



# Board of Commissioners

November 20, 2015, 8:00 a.m.

## Notice of Meeting and Agenda

**Bi-State Development  
Board of Commissioners  
Friday, November 20, 2015, 8:00 a.m.**

**Headquarters - Board Room, 6<sup>th</sup> Floor  
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 Metro 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.**

Agenda	Disposition	Presentation
1. Call to Order	Approval	Chairman Dietzel
2. Roll Call	Quorum	S. Bryant
3. Minutes of September 25, 2015, Open Session Board Meeting	Approval	Chairman Dietzel
4. Report of Treasurer	Information	Commissioner Buehlhorn
5. Report of President	Information	J. Nations
6. Business Services & Economic Development Committee Report	Information	Commissioner Holman
7. Operations Committee Report	Information	Commissioner Buehlhorn
8. Audit Committee Report	Information	Commissioner Gully
9. Adjustment of Consent Agenda	Approval	Chairman Dietzel
10. Consent Agenda Item(s)	Approval	Chairman Dietzel
(a) Sole Source Contract Award: GE Transportation Systems (GETS) – Global Signaling (Operations Committee Recommends Approval)	Approval	J. Nations / R. Friem L. Jackson
(b) Contract Modification With Maida Engineering, Inc. for Additional Design for Jefferson National Expansion Memorial Motor-Generator Sets Replacement (Business Services & Economic Development Committee Recommends Approval)	Approval	J. Nations / J. Nixon / C. Baragary
(c) 2012 – 2015 Title VI Program (Audit Committee Recommends Approval)	Approval	J. Nations / R. Friem
11. Revision to <i>Board Policy Chapter 30, Section 30.070, Hedging</i> (Business Services & Economic Development Committee Recommends Final Approval Without Tabling Pursuant to Article VI (D) of the Board Policies)	Approval	J. Nations / K. Klevorn / T. Fulbright
12. 2016 Board and Committee Meeting Schedule	Approval	J. Nations
13. Board of Commissioners' Committee Assignments	Information	J. Nations

Agenda	Disposition	Presentation
14. Unscheduled Business	Approval	Chairman Dietzel
15. Public Comment*	Information	Chairman Dietzel
16. Call of Dates for Future Board Meetings	Information	S. Bryant
17. Adjournment to Executive Session	Approval	Chairman Dietzel
<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 under §610.021(1), RSMo; leasing, purchase or sale of real estate under §610.021(2); personnel actions under §610.021(3); discussions regarding negotiations with employee groups under §610.021(9); sealed bids, proposals and documents related to negotiated contracts under §610.021(12); personnel records or applications under §610.021(13); records which are otherwise protected from disclosure by law under §610.021(14); records relating to hotlines established for reporting abuse and wrongdoing under §610.021(16); or confidential or privileged communications with the District's auditor, including auditor work products under §610.021(17).</i>		

**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.

**Open Session Item**

**3**



**BI-STATE DEVELOPMENT  
BOARD OF COMMISSIONERS MEETING  
OPEN SESSION MINUTES  
SEPTEMBER 25, 2015  
(Note: Not recorded due to recorder malfunction)**

**Board Members in Attendance**

**Missouri**

Vernal Brown  
Kelley Farrell  
Constance Gully, Vice Chair  
Aliah Holman, Secretary  
Vincent C. Schoemehl (absent)

**Illinois**

Michael S. Buehlhorn, Treasurer  
David Dietzel, Chairman (absent)  
Irma Golliday  
Tadas Kicielinski  
Jeffrey Watson

**Staff in Attendance**

John Nations, President & CEO  
Barbara Enneking, General Counsel and Deputy Secretary  
Shirley Bryant, Certified Paralegal  
Jim Cali, Director of Internal Audit  
Ray Friem, Executive Director, Metro Transit  
Kathy Klevorn, Sr. Vice President, Chief Financial Officer  
Larry Jackson, Vice-President, Procurement, Inventory Management & Supplier Diversity  
Jenny Nixon, Senior Vice President Business Enterprises  
Melva Pete, Vice President Human Resources  
Mary Lamie, Executive Director Freight District  
Barbara Georgeff, Executive Assistant to President & CEO  
Kent Swagler, Director Corporate Compliance and Ethics  
John Langa, Vice President Economic Development  
John Wagner, Project Manager Economic Development  
Kent Swagler, Director Corporate Compliance & Ethics  
Michael Breihan, President ATU 788  
Diana Wagner-Hilliard, Director Workforce Diversity/EEO  
Mark Vago, Controller  
Scott Grott, Chief MetroLink Operations  
Tamara Fulbright, Director Treasury Services  
Chance Baragary, Manager Gateway Arch Construction  
Tracy Beidleman, Director Program Development & Grants  
Charles Stewart, Vice President, Pensions & Insurance  
Kathy Brittin, Director Risk Management, Safety & Claims  
Jerry Vallely, External Communications Manager  
Charles Priscu, Director Labor Relations  
Kerry Kinkade, Vice President Chief Information Officer  
Kyra Nichols, Administrative Assistant  
Michael S. Jennings, Manager IT ERP Systems  
Nick Hudson, Desktop Support  
Matt Tharp, Desktop Support

### **Others in Attendance**

Adam Pope, Columbia Capital  
Tom Curran, St. Louis County Executive's Office  
Kim Cella, Citizen for Modern Transit (CMT)  
Ken Brostron, Lashly & Baer

**1. Call to Order**

**9:34 a.m.** Commissioner Gully called the Open Session Board Meeting to order at 9:34 a.m.

**2. Roll Call**

**9:34 a.m.** Roll call was taken.

**3. Minutes of Prior Open Session Board Meeting**

**9:34 a.m.** The June 26, 2015, Open Session Board Meeting minutes were provided in the Board packet. A motion to approve the minutes was made by Commissioner Buehlhorn and seconded by Commissioner Holman. **Motion passed unanimously.**

**4. Report of Treasurer**

**9:34 a.m.** No presentation was made. This agenda item was informational only. The Treasurer's Report was provided in the Board packet and will be kept at the office of the Deputy Secretary.

**5. Report of President**

**9:35 a.m.** John Nations, President & CEO, gave special recognition to Larry Jackson and his staff for getting the Headquarters moved to the new location. St. Louis City and St. Louis County approved the appropriations for Transit Services for Fiscal Year 2016, for which the Agency is appreciative of the support of both jurisdictions. Mr. Nations discussed an article that compared transit companies around the country and their efforts to control costs. That article reinforced the work Metro Transit has been doing in the St. Louis region in controlling costs, thanks to the efforts of Ray Friem, Executive Director Metro Transit and his staff. The TIGER Grant for the new MetroLink Station at Cortex was finalized last week, and the Agency will be moving ahead with that project. The North County Transit Project is proceeding and is expected to be completed in January or February 2016. The Ferguson Commission Report was released last week recognizing the importance of transit, the need to expand service, and develop a plan statewide to fund transit, because a good economic plan requires addressing transportation.

**6. Finance & Administration Committee Report**

**9:39 a.m.** The August 28, 2015 Finance & Administration Committee minutes were included in the Board packet. Commissioner Kicielinski stated that the Finance & Administration Committee met in Open Session on August 28, 2015, and the draft minutes of that meeting were included in the Board packet at tab #6. He advised that several items were being presented on the Consent Agenda for Board consideration: Consent Agenda Item #8(a) – Contract Award to Arrowhead Industries LLC for Alstom Model 5F Power Operated Switch Machines; Consent Agenda Item #8(b) – Contract Award to Flow International Corporation for Water Jet Cutting Machine; Consent Agenda Item #8(c) – Contract Award for General Legal Counsel Services; and Consent Agenda Item #8(d) – Sole Source Award to Four Nines Technologies for Transit Asset Management Phase II Software Selection and Implementation Oversight. The Committee also discussed and recommended for approval the potential refunding of Series 2009 Cross County Bonds, Fifth Amendment to Memorandum of Agreement; Amendments #23 and #24 to the Pension Plan for Salaried Employees; and Amendment #1 to the 401(k) Retirement Savings Program to be presented for Board consideration and approval today under Agenda Items #9 and #10 respectively.

The June 2015 Treasury Report was presented and discussed at the Committee meeting. Scott Nickerson with Crowe Horwath, the external auditors, presented the 2015 External Audit Update report to the Committee. Kathy Brittin, Director of Risk Management, Claims & Safety, provided an update regarding the Insurance Programs and Claims, Safety and Emergency Preparedness activities. Charles Stewart, Vice President Pensions & Insurance, provided an update regarding the Pension Plans and 401(k) investment performance as of June 30, 2015; and the 2014 Pension Plan Audit update. The Financial Statements, Performance Indicators, and the Quarterly Procurement Activity Report for the 4<sup>th</sup> Quarter, FY2015 were also presented at the Committee meeting and will be presented today under Agenda items #12, #13 and #14, respectively.

