including vehicles, operating facilities, customer facilities and MetroLink right of way and systems are now organized within a central **Transit Asset Team**, led **Assistant Executive Director for Transit Assets Darren Curry**.
- **MetroLink Operations** is now led by a **General Manager Martin Gulley**. The General Manager of MetroLink Operations provides strategic direction and oversight for all MetroLink light rail operations.
- Metro’s **Vehicle Maintenance Division**, which is responsible for maintaining the MetroBus, MetroLink, Call-A-Ride and non-revenue fleets is now led by **Chief Mechanical Officer Dale Schaefer**.
- **Melvin Barkley** joined the Metro team as **MetroBus Senior Director of Operations**. This role is responsible for ensuring safe, reliable and effective operation of MetroBus service through the daily management and engagement of MetroBus operators, front-line supervisors and service area managers.
- **Bertram Desha** joined the Metro team as **Director of MetroBus Service Performance**. This position will help drive the MetroBus team to attain its strategic goals through the development, implementation, and monitoring of programs and tools that measure the safety and effectiveness of MetroBus operations.

# COVID-19 RESPONSE

*Bi-State Development is now in its 25<sup>th</sup> week of emergency operations in response to the COVID-19 pandemic. Ramp-down activities, including facility closures and service reductions are assumed to have reached their peak and we are in the process of implementing a multi-phase recovery program. Throughout our COVID-19 response we have been guided by these objectives:*

1. **Protect Team Members and Customers.**
2. **Provide Reliable, Meaningful Service.**
3. **Preserve Capacity to Recover.**

## KEEPING TEAM MEMBERS & CUSTOMERS SAFER

Bi-State Development (BSD) is continuing its commitment to keep our team members and customers as safe as possible. Most measures previously discussed at the May 21, 2020 Operations Committee meeting are continuing, including employee temperature screening; distribution and required use of personal protective equipment (PPE); distancing measures onboard vehicles including striping around operator cabins and reduced capacity; and enhanced cleaning and disinfecting of vehicles and facilities.

Additional safety measures that have been introduced in the past three months to inhibit the spread of coronavirus include:

- Metro Transit introduced a new **mobile payment option** to help protect passengers and transit employees by providing a contactless, visually validated fare option beginning on June 22.
- Beginning on June 24, BSD deployed a combination of technology based solutions to provide a reliable long-term approach to screening employee body temperatures. We continue to develop solutions to reduce dependence on third-party vendor screening resources and potentially bringing monitoring in-house through either a centralized or decentralized approach. To date, a total of nine **thermo scanners** across Metro operating facilities.
- Metro improved signage around all COVID safety protocols and provided enhanced employee education.
- Metro Emergency Operations Center conducted a **Coronavirus Response Mid Action Review** on July 23 with Executive Leadership in an effort to reflect on best practices with the response as well as future considerations for pandemic phases.
- Metro deployed ten employee **self-serve PPE vending machines** stocked with disposable gloves, hand sanitizer, KN-95 Masks, Surgical Masks and Cloth Masks beginning on August 1.
- Metro established a working group to enhance COVID-19 employee testing protocols. The goal is to limit the spread of COVID-19 while returning employees to work as quickly as feasible. By the end of August, we expect to have a program in place that will provide access to **PCR rapid testing to any employee** who exhibit COVID-19 symptoms, or may have been exposed to COVID-19 inside or outside of the workplace.

## Safety Data Analysis

As of August 19, 2020, the total number of COVID-19 positive cases in St. Louis City and County are 5,596 and 19,449 respectively for a total number of 25,045 COVID-19 positive cases.

At the end of June and throughout July, the St. Louis region sustained a significant spike that at its peak saw a 500% increase in daily new confirmed cases. While this increase did occur in conjunction with an increase in daily testing, approximately 5000 tests per day administered, the 7 day average of percentage of positive tests doubled; at times the average was nearly 10%.

Since August 1st, the number of daily new cases and percentage of positive tests has plateaued. There has been no statistically significant change in trends over the last 14 days.

As of August 19, 2020, the total number of COVID-19 Positive Cases in St. Clair County is 5,005 with a total of 52,111 people tested. St. Clair County did not experience a significant spike like the Missouri side of the region. For the last 6 weeks, the county has seen a steady rise in the number of daily new cases and currently has a positive case rate of 8.8%.

**As of August 19, 2020 a total of 86 BSD employees or contractors have tested positive for COVID-19.**

## COVID-19 OPERATIONAL & FINANCIAL IMPACT

### Transit Service

MetroBus and MetroLink continue to operate a reduced service level that is focused on current demand and available personnel. Since March 23, 2020 Metro has implemented a series of operating plans that reduced, and later began restoring service. On August 31, 2020 Metro will restore additional service, and at that time will be operating approximately 79% of normal service:

- No changes to MetroLink service from current levels (91% of base)
- In Missouri, MetroBus will generally continue to operate at present levels of service, with enhancements due to modestly increased operator availability:
  - Service will be restored on two routes that have been suspended – #56-Kirkwood and #59-Oakland
  - Frequency will be improved on key routes/times of day that have had reduced service: #21-Watson, #33-Midland, and #58-Chesterfield Valley
- In St. Clair County, IL, Metro will resume operating the regular weekday, Saturday, and Sunday schedules on remaining routes, returning to schedules operated in early March 2020.
- Call-A-Ride continues to operate demand-responsive service for eligible disabled customers. Throughout the COVID-19 crisis Call-A-Ride has met trip requests for Americans with Disabilities Act (ADA) eligible trips.
- In July 2020, Call-A-Ride ridership was approximately 25% less than same month, prior year.

### Outlook

- The operational, financial, and ridership impacts of the COVID-19 crisis will likely continue well in to 2021 and perhaps beyond. The most critical threats facing BSD and Metro include impacts

to team members including absenteeism and attrition; loss of operating and capital revenue; increased expenses associated with COVID-19 response; and significantly diminished ridership.

- Staff is closely monitoring system performance, and in collaboration with Finance is preparing revised budget estimates to preserve Metro's financial sustainability.

## Service Recovery Planning

- Recovery will be measured, with full restoration of Metro transit services not likely until spring 2021.
- The managed restoration of service and supporting operations will likely occur over a series of service changes from June 2020 - March 2021. Each of these planned service changes will be augmented over time in response to operator availability and passenger demand:
  - **June 2020: Restoration of MetroBus fare collection** with a revised fare collection plan. Paper transfers will not be distributed or collected.
  - **June 2020:** Launch of **mobile fare collection** pilot to drive increase in contactless fare payment.
  - **June – August 2020: MetroBus service restored** incrementally in response to demand and available personnel.
  - **November 2020:** Additional restoration of service in response to demand.
  - **March 2021: Stabilization of service**, including full implementation of St. Clair County's *TransitVision 2020*.

## Restoring Ridership

- Metro will continue to monitor ridership including drivers of demand such as business and school reopenings.
- Service design and marketing will rely on market research and customer feedback to ensure that Metro is focused on meeting consumers' new expectations for safety, service and convenience.
- Service design principles will continue to focus on providing high capacity in productive markets, complemented by fixed route, microtransit and mobility partnerships in other markets.
- Metro will begin rolling out upgrades to fare collection and other technology in June 2020.
- Pass sales will increase focus on employer relationships, electronic and contactless fare payment mechanisms.
- Enhanced cleaning and other safety measures will continue as needed, innovating and making use of new materials and supplies as they become available.