**7. Adjustment of Consent Agenda**

**9:40 a.m.** There was no adjustment of the Consent Agenda.

**8. Consent Agenda Item(s): (a) Contract Award to Arrowhead Industries LLC for Alstom Model 5F Power Operated Switch Machines (Finance & Administration Committee Recommends Approval) (Resolution #712); (b) Contract Award to Flow International Corporation for Water Jet Cutting Machine (Finance & Administration Committee Recommends Approval) (Resolution #707); (c) Contract Award for General Legal Counsel Services (Finance & Administration Committee Recommends Approval) (Resolution #708); (d) Sole Source Contract Award to Four Nines Technologies for Transit Asset Management Phase II Software Selection and Implementation Oversight (Finance & Administration Committee Recommends Approval) (Resolution #709).**

**9:40 a.m.** A motion to approve the Consent Agenda items was made by Commissioner Brown and seconded by Commissioner Holman. **Motion passed unanimously.**

**9. Potential Refunding of Series 2009 Cross County Bonds/Fifth Amendment to Memorandum of Agreement (Finance & Administration Committee Recommends Approval)**

**9:41 a.m.** The briefing paper regarding the potential refunding of Series 2009 Cross County Bonds, Fifth Amendment to Memorandum of Agreement with St. Louis County and the City of St. Louis was provided in the Board packet. John Nations, President & CEO, advised the Board that this agenda item was presented and discussed at the August 28, 2015 Finance & Administration Committee meeting, at which time the Committee voted to recommend that the Board approve the Fifth Amendment to the MOA. This proposed action would provide Bi-State Development (BSD) the flexibility to refund its Series 2009 Bonds at any time, subject to the requirement that the refinancing meets certain debt service savings thresholds. A motion to approve the Fifth Amendment to the MOA, permitting BSD to proceed with a refunding of its Series 2009 Bonds for economic savings if the opportunity is presented was made by Commissioner Kicielinski and seconded by Commissioner Brown. **Motion passed unanimously. (Resolution #710)**

**10. Amendments #23 and #24 to Pension Plan for Salaried Employees and Amendment #1 to 401(k) Retirement Savings Plan (Finance & Administration Committee Recommends Approval)**

**9:42 a.m.** The briefing paper regarding Amendments #23 and #24 to Pension Plan for Salaried Employees and Amendment #1 to 401(k) Retirement Savings Plan was provided in the Board packet. Barbara Enneking, General Counsel, provided a brief overview stating that these items were brought to the attention of the Salaried Pension Committee to correct certain administrative difficulties. These administrative issues were reviewed and discussed by the Salaried Pension Committee at several meetings. It was determined that corrective amendments to the Salaried Plan and the 401(k) Plan were needed to decrease administrative complexity and clarify certain eligibility rules. The Finance & Administration Committee approved a recommendation to forward this matter to the Board for consideration and approval. A motion to approve Amendments #23 and #24 of the Pension Plan for

Salaried Employees, and Amendment #1 of the 401(k) Retirement Savings Plan was made by Commissioner Buehlhorn and seconded by Commissioner Holman **Motion passed unanimously. (Resolution #711)**

11. **Sole Source Contract Award to Conference Technologies, Inc. for Jefferson National Expansion Memorial (JNEM) Gateway Arch Exhibit Rehabilitation**  
**944 a.m.** The briefing paper regarding the sole source contract award to Conference Technologies, Inc. for Jefferson National Expansion Memorial (JNEM) Gateway Arch Exhibit Rehabilitation was provided in the Board packet. John Nations, President & CEO, informed the Board that this agenda item was not presented to a Committee; however, due to the critical nature of keeping the Arch Project on schedule, this item was added to the agenda for Board consideration and approval. At the request of Mr. Nations, Jenny Nixon, Sr. Vice President Business Enterprises, provided some additional background information regarding this sole source contract award. Ms. Nixon commended Chance Baragary, Manager Gateway Arch Construction, for his efforts in trying to get additional contractors to submit bids. The scope of work on this project is largely audio visual and highly specialized, and normal general contractors were not interested in bidding. As a result only one bid was received from Conference Technologies, Inc. Because this bid exceeds \$100,000, it requires Board approval. Management recommends that the Board approve the request to award a contract for exhibit installation for the JNEM Gateway Arch Exhibit Rehabilitation Project for an amount not to exceed \$2,580,000 which includes a 10% contingency for potential changes in scope and unforeseen conditions. A motion to approve the sole contract source award to Conference Technologies, Inc. was made by Commissioner Holman and seconded by Commissioner Buehlhorn. **Motion passed unanimously. (Resolution #713)**
12. **Financial Statements, FY 2015, Fourth Quarter (Presented to Finance & Administration Committee)**  
**9:48 a.m.** The Financial Statements, FY2015, Fourth Quarter Report was provided in the Board packet. This agenda item was reviewed extensively at the Finance and Administration Committee meeting and no additional presentation was made. This report was informational only and no Board action was required. A copy of the report will be kept at the office of the Deputy Secretary.
13. **Performance Indicators, FY 2015, Fourth Quarter (Presented to Finance & Administration)**  
**9:48 a.m.** The Performance Indicators, FY2015, Fourth Quarter Report was provided in the Board packet. This agenda item was reviewed extensively at the Finance and Administration Committee meeting and no additional presentation was made. This report was informational only and no Board action was required. A copy of the report will be kept at the office of the Deputy Secretary.
14. **Procurement Report, FY 2015, Fourth Quarter**  
**9:49 a.m.** The Procurement Report FY2015, Fourth Quarter Report was provided in the Board packet. This agenda item was reviewed extensively at the Finance & Administration Committee meeting and no additional presentation was made. This report was informational only and no Board action was required. A copy of the report will be kept at the office of the Deputy Secretary.
15. **Unscheduled Business**  
**9:49 a.m.** John Nations, President & CEO, stated that Bi-State Development was selected to head the Freight District (the "District"); and he was pleased to introduce Mary Lamie, the new Executive Director for the District. Ms. Lamie has a very distinguished history in the public sector and her career included more than two decades with the Illinois Department of Transportation. Mr. Nations added that he was delighted to have her join the senior management team.

**16. Public Comment**

**9:50 a.m.** There was no public comment.

**17. Call of Dates for Future Board Meetings**

**9:50 a.m.** The Business Services & Economic Development Committee meeting is scheduled for Friday, October 16, 2015; the Operations Committee meeting is scheduled for Tuesday, October 20, 2015; the Audit Committee meeting is scheduled for Friday, October 23, 2015; and the next Board meeting is scheduled for Friday, November 20, 2015.

**18. Executive Session - If such action is approved by a majority vote of the Bi-State Development's Board of Commissioners who constitute a quorum, the Board may go into closed session to discuss legal, confidential, or privileged matters under §610.021(1); RSMo; leasing, purchase or sale of real estate under §610.021(2); personnel actions under §610.021(3); discussions regarding negotiations with employee groups under §610.021(9); sealed bids, proposals and documents related to negotiated contracts under §610.021(12); personnel records or applications under §610.021(13); records which are otherwise protected from disclosure by law under §610.021(14); records relating to hotlines established for report abuse and wrongdoing under §610.021(16); or confidential or privileged communications with the District's auditor, including auditor work products under §610.021(17).**

**9:50 a.m.** Pursuant to the requirements of Section 610.021(1), 610.021(2), 610.021(14), and 610.021(16) of the Revised Statutes of Missouri, Commissioner Gully requested a motion to allow the Board to go into closed session. A motion to go into Executive Session was made by Commissioner Golliday and seconded by Commissioner Buehlhorn. A roll call vote was taken and the Commissioners present, Brown, Farrell, Gully, Holman, Buehlhorn, Golliday, Kicielinski, and Watson voted to approve this agenda item. **Motion passed unanimously and the Open Session meeting was adjourned.**

  
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Deputy Secretary to the Board of Commissioners  
Bi-State Development

**A RESOLUTION OF THE BOARD OF COMMISSIONERS  
OF THE BI-STATE DEVELOPMENT AGENCY  
OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT  
AWARDING A CONTRACT TO AROWHEAD INDUSTRIES LLC FOR  
REBUILDING 27 ALSTOM MODEL 5F POWER  
OPERATED SWITCH MACHINES**

**PREAMBLES:**

*Whereas*, The Bi-State Development Agency of the Missouri-Illinois Metropolitan District (the "Agency") is a body corporate and politic, created by an interstate compact between the States of Missouri and Illinois, acting by and through its Board of Commissioners (the "Board of Commissioners"); and

*Whereas*, the Agency is authorized by Mo. Rev. Stat. §§ 70.370 et seq. and 45 Ill. Comp. Stat. 100/1 et seq. (jointly referred to herein as the "Compact") to plan, construct, maintain, own and operate passenger transportation facilities, and to perform all other necessary and incidental functions, and to disburse funds for its lawful activities, to adopt rules and regulations for the proper operation of its passenger transportation facilities and conveyances, to contract and to be contracted with; and

*Whereas*, Board Policy Chapter 50, §50.010(A)(8) and §50.010 (E)(1)(b), requires Board approval of all Non-competitive ("sole source or single bid") Procurements exceeding \$100,000; and

*Whereas*, funding is provided through the Federal Transit Administration (FTA) Grant number MO-54-0001 and local funding sources; and

*Whereas*, the power switch machines from the original MetroLink system, which began operation in 1993, are showing signs of wear and it is now necessary to have the machines rebuilt at this stage of their lifecycle; and

*Whereas*, a sealed bid 15-SB-101510-CG was issued on March 13, 2015, seeking bids from companies that could provide servicing, transporting, delivery, and remanufacturing of 27 Alstom Model 5F Power Operated Switch Machines; and

*Whereas*, the sealed bid was advertised in the Agency's iSupplier portal and thirteen companies were invited to participate and provided an electronic copy of the solicitation. Two companies indicated their intent to bid but only one bid was received from Arrowhead Industries LLC and its bid has been determined to be fair and reasonable; and

*Whereas*, it is feasible, necessary and in the public interest for the Agency to approve the award to Arrowhead Industries LLC in the estimated amount of \$140,265 for services to rebuild 27 Alstom Model 5F Power Operated Switch Machines for the MetroLink system for a contract period not to exceed twenty-four months, in accordance with the terms and conditions described herein.

**NOW, THEREFORE, THE BOARD OF COMMISSIONERS OF THE BI-STATE DEVELOPMENT AGENCY OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT DOES HEREBY RESOLVE, DETERMINE AND ORDER AS FOLLOWS:**

**Section 1.**      **Findings.** The Board of Commissioners hereby finds and determines those matters set forth in the preambles hereof as fully and completely as if set out in full in this Section 1.

**Section 2.**      **Approval of the Sole Source Contract.** The Board of Commissioners hereby approves the sole source contract award to Arrowhead Industries LLC for services to rebuild 27 Alstom Model 5F Power



Operated Switch Machines in an estimated amount of \$140,265 for a contract period not to exceed twenty-four months.

Section 3. Actions of Officers Authorized. The officers of the Agency, including, without limitation, the President and CEO, and Vice President of Procurement are hereby authorized and directed to execute all documents and take such actions as they may deem necessary or advisable in order to carry out and perform the purposes of this Resolution and the Contract and the execution of such documents or taking of such action shall be conclusive evidence of such necessity or advisability.

Section 4. Severability. It is hereby declared to be the intention of the Board of Commissioners that each and every part, section and subsection of this Resolution shall be separate and severable from each and every other part, section and subsection hereof and that the Board of Commissioners intends to adopt each said part, section and subsection separately and independently of any other part, section and subsection. In the event that any part, section or subsection of this Resolution shall be determined to be or to have been unlawful or unconstitutional, the remaining parts, sections and subsections shall be and remain in full force and effect, unless the court making such finding shall determine that the valid portions standing alone are incomplete and are incapable of being executed in accordance with the intent of this Resolution.

Section 5. Rights Under Resolution Limited. No rights shall be conferred by this Resolution upon any person or entity other than the Agency and Arrowhead Industries LLC.

Section 6. Governing Law. The laws of the State of Missouri shall govern this Resolution.

Section 7. No Personal Liability. No member of the Board of Commissioners, officer, employee or agent of the Agency shall have any personal liability for acts taken in accordance with this Resolution.

Section 8. Payment of Expenses. The Senior Vice President and CFO is hereby authorized and directed to pay or cause to be paid all costs, expenses and fees incurred in connection with or incidental to this Resolution and Contract.

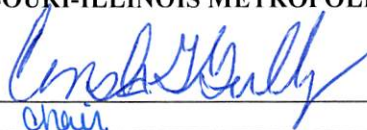
Section 9. This Resolution shall be in full force and effect from and after its passage and approval.

ADOPTED by the Board of Commissioners of The Bi-State Development Agency of the Missouri-Illinois Metropolitan District this 25<sup>th</sup> day of September, 2015.

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

By

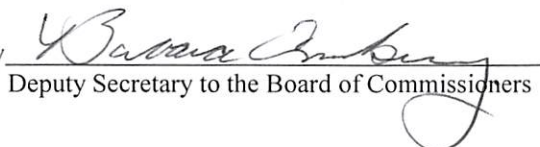
Title

  
Chair

[SEAL]

ATTEST:

By

  
Deputy Secretary to the Board of Commissioners

**A RESOLUTION OF THE BOARD OF COMMISSIONERS  
OF THE BI-STATE DEVELOPMENT AGENCY  
OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT  
AWARDING A CONTRACT TO FLOW INTERNATIONAL CORPORATION  
FOR A WATER JET CUTTING MACHINE**

**PREAMBLES:**

*Whereas*, The Bi-State Development Agency of the Missouri-Illinois Metropolitan District (the "Agency") is a body corporate and politic, created by an interstate compact between the States of Missouri and Illinois, acting by and through its Board of Commissioners (the "Board of Commissioners"); and

*Whereas*, the Agency is authorized by Mo. Rev. Stat. §§ 70.370 et seq. and 45 Ill. Comp. Stat. 100/1 et seq. (jointly referred to herein as the "Compact") to plan, construct, maintain, own and operate passenger transportation facilities, and to perform all other necessary and incidental functions, and to disburse funds for its lawful activities, to adopt rules and regulations for the proper operation of its passenger transportation facilities and conveyances, to contract and to be contracted with; and

*Whereas*, Board Policy Chapter 50, §50.010(E)(1)(b) and §50.010 (E)(1)(b), requires Board approval of all Non-competitive ("sole source" or "single bid") Procurements exceeding \$100,000; and

*Whereas*, funding is provided through the Federal Transit Administration (FTA) Grant number MO-90-X296 and local funding sources; and

*Whereas*, the water jet cutting machine will be used in the Metal Shop to cut side panels on buses, vans, radiators doors, bellow plates and any other part for MetroLink or any item that involves repetitious cutting; and

*Whereas*, the Agency issued a sealed bid procedure seeking bids from qualified contractors to provide a turnkey operation including the delivery, installation, start-up, and training that would be required to perform operations at Metro Transit's Main Repair Shop; and

*Whereas*, seven vendors were solicited and the solicitation was advertised on the Agency's website. Although four companies reviewed the solicitation they did not bid. Only one bid was received from Flow International Corporation for \$170,760; and

*Whereas*, it is feasible, necessary and in the public interest for the Agency to approve the award to Flow International Corporation in the amount of \$170,760 for a water jet cutting machine, including delivery installation, set-up and training, in accordance with the terms and conditions described herein.

**NOW, THEREFORE, THE BOARD OF COMMISSIONERS OF THE BI-STATE DEVELOPMENT AGENCY OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT DOES HEREBY RESOLVE, DETERMINE AND ORDER AS FOLLOWS:**

**Section 1.**        **Findings.** The Board of Commissioners hereby finds and determines those matters set forth in the preambles hereof as fully and completely as if set out in full in this Section 1.

**Section 2.**        **Approval of the Sole Source Contract.** The Board of Commissioners hereby approves the sole source contract award to Flow International Corporation for a water jet cutting machine in an amount not-to-exceed \$170,760.



Section 3. Actions of Officers Authorized. The officers of the Agency, including, without limitation, the President and CEO, and Vice President of Procurement are hereby authorized and directed to execute all documents and take such actions as they may deem necessary or advisable in order to carry out and perform the purposes of this Resolution and the Contract and the execution of such documents or taking of such action shall be conclusive evidence of such necessity or advisability.

Section 4. Severability. It is hereby declared to be the intention of the Board of Commissioners that each and every part, section and subsection of this Resolution shall be separate and severable from each and every other part, section and subsection hereof and that the Board of Commissioners intends to adopt each said part, section and subsection separately and independently of any other part, section and subsection. In the event that any part, section or subsection of this Resolution shall be determined to be or to have been unlawful or unconstitutional, the remaining parts, sections and subsections shall be and remain in full force and effect, unless the court making such finding shall determine that the valid portions standing alone are incomplete and are incapable of being executed in accordance with the intent of this Resolution.

Section 5. Rights Under Resolution Limited. No rights shall be conferred by this Resolution upon any person or entity other than the Agency and Flow International Corporation.

Section 6. Governing Law. The laws of the State of Missouri shall govern this Resolution.

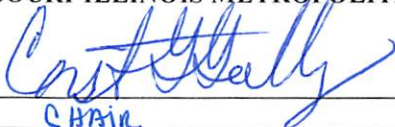
Section 7. No Personal Liability. No member of the Board of Commissioners, officer, employee or agent of the Agency shall have any personal liability for acts taken in accordance with this Resolution.

Section 8. Payment of Expenses. The Senior Vice President and CFO is hereby authorized and directed to pay or cause to be paid all costs, expenses and fees incurred in connection with or incidental to this Resolution and Contract.

Section 9. This Resolution shall be in full force and effect from and after its passage and approval.

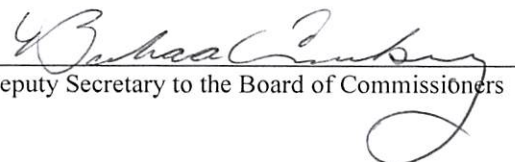
ADOPTED by the Board of Commissioners of The Bi-State Development Agency of the Missouri-Illinois Metropolitan District this 25<sup>th</sup> day of September, 2015.

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

By   
Title Chair

[SEAL]

ATTEST:

By   
Deputy Secretary to the Board of Commissioners

**A RESOLUTION OF THE BOARD OF COMMISSIONERS  
OF THE BI-STATE DEVELOPMENT AGENCY  
OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT  
AWARDING CONTRACTS TO SELECTED LAW FIRMS IN ORDER TO  
PROVIDE LEGAL SERVICES**

**PREAMBLES:**

*Whereas*, The Bi-State Development Agency of the Missouri-Illinois Metropolitan District (the "Agency") is a body corporate and politic, created by an interstate compact between the States of Missouri and Illinois, acting by and through its Board of Commissioners (the "Board of Commissioners"); and

*Whereas*, the Agency is authorized by Mo. Rev. Stat. §§ 70.370 et seq. and 45 Ill. Comp. Stat. 100/1 et seq. (jointly referred to herein as the "Compact") to plan, construct, maintain, own and operate passenger transportation facilities, and to perform all other necessary and incidental functions, and to disburse funds for its lawful activities, to adopt rules and regulations for the proper operation of its passenger transportation facilities and conveyances, to contract and to be contracted with; and

*Whereas*, Board Policy Chapter 50, §50.010(A)(2) and §50.010(E)(1)(a) requires Board approval of negotiated procurements exceeding \$500,000; and

*Whereas*, funding is provided through the Operating Budget; and

*Whereas*, the Agency issued Solicitation 11-RFP-101626-CG on April 14, 2015 seeking proposals from qualified law firms to provide legal services to establish three-year contracts with two one-year option periods in six areas of legal practice – General Corporate Legal Counsel, Liability & Claims, Subrogation, Workers' Comp, EEO, and Labor & Employment; and

*Whereas*, on or before June 15, 2015 the Agency received 58 proposals from 24 law firms through the Agency's iSupplier on line solicitation system; and

*Whereas*, all the law firms that submitted a proposal in each practice area and the Agency's recommendations for selection are indicated in **Attachment 1**. Approval to exercise the option years is recommended if 1) the performance of the contract is satisfactory 2) the exercise of the option is in accordance with the terms and conditions of the option stated in the initial awarded contract and 3) the option price is determined to be better than prices available in the market or that the option is the more advantageous offer at the time the option is exercised; and

*Whereas*, it is feasible, necessary and in the public interest for the Agency to approve contract awards to the recommended law firms shown in **Attachment 1** in order to provide legal services for three-year contracts with two one year option periods for an aggregate not to exceed amount of \$6,000,000 over the next three years and \$4,000,000 for the two option years, in accordance with the terms and conditions described herein.

**NOW, THEREFORE, THE BOARD OF COMMISSIONERS OF THE BI-STATE DEVELOPMENT AGENCY OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT DOES HEREBY RESOLVE, DETERMINE AND ORDER AS FOLLOWS:**

**Section 1.**      **Findings.** The Board of Commissioners hereby finds and determines those matters set forth in the preambles hereof as fully and completely as if set out in full in this Section 1.

**Section 2.**      **Approval of the Contracts.** The Board of Commissioners hereby approves the contract awards to the recommended law firms shown in **Attachment 1** in order to provide legal services under the supervision of the Agency's General Counsel for three-year contracts with two one year option

periods for an aggregate not to exceed amount of \$6,000,000 over the next three years and \$4,000,000 for the two option years.

Section 3. Actions of Officers Authorized. The officers of the Agency, including, without limitation, the President and CEO, and Vice President of Procurement are hereby authorized and directed to execute all documents and take such actions as they may deem necessary or advisable in order to carry out and perform the purposes of this Resolution and the Contracts and the execution of such documents or taking of such action shall be conclusive evidence of such necessity or advisability.

Section 4. Severability. It is hereby declared to be the intention of the Board of Commissioners that each and every part, section and subsection of this Resolution shall be separate and severable from each and every other part, section and subsection hereof and that the Board of Commissioners intends to adopt each said part, section and subsection separately and independently of any other part, section and subsection. In the event that any part, section or subsection of this Resolution shall be determined to be or to have been unlawful or unconstitutional, the remaining parts, sections and subsections shall be and remain in full force and effect, unless the court making such finding shall determine that the valid portions standing alone are incomplete and are incapable of being executed in accordance with the intent of this Resolution.

Section 5. Rights Under Resolution Limited. No rights shall be conferred by this Resolution upon any person or entity other than the Agency and the recommended law firms as shown in **Attachment 1**.

Section 6. Governing Law. The laws of the State of Missouri shall govern this Resolution and the Contracts.

Section 7. No Personal Liability. No member of the Board of Commissioners, officer, employee or agent of the Agency shall have any personal liability for acts taken in accordance with this Resolution.

Section 8. Payment of Expenses. The Senior Vice President and CFO is hereby authorized and directed to pay or cause to be paid all costs, expenses and fees incurred in connection with or incidental to this Resolution and Contract.

Section 9. This Resolution shall be in full force and effect from and after its passage and approval.

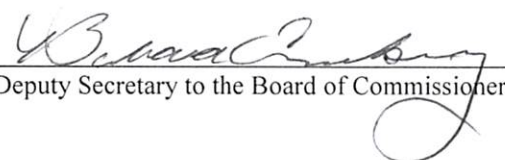
ADOPTED by the Board of Commissioners of The Bi-State Development Agency of the Missouri-Illinois Metropolitan District this 25<sup>th</sup> day of September, 2015.

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

By   
Title \_\_\_\_\_

[SEAL]

ATTEST:

By   
Deputy Secretary to the Board of Commissioners

**A RESOLUTION OF THE BOARD OF COMMISSIONERS  
OF THE BI-STATE DEVELOPMENT AGENCY  
OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT  
AWARDING A CONTRACT TO FOUR NINES TECHNOLOGIES FOR PHASE  
II OF THE TRANSPORTATION ASSET MANAGEMENT PROGRAM**

**PREAMBLES:**

*Whereas*, The Bi-State Development Agency of the Missouri-Illinois Metropolitan District (the "Agency") is a body corporate and politic, created by an interstate compact between the States of Missouri and Illinois, acting by and through its Board of Commissioners (the "Board of Commissioners"); and

*Whereas*, the Agency is authorized by Mo. Rev. Stat. §§ 70.370 et seq. and 45 Ill. Comp. Stat. 100/1 et seq. (jointly referred to herein as the "Compact") to plan, construct, maintain, own and operate passenger transportation facilities, and to perform all other necessary and incidental functions, and to disburse funds for its lawful activities, to adopt rules and regulations for the proper operation of its passenger transportation facilities and conveyances, to contract and to be contracted with; and

*Whereas*, Board Policy Chapter 50, §50.010(A)(8) and §50.010 (E)(1)(b), requires Board approval of all Non-competitive ("sole source or single bid") Procurements exceeding \$100,000; and

*Whereas*, funding is provided 80% through the Federal Transit Administration (FTA) Grant number MO-90-X296 and MO-04-0130 and 20% locally matched funds.

*Whereas*, in order for the Agency to be eligible for federal MAP-21 funds, a new FTA formula-based funding program, the Agency will be required to develop a Transit Asset Management (TAM) Plan; and

*Whereas*, the Agency initiated the TAM Program in May, 2014 which was designed to achieve "Total Asset Visibility" and provide asset management tools that will promote better management of safety-related public transportation capital assets; and

*Whereas*, in October, 2014 the Agency awarded a contract through fair and open competition to Four Nines Technologies for Phase I of the TAM Program. Four Nines Technologies was able to provide industry expertise and produced all deliverables with exceptional quality and in the expected timeframe; and

*Whereas*, the findings of Phase I included the need for more enhanced asset management applications as well as more improved capital planning and budgeting solutions. A high level project plan for Phase II was developed to define requirements, assess solutions and acquire and implement new software. The Agency needs to engage a qualified firm to execute Phase II of the plan and Four Nines Technologies is uniquely qualified to complete this task; and

*Whereas*, it is feasible, necessary and in the public interest for the Agency to approve a sole source contract, contingent upon successful negotiations, in the not to exceed amount of \$418,000 with Four Nines Technologies for Phase II of the TAM Program, in accordance with the terms and conditions described herein.

**NOW, THEREFORE, THE BOARD OF COMMISSIONERS OF THE BI-STATE DEVELOPMENT AGENCY OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT DOES HEREBY RESOLVE, DETERMINE AND ORDER AS FOLLOWS:**

**Section 1.**      **Findings.** The Board of Commissioners hereby finds and determines those matters set forth in the preambles hereof as fully and completely as if set out in full in this Section 1.



Section 2.      Approval of the Sole Source Contract. The Board of Commissioners hereby approves the sole source contract award, contingent upon successful negotiations, to Four Nines Technologies in the not to exceed amount of \$418,000 for Phase II of the TAM Program.

Section 3.      Actions of Officers Authorized. The officers of the Agency, including, without limitation, the President and CEO, and Vice President of Procurement are hereby authorized and directed to execute all documents and take such actions as they may deem necessary or advisable in order to carry out and perform the purposes of this Resolution and the Contract and the execution of such documents or taking of such action shall be conclusive evidence of such necessity or advisability.

Section 4.      Severability. It is hereby declared to be the intention of the Board of Commissioners that each and every part, section and subsection of this Resolution shall be separate and severable from each and every other part, section and subsection hereof and that the Board of Commissioners intends to adopt each said part, section and subsection separately and independently of any other part, section and subsection. In the event that any part, section or subsection of this Resolution shall be determined to be or to have been unlawful or unconstitutional, the remaining parts, sections and subsections shall be and remain in full force and effect, unless the court making such finding shall determine that the valid portions standing alone are incomplete and are incapable of being executed in accordance with the intent of this Resolution.

Section 5.      Rights Under Resolution Limited. No rights shall be conferred by this Resolution upon any person or entity other than the Agency and Four Nines Technologies.

Section 6.      Governing Law. The laws of the State of Missouri shall govern this Resolution.


Section 7.      No Personal Liability. No member of the Board of Commissioners, officer, employee or agent of the Agency shall have any personal liability for acts taken in accordance with this Resolution.

Section 8.      Payment of Expenses. The Senior Vice President and CFO is hereby authorized and directed to pay or cause to be paid all costs, expenses and fees incurred in connection with or incidental to this Resolution and Contract.

Section 9.      This Resolution shall be in full force and effect from and after its passage and approval.

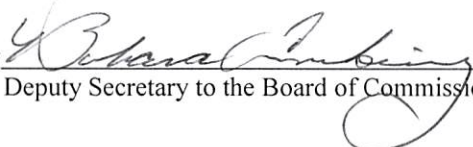
ADOPTED by the Board of Commissioners of The Bi-State Development Agency of the Missouri-Illinois Metropolitan District this 25<sup>th</sup> day of September, 2015.

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

By   
Title Chain

[SEAL]

ATTEST:

By   
Deputy Secretary to the Board of Commissioners

**A RESOLUTION OF THE BOARD OF COMMISSIONERS  
OF THE BI-STATE DEVELOPMENT AGENCY OF THE  
MISSOURI-ILLINOIS METROPOLITAN DISTRICT APPROVING  
THE FIFTH AMENDMENT TO MEMORANDUM OF AGREEMENT  
WITH THE CITY OF ST. LOUIS AND ST. LOUIS COUNTY AND  
THE ACTIONS OF CERTAIN OFFICERS OF THE AGENCY**

**PREAMBLES:**

*Whereas*, The Bi-State Development Agency of the Missouri-Illinois Metropolitan District (the "Agency") is a body corporate and politic, created by an interstate compact between the States of Missouri and Illinois, acting by and through its Board of Commissioners (the "Board of Commissioners"); and

*Whereas*, the Agency is authorized by Mo. Rev. Stat. §§ 70.370 et seq. and 45 Ill. Comp. Stat. 100/1 et seq. (the "Compact") to receive for its lawful activities any contributions or moneys appropriated by municipalities, counties, state or other political subdivisions or agencies; to acquire by gift, purchase or lease, and to plan, construct, operate and maintain, or lease to others for operation and maintenance passenger transportation facilities, rail, motor vehicle and other terminal or parking facilities; to borrow money for any of the authorized purposes of the Agency and to issue the negotiable notes, bonds or other instruments in writing of the Agency in evidence of the sum or sums to be borrowed; to issue negotiable refunding notes, bonds or other instruments in writing for the purpose of refunding, extending or unifying the whole or any part of its valid indebtedness from time to time outstanding, whether evidenced by notes, bonds or other instruments in writing; and to contract and to be contracted with; and

*Whereas*, The City of St. Louis, Missouri (the "City"), St. Louis County, Missouri (the "County") and the Agency entered into a Memorandum of Understanding dated December 1, 2000, relating to an expansion of MetroLink, including Segment I of the Cross-County Corridor and improvements associated with the related upgrade and expansion in transit service (the "Project," and as further described in the Original Agreement defined below); and

*Whereas*, the parties agreed that financing was necessary to provide funds to acquire, plan, construct, equip and improve the Project, to fund reasonable reserves for such financing and for the Project and to fund the costs of issuance relating to such financing; and

*Whereas*, the City, the County and the Agency entered into the Memorandum of Agreement dated as of November 1, 2002 (the "Original Agreement") to provide for the issuance of bonds by the Agency to provide funds to finance the Project, to provide for the application of the proceeds of such bonds to pay the costs of the Project and to provide a source of repayment for such bonds; and

*Whereas*, in accordance with the Original Agreement, on November 21, 2002, the Agency issued (a) \$100,000,000 original principal amount Mass Transit Sales Tax Appropriation Bonds (MetroLink Cross County Extension Project) Series 2002A (the "Series 2002A Bonds"), (b) \$313,305,000 original principal amount Mass Transit Sales Tax Appropriation Bonds (MetroLink Cross County Extension Project) Series 2002B (the "Series 2002B Bonds"), and (c) \$816,760.73 original principal amount Mass Transit Sales Tax Appropriation Bonds (MetroLink Cross County Extension Project) Series 2002C (the "Series 2002C Bonds" and together with the Series 2002A Bonds and the Series 2002B Bonds, the "Series 2002 Bonds") pursuant to the Trust Indenture dated as of November 1, 2002 (the "2002 Original Indenture") between the Agency and The Bank of New York Mellon Trust Company, N.A. (formerly known as BNY Trust Company of Missouri), as trustee (the "Trustee"); and

*Whereas*, in accordance with the Original Agreement as amended by the First Amendment to Memorandum of

Agreement dated November 1, 2005 (the "First Amendment"), on November 2, 2005, the Agency issued \$150,000,000 original principal amount Subordinate Mass Transit Sales Tax Appropriation Bonds (MetroLink Cross County Extension Project) Series 2005A (the "Series 2005A Bonds") pursuant to the Trust Indenture dated as of November 1, 2005 between the Agency and the Trustee; and

*Whereas*, in accordance with the Original Agreement as amended by the First Amendment and the Second Amendment to Memorandum of Agreement dated as of December 1, 2007 (the "Second Amendment"), on December 19, 2007, the Agency issued \$20,820,000 original principal amount Mass Transit Sales Tax Appropriation Refunding Bonds (MetroLink Cross County Extension Project) Series 2007 (the "Series 2007 Bonds") pursuant to the 2002 Original Indenture, as supplemented by the First Supplemental Trust Indenture dated as of May 1, 2006 (the "First Supplemental Trust Indenture") and the Second Supplemental Trust Indenture dated as of December 1, 2007 (the "Second Supplemental Trust Indenture"); and

*Whereas*, in accordance with the Original Agreement, as amended by the First Amendment, the Second Amendment and the Third Amendment to Memorandum of Agreement dated as of November 1, 2009 (the "Third Amendment") with the consent of the Trustee, the Agency was authorized to provide for the issuance of Refunding Bonds until December 31, 2010; and

*Whereas*, in accordance with the Original Agreement, as amended by the First Amendment, the Second Amendment and the Third Amendment, on November 9, 2009, the Agency issued \$97,220,000 original principal amount Mass Transit Sales Tax Appropriation Refunding Bonds (MetroLink Cross County Extension Project) Series 2009 (the "Series 2009 Bonds") pursuant to the 2002 Original Indenture, as supplemented by the First Supplemental Trust Indenture, the Second Supplemental Trust Indenture and the Third Supplemental Trust Indenture dated as of November 1, 2009 (the "Third Supplemental Trust Indenture") (the 2002 Original Indenture, as supplemented and amended by the First Supplemental Trust Indenture, the Second Supplemental Trust Indenture and the Third Supplemental Trust Indenture is hereinafter referred to as the "2002 Indenture"); and

*Whereas*, in accordance with the Original Agreement, as amended by the First Amendment, the Second Amendment and the Third Amendment, on October 14, 2010, the Agency issued (a) \$75,000,000 original principal amount Subordinate Mass Transit Sales Tax Appropriation Refunding Bonds (MetroLink Cross County Extension Project) Series 2010A (the "Series 2010A Bonds"), and (b) \$70,290,000 original principal amount Subordinate Mass Transit Sales Tax Appropriation Refunding Bonds (MetroLink Cross County Extension Project) Series 2010B (the "Series 2010B Bonds" and together with the Series 2010A Bonds, the "Series 2010 Bonds") pursuant to the Trust Indenture dated as of October 1, 2010 (the "2010 Indenture") between the Agency and the Trustee for the purpose of refunding the Series 2005A Bonds; and

*Whereas*, in accordance with the Original Agreement, as amended by the First Amendment, the Second Amendment, the Third Amendment and the Fourth Amendment, on August 1, 2013, the Agency issued (a) \$381,225,000 aggregate principal amount of Combined Lien Mass Transit Sales Tax Appropriation Refunding Bonds, Series 2013A (the "Series 2013A Bonds") pursuant a Master Trust Indenture dated as of August 1, 2013, between the Agency and Trustee (the "2013 Master Indenture"), as supplemented by the Supplemental Trust Indenture No. 1 dated as of August 1, 2013 (the "First Supplemental 2013 Indenture") and (b) not to exceed \$400,000,000 aggregate principal amount of Super Subordinate Combined Lien Mass Transit Sales Tax Appropriation Indebtedness, Series 2013B (the "Series 2013B Bonds" and together with the Series 2013A Bonds, the "Series 2013 Bonds") pursuant to the 2013 Master Indenture as supplemented by the Supplemental Trust Indenture No. 2 dated as of August 1, 2013 (the "Second Supplemental 2013 Indenture" and together with the 2013 Master Indenture and the First Supplemental 2013 Indenture, the "2013 Indenture") between the Agency and the Trustee; and

*Whereas*, only the Series 2009 Bonds and the Series 2013 Bonds remain outstanding; and

*Whereas*, the Agency desires to amend the Original Agreement, as amended by the First Amendment, the Second Amendment, the Third Amendment and the Fourth Amendment, pursuant to a Fifth Amendment to Memorandum of Agreement (the "Fifth Amendment") with the City and the County, the form of which is attached hereto as Exhibit A, and made a part hereof, in order to provide for the refunding of the Series 2009 Bonds for economic savings purposes as more particularly described in the Fifth Amendment; and

*Whereas*, it is feasible, necessary and in the public interest for the Agency to approve the Fifth Amendment, in accordance with the terms and conditions described herein;

**NOW, THEREFORE, THE BOARD OF COMMISSIONERS OF THE BI-STATE DEVELOPMENT AGENCY OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT DOES HEREBY RESOLVE, DETERMINE AND ORDER AS FOLLOWS:**

Section 1.        Findings. The Board of Commissioners hereby finds and determines those matters set forth in the preambles hereof as fully and completely as if set out in full in this Section 1.

Section 2.        Approval of the Fifth Amendment. The Board of Commissioners hereby approves the Fifth Amendment under and pursuant to this Resolution and the Compact for the authorized Agency purposes set forth in the preambles hereof and subject to the conditions hereinafter provided.

Section 3.        Form of the Fifth Amendment. The Fifth Amendment (attached hereto as Exhibit A and made a part hereof), in substantially the form presented to this meeting is hereby approved, and officers of the Agency, including without limitation, the President and CEO and Senior Vice President and CFO, are hereby authorized and directed to execute and deliver and attest, respectively, the Fifth Amendment, with such changes, modifications, insertions and omissions as may be deemed necessary or desirable to effect the Fifth Amendment, with the necessity or desirability of such changes, modifications, insertions and omissions being conclusively evidenced by their execution thereof.

Section 4.        Further Negotiation. The Board of Commissioners further authorizes and directs the officers of the Agency, including without limitation, the President and CEO and Senior Vice President and CFO, to negotiate with the City and the County as may be necessary to finalize the terms and conditions of the Fifth Amendment consistent with the Agency's Briefing Paper presented to this meeting, and the officers of the Agency, including without limitation the President and CEO and Senior Vice President and CFO, are hereby further authorized and directed to make any such changes, modifications, insertions and omissions as may be consistent with the intent of this Resolution and as may be deemed necessary or desirable to finalize the Fifth Amendment, with the necessity or desirability of such changes, modifications, insertions and omissions being conclusively evidenced by their execution thereof.

Section 5.        Actions of Officers Authorized. The officers of the Agency, including, without limitation, the President and CEO and Senior Vice President and CFO, are hereby authorized and directed to execute all documents and take such actions as they may deem necessary or advisable in order to carry out and perform the purposes of this Resolution and the Fifth Amendment, and the execution of such documents or taking of such action shall be conclusive evidence of such necessity or advisability.

Section 6.        Severability. It is hereby declared to be the intention of the Board of Commissioners that each and every part, section and subsection of this Resolution shall be separate and severable from each and every other part, section and subsection hereof and that the Board of Commissioners intends to adopt each said part, section and subsection separately and independently of any other part, section and subsection. In the event that any part, section or subsection of this Resolution shall be determined to be or to have been unlawful or unconstitutional, the remaining parts, sections and subsections shall be and remain in full force and effect, unless the court making such finding shall determine that the valid portions standing alone are incomplete and are incapable of being executed in accordance with the intent of this Resolution.



Section 7.        Rights Under Resolution Limited. No rights shall be conferred by this Resolution upon any person or entity other than the Agency, the City and the County.

Section 8.        Governing Law. The laws of the State of Missouri shall govern this Resolution and the Fifth Amendment.

Section 9.        No Personal Liability. No member of the Board of Commissioners, officer, employee or agent of the Agency shall have any personal liability for acts taken in accordance with this Resolution and the Fifth Amendment.

Section 10.       Payment of Expenses. The Senior Vice President and CFO is hereby authorized and directed to pay or cause to be paid all costs, expenses and fees incurred in connection with or incidental to this Resolution and the Fifth Amendment.

Section 11.       This Resolution shall be in full force and effect from and after its passage and approval.

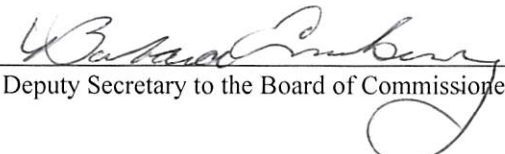
ADOPTED by the Board of Commissioners of The Bi-State Development Agency of the Missouri-Illinois Metropolitan District this 25th day of September, 2015.

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

By   
Title Chair

[SEAL]

ATTEST:

By   
Deputy Secretary to the Board of Commissioners

**A RESOLUTION OF THE BOARD OF COMMISSIONERS OF THE BI-STATE  
DEVELOPMENT AGENCY OF THE MISSOURI-ILLINOIS METROPOLITAN  
DISTRICT AUTHORIZING THE PRESIDENT AND CEO TO ADOPT  
AMENDMENT #23 AND AMENDMENT #24 TO THE SALARIED PENSION  
PLAN AND AMENDMENT #1 TO THE (401)(k) PROGRAM**

**PREAMBLES:**

*Whereas*, The Bi-State Development Agency of the Missouri-Illinois Metropolitan District (the "Agency") is a body corporate and politic, created by an interstate compact between the States of Missouri and Illinois, acting by and through its Board of Commissioners (the "Board of Commissioners"); and

*Whereas*, the Agency is authorized by Mo. Rev. Stat. §§ 70.370 et seq. and 45 Ill. Comp. Stat. 100/1 et seq. (jointly referred to herein as the "Compact") to acquire by gift, purchase or lease, sell or otherwise dispose of, and to plan, construct, operate and maintain, or lease to others for operation and maintenance, airports, wharves, docks, harbors, and industrial parks adjacent to and necessary and convenient thereto, bridges, tunnels, warehouses, grain elevators, commodity and other storage facilities, sewage disposal plants, passenger transportation facilities, and air, water, rail, motor vehicle and other terminal or parking facilities; to contract and to be contracted with; and to perform all other necessary and incidental functions; and

*Whereas*, Board Policy 70.050(A)(4) provides that the Board shall approve amendments, benefit formulas and funding to the pension and 401(k) retirement savings plans. Also Section 70.050(B) provides that the Plan Trustees shall administer the pension and 401(k) plans on the Board's behalf. In addition, Section 8 of the Pension Plan for Salaried Employees (Salaried Plan) provides that the Board reserves the right to alter or amend the Salaried Plan, and Section 10.1 of the 401(k) Retirement Savings Program (401(k) Program) provides that the Agency through its Board of Commissioners may alter, amend or modify the 401(k) Program; and

*Whereas*, it was brought to the attention of the Trustees of the Salaried Plan and the 401(k) Program (Pension Committee) certain difficulties in the administration of both the Salaried Plan and the 401(k) Program. Issues had arisen concerning the non-designation of a beneficiary by a plan participant and the lack of flexibility should a participant terminate employment and is rehired within a short period of time; and

*Whereas*, the Pension Committee determined that corrective amendments to the Salaried Plan and 401(k) Program were needed in order to decrease administrative complexity and clarify eligibility rules. Therefore the Pension Committee approved the recommendation of the adoption of Amendment #23 (Exhibit A) and Amendment #24 (Exhibit B) to the Salaried Plan and Amendment #1 (Exhibit C) to the 401(k) Program; and;

*Whereas*, it is feasible, necessary and in the public interest for the Board to authorize the President and CEO to adopt Amendment #23 and Amendment #24 to the Salaried Plan and Amendment #1 to the 401(k) Program, in accordance with the terms and conditions described herein.

**NOW, THEREFORE, THE BOARD OF COMMISSIONERS OF THE BI-STATE DEVELOPMENT AGENCY OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT DOES HEREBY RESOLVE, DETERMINE AND ORDER AS FOLLOWS:**

**Section 1.**      **Findings.** The Board of Commissioners hereby finds and determines those matters set forth in the preambles hereof as fully and completely as if set out in full in this Section 1.

Section 2.      Authorization of the President and CEO to Adopt. The Board of Commissioners hereby authorizes the President and CEO to adopt Amendment #23 and Amendment #24 to the Salaried Plan and Amendment #1 to the 401(k) Program under and pursuant to this Resolution and the Compact for the authorized Agency purposes set forth in the preambles hereof and subject to the conditions hereinafter provided.

Section 3.      Form of the Amendments. The form of the Amendments (attached hereto as Exhibit A, Amendment #23, Exhibit B, Amendment #24, and Exhibit C, Amendment #1 and made a part hereof), in the form presented to this meeting, are hereby approved, and officers of the Agency, including without limitation, the President and CEO, are hereby authorized and directed to execute all documents and take such actions as they may deem necessary or advisable in order to carry out and perform the purposes of this Resolution and the adoption of the Amendments and the execution of such documents or taking of such action shall be conclusive evidence of such necessity or advisability.

Section 4.      Severability. It is hereby declared to be the intention of the Board of Commissioners that each and every part, section and subsection of this Resolution shall be separate and severable from each and every other part, section and subsection hereof and that the Board of Commissioners intends to adopt each said part, section and subsection separately and independently of any other part, section and subsection. In the event that any part, section or subsection of this Resolution shall be determined to be or to have been unlawful or unconstitutional, the remaining parts, sections and subsections shall be and remain in full force and effect, unless the court making such finding shall determine that the valid portions standing alone are incomplete and are incapable of being executed in accordance with the intent of this Resolution.

Section 5.      Rights Under Resolution Limited. No rights shall be conferred by this Resolution upon any person or entity other than the Agency and the Salaried Pension Plan and the 401(k) Program.

Section 6.      Governing Law. The laws of the State of Missouri shall govern this Resolution.

Section 7.      No Personal Liability. No member of the Board of Commissioners, officer, employee or agent of the Agency shall have any personal liability for acts taken in accordance with this Resolution.

Section 8.      Payment of Expenses. The Senior Vice President and CFO is hereby authorized and directed to pay or cause to be paid all costs, expenses and fees incurred in connection with or incidental to this Resolution.

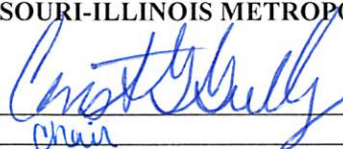
Section 9.      This Resolution shall be in full force and effect from and after its passage and approval.

ADOPTED by the Board of Commissioners of The Bi-State Development Agency of the Missouri-Illinois Metropolitan District this 25th day of September, 2015.

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

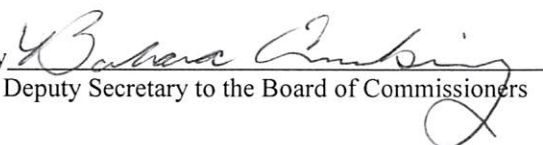
By

Title

  
Chair

[SEAL]

ATTEST:

By   
Deputy Secretary to the Board of Commissioners

**A RESOLUTION OF THE BOARD OF COMMISSIONERS  
OF THE BI-STATE DEVELOPMENT AGENCY  
OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT  
APPROVING THE AWARD OF A CONTRACT TO CONFERENCE  
TECHNOLOGIES, INC. FOR THE JEFFERSON NATIONAL EXPANSION  
MEMORIAL GATEWAY ARCH EXHIBIT REHABILITATION PROJECT**

**PREAMBLES:**

*Whereas*, The Bi-State Development Agency of the Missouri-Illinois Metropolitan District (the "Agency") is a body corporate and politic, created by an interstate compact between the States of Missouri and Illinois, acting by and through its Board of Commissioners (the "Board of Commissioners"); and

*Whereas*, the Agency is authorized by Mo. Rev. Stat. §§ 70.370 et seq. and 45 Ill. Comp. Stat. 100/1 et seq. (jointly referred to herein as the "Compact") to plan, construct, maintain, own and operate passenger transportation facilities, and to perform all other necessary and incidental functions, and to disburse funds for its lawful activities, to adopt rules and regulations for the proper operation of its passenger transportation facilities and conveyances, to contract and to be contracted with; and

*Whereas*, Board Policy Chapter 50, §50.010(A)(8) and §50.010(E)(1)(b), requires Board approval of all Non-Competitive ("sole source" or "single bid") Procurements exceeding \$100,000; and

*Whereas*, according to the Design and Construction Agreement for the Jefferson National Expansion Memorial (JNEM) Gateway Arch Exhibit Rehabilitation Project this Project is fully funded by the Arch Beneficial Fund; and

*Whereas*, the JNEM Gateway Arch Exhibit Rehabilitation Project will provide new exhibit items in the Tram Load Zones and this contract will provide the necessary demolition, construction, equipment, installation, programming and commissioning efforts necessary to bring the new Gateway Arch experience to life; and

*Whereas*, due to the unusual nature of this contract work for the Agency a thorough outreach effort was completed in an attempt to interest companies to bid. A total of eighty seven invitations to view the solicitation documents were sent and seven potentially interested companies attended the pre-bid meeting; and

*Whereas*, despite efforts to solicit bids from numerous qualified contractors only one bid was received from Conference Technologies, Inc. and, therefore, the sealed bid amount of \$2,344,002 is being converted to a sole source procurement; and

*Whereas*, it is feasible, necessary and in the public interest for the Agency to approve the award of a sole source contract to Conference Technologies, Inc. in an amount not to exceed \$2,580,000, which includes a 10% contingency, for exhibit installation associated with the JNEM Gateway Arch Exhibit Rehabilitation Project, in accordance with the terms and conditions described herein.

**NOW, THEREFORE, THE BOARD OF COMMISSIONERS OF THE BI-STATE DEVELOPMENT AGENCY OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT DOES HEREBY RESOLVE, DETERMINE AND ORDER AS FOLLOWS:**

**Section 1.**      **Findings.** The Board of Commissioners hereby finds and determines those matters set forth in the preambles hereof as fully and completely as if set out in full in this Section 1.



Section 2.      Approval of the Sole Source Contract. The Board of Commissioners hereby approves the award of a sole source contract to Conference Technologies, Inc. in the amount not to exceed of \$2,580,000, which includes a 10% contingency, for exhibit installation associated with the JNEM Gateway Arch Exhibit Rehabilitation Project.

Section 3.      Actions of Officers Authorized. The officers of the Agency, including, without limitation, the President and CEO, and the Vice President of Procurement are hereby authorized and directed to execute all documents and take such actions as they may deem necessary or advisable in order to carry out and perform the purposes of this Resolution, including the payment of all costs, expenses and fees incurred in connection with or incidental to this Resolution and Contract; and the execution of such documents or taking of such action shall be conclusive evidence of such necessity or advisability.

Section 4.      Severability. It is hereby declared to be the intention of the Board of Commissioners that each and every part, section and subsection of this Resolution shall be separate and severable from each and every other part, section and subsection hereof and that the Board of Commissioners intends to adopt each said part, section and subsection separately and independently of any other part, section and subsection. In the event that any part, section or subsection of this Resolution shall be determined to be or to have been unlawful or unconstitutional, the remaining parts, sections and subsections shall be and remain in full force and effect, unless the court making such finding shall determine that the valid portions standing alone are incomplete and are incapable of being executed in accordance with the intent of this Resolution.

Section 5.      Rights Under Resolution Limited. No rights shall be conferred by this Resolution upon any person or entity other than the Agency and Conference Technologies, Inc.

Section 6.      Governing Law. The laws of the State of Missouri shall govern this Resolution.

Section 7.      No Personal Liability. No member of the Board of Commissioners, officer, employee or agent of the Agency shall have any personal liability for acts taken in accordance with this Resolution.

Section 8.      This Resolution shall be in full force and effect from and after its passage and approval.

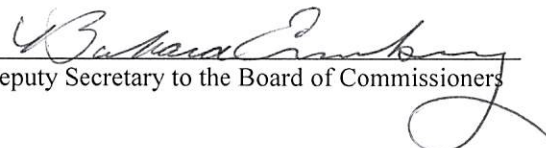
ADOPTED by the Board of Commissioners of The Bi-State Development Agency of the Missouri-Illinois Metropolitan District this 25<sup>th</sup> day of September, 2015.

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

By   
Title Chair

[SEAL]

ATTEST:

By   
Deputy Secretary to the Board of Commissioners

**Open Session Item**

**4**

**BI-STATE DEVELOPMENT  
TREASURER'S REPORT  
September 30, 2015**

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**INVESTMENTS**

***Yields:***

Bi-State investments had an average yield of .28%. For reference, yield on the one year U.S. Treasury was .31%. In September, the Federal Reserve voted to keep rates in the current zero to .25 percent range, but Chair Janet Yellen said she expected the central bank to begin raising interest rates by the end of the year.

***Invested Funds:***

Bi-State directed \$204 million in invested funds compared to \$177 million invested in August. This increase from the prior month is due to the timing of when the quarterly sales tax receipts were received by Bi-State. Approximately 35% of the invested funds for September were invested in U.S. Treasury or U.S. Government Agency securities, and 28% were invested in collateralized Certificates of Deposit (CDs) or Repurchase Agreements (Repos). The balance was invested in AAA rated money market funds. The average maturity of Bi-State investments was approximately 186 days.

Trustee directed funds increased by \$30 million in September. St Louis County approved the 3<sup>rd</sup> loan advance in the amount of \$30 million. These funds were received by the Trustee on September 30<sup>th</sup>.

**DEBT MANAGEMENT**

***Debt Restructuring, 2013:***

On July 1, 2013, Bi-State successfully sold its \$381,225,000 Series 2013A Bonds. More than \$1.5 billion in orders were placed for the bonds. The deal closed on August 1, 2013. An effective cost of funds of 4.44% was achieved. The effects of the \$75 million County loan bring the true interest cost to 3.68%. The bond restructuring, of essentially all of the Cross County Bonds, with the exception of the \$97 million Series 2009 Bonds, achieved important long-term financial objectives for Bi-State:

- Improved debt ratings. The bonds were assigned ratings of 'AA+' and 'Aa3' by S&P and Moody's, respectively. The higher ratings will benefit Bi-State in future financings.
- Eliminated exposure of Bi-State to variable and short-term debt obligations.
- Brought 2010 subordinate bonds to senior lien status, and began their amortization.
- Optimized the debt service funding requirements to preserve long-term funding flexibility for operations and capital.
- Incorporated the availability of the County Loan by using the Prop A Capital Reserve to reduce borrowing costs.
- Returned \$18 million of Federal funding from the 2002 Debt Service Reserve Fund to Bi-State's capital program.

In 2014, St Louis County approved the appropriation of the 2nd loan advance in the amount of \$30 million to Bi-State. The Series 2052 bonds were redeemed on October 1, 2014. This lowered the interest rate on \$30 million in debt from 4.75% to 1.04%.

In August 2015, St Louis County approved the appropriation of the 3<sup>rd</sup> loan advance and the Series 2050 bonds were redeemed on October 1, 2015. The interest rate on this debt decreased from 4.75% to 1.02%. The debt service reserve fund requirement on the 2013A bonds also decreased. The new debt service reserve requirement is now \$23.6 million.

***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, half 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%. We currently have approximately \$7.5 million in collateral invested in U.S. Treasuries.

**FUEL HEDGING**

In September, in conjunction with its diesel fuel hedging program, Bi-State had a *realized loss of \$422 thousand* on the sale of Home Heating Oil #2 futures contracts. Oil prices decreased from August by approximately \$4 a barrel or 8%. Bi-State's unrealized losses for September were approximately \$597 thousand. 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.





# BI-STATE DEVELOPMENT - MONTHLY TREASURER'S REPORT

AS OF:

30-Sep-2015

31-Aug-2015

	Wt. Avg.	Dollars		Rate	Market	Wt. Avg.	Dollars	Percentage	Rate	Market
	Maturity (1)	(,000 omitted)	Of Total		Value (2)	Maturity (1)	(,000 omitted)	Of Total		Value (2)
<b>BI-STATE DIRECTED:</b>										
Cash	0	\$6,280	4.3%	0.00%	\$6,280	0	\$7,849	6.5%	0.00%	\$7,849
Repurchase Agreements	1	52,088	35.4%	0.11%	52,088	1	24,709	20.6%	0.11%	24,709
Certificates of Deposit	599	4,150	2.8%	0.51%	4,150	629	4,150	3.5%	0.51%	4,150
U.S. Agencies (discounted)	338	5,981	4.1%	0.34%	5,982	0	0	0.0%	0.00%	0
U.S. Agencies (coupon)	430	25,828	17.6%	0.55%	25,837	374	25,822	21.5%	0.52%	25,808
U.S. Treasury Securities	213	8,886	6.0%	0.29%	8,897	243	8,886	7.4%	0.29%	8,888
Other Investments (3)	1	43,757	29.8%	0.09%	43,757	1	48,800	40.6%	0.08%	48,800
<b>SUB-TOTAL BI-STATE</b>	<b>120</b>	<b>\$146,970</b>	<b>100.0%</b>	<b>0.22%</b>	<b>\$146,991</b>	<b>121</b>	<b>\$120,216</b>	<b>100.0%</b>	<b>0.22%</b>	<b>\$120,204</b>
<b>BI-STATE DIRECTED-PROP M:</b>										
Certificates of Deposit	79	\$1,508	2.7%	0.16%	\$1,508	109	\$1,508	2.7%	0.16%	\$1,508
U.S. Agencies (discounted)	338	3,987	7.0%	0.34%	3,988	0	0	0.0%	0.00%	0
U.S. Agencies (coupon)	806	21,979	38.7%	0.93%	22,005	636	16,973	30.1%	0.82%	16,967
U.S. Treasury Securities	239	4,493	7.9%	0.17%	4,498	269	4,493	8.0%	0.17%	4,492
Other Investments (3)	1	24,876	43.8%	0.11%	24,876	1	33,422	59.3%	0.07%	33,422
<b>SUB-TOTAL PROP M</b>	<b>357</b>	<b>\$56,843</b>	<b>100.0%</b>	<b>0.45%</b>	<b>\$56,875</b>	<b>216</b>	<b>\$56,396</b>	<b>100.0%</b>	<b>0.31%</b>	<b>\$56,389</b>
<b>TOTAL BI-STATE DIRECTED</b>	<b>186</b>	<b>\$203,813</b>		<b>0.28%</b>	<b>\$203,866</b>	<b>151</b>	<b>\$176,612</b>		<b>0.25%</b>	<b>\$176,593</b>
<b>TRUSTEE DIRECTED:</b>										
Cash	0	\$0	0.0%	0.00%	\$0	0	\$77	0.1%	0.00%	\$77
Municipal Bonds	1990	9,229	10.4%	2.40%	9,261	1926	9,680	15.7%	2.29%	9,629
U.S. Agencies (coupon)	1978	20,460	23.1%	2.16%	20,716	1868	23,028	37.3%	2.02%	23,168
Commercial Paper	0	0	0.0%	0.00%	0	0	0	0.0%	0.00%	0
Other Investments (3)	1	59,025	66.5%	0.09%	59,025	1	28,893	46.8%	0.08%	28,893
<b>SUB-TOTAL TRUSTEE</b>	<b>664</b>	<b>\$88,714</b>	<b>100.0%</b>	<b>0.81%</b>	<b>\$89,002</b>	<b>1,000</b>	<b>\$61,678</b>	<b>100.0%</b>	<b>1.15%</b>	<b>\$61,767</b>
<b>TOTAL BI-STATE &amp; TRUSTEE</b>	<b>331</b>	<b>\$292,527</b>		<b>0.44%</b>	<b>\$292,868</b>	<b>371</b>	<b>\$238,290</b>		<b>0.48%</b>	<b>\$238,360</b>
<b>LRV LEASE/LEASEBACK 2001:</b>										
Cash	0	0	0.0%	0.00%	0	0	0	0.0%	0.00%	0
US Treasury Securities	99	7,512	7.5%	0.18%	7,523	129	7,512	7.5%	0.18%	7,520
Other Investments (4)		93,110	92.5%	5.80%	93,110		92,625	92.5%	5.80%	92,625
<b>SUB-TOTAL LRV 2001</b>		<b>\$100,622</b>	<b>100.0%</b>	<b>5.38%</b>	<b>\$100,633</b>		<b>\$100,137</b>	<b>100.0%</b>	<b>5.38%</b>	<b>\$100,145</b>
<b>SUB-TOTAL LEASES</b>		<b>\$100,622</b>			<b>\$100,633</b>		<b>\$100,137</b>			<b>\$100,145</b>
<b>Grand Total (5)</b>		<b>\$393,149</b>			<b>\$393,501</b>		<b>\$338,427</b>			<b>\$338,505</b>

## 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:

Terri Gudawicz Green, Mgr of Treas Ops 10/23/15

Reviewed by:

Tammy Fulbright, Dir of Treasury Services 10/23/15

Approved:

Kathy Klevorn, CFO 10/23/15

**BI-STATE DEVELOPMENT  
MONTHLY TREASURER'S REPORT- ALL COMPANIES  
BANK / ISSUER SUMMARY as of: 9/30/2015**

*Section 1 Bank/Issuer Summary*

<b>BI-STATE DIRECTED *</b> <i>all non debt/lease assets, inc. Prop M:</i>	<b>CASH</b>	<b>CERTIFICATES OF DEPOSIT</b>	<b>REPURCHASE AGREEMENTS</b>	<b>OTHER</b>	<b>GOVERNMENT SECURITIES</b>	<b>COMMERCIAL PAPER\ BA's</b>	<b>TOTAL</b>	<b>MARKET VALUE</b>	<b>NOTES</b>
BANK OF AMERICA MERRILL LYNCH	5,678,925	0	5,000,000	19,610,435	0	0	30,289,360	30,289,360	FDIC\tri-party collateral(deposits).
BLACK ROCK	0	0	0	3,768,824	0	0	3,768,824	3,768,824	Money Market Fund (Govt. Securities).
COMMERCE BANK	0	5,007,506	0	0	0	0	5,007,506	5,007,506	FDIC\FRB collateral.
FIDELITY	0	0	0	16,227,969	0	0	16,227,969	16,227,969	Money Market Fund (First Tier\Prime)
FIRST CLOVERLEAF	0	650,000	0	0	0	0	650,000	650,000	FDIC\tri-party collateral(deposits).
JEFFERSON BANK & TRUST	25,004	0	2,703,549	0	0	0	2,728,553	2,728,553	FDIC; repo collateral held at JBT.
JP MORGAN CHASE	(111,801)	0	0	12,424,912	0	0	12,313,111	12,313,111	FDIC (bank acct.)\MMKT (First Tier\Prime)
OPTUM	15,429	0	0	0	0	0	15,429	15,429	FDIC\FRB collateral.
PNC BANK	444,761	0	0	0	0	0	444,761	444,761	FDIC\FRB collateral.
RBC DAIN RAUSCHER	0	0	0	1,622,882	0	0	1,622,882	1,622,882	Commodities Margin Acct. (fuel hedging)
RJ O'BRIEN	0	0	0	4,464,027	0	0	4,464,027	4,464,027	Commodities Trading Acct. (fuel hedging)
REGIONS BANK	128,912	0	0	0	0	0	128,912	128,912	FDIC Insured.
UBS FINANCIAL	0	0	0	9,981,021	0	0	9,981,021	9,981,021	Money Market Fund (First Tier\Prime).
UMB BANK	150	0	44,384,000	0	0	0	44,384,150	44,384,150	FDIC\FRB Collateral.
U.S. BANK	98,758	0	0	0	0	0	98,758	98,758	FDIC\FRB Collateral.
ILLINOIS FUNDS	0	0	0	532,622	0	0	532,622	532,622	Illinois State Treasurer Investment Pool.
FARM CREDIT BANK	0	0	0	0	44,442,236	0	44,442,236	44,479,747	Safekept at Bank of America (BOA).
FEDERAL HOME LOAN BANK	0	0	0	0	13,333,054	0	13,333,054	13,334,131	Safekept at Bank of America (BOA).
U.S. TREASURY	0	0	0	0	13,379,315	0	13,379,315	13,394,467	Safekept by BOA or designated agent.
<b>sub-total Bi-State directed</b>	<b>6,280,138</b>	<b>5,657,506</b>	<b>52,087,549</b>	<b>68,632,692</b>	<b>71,154,605</b>	<b>0</b>	<b>203,812,490</b>	<b>203,866,230</b>	
<b>TRUSTEE DIRECTED DEBT ISSUES</b>									
<b>Cross County Bonds</b>									
<b>Series 2009, 2013</b>									
<u>BANK OF NEW YORK -MELLON TRUST</u>									
BANK OF NEW YORK	0	0	0	0	0	0	0	0	FDIC Insured.
BLACK ROCK	0	0	0	53,084,457	0	0	53,084,457	53,084,457	Money Market Fund (First Tier\Prime).
GOLDMAN	0	0	0	1,981,705	0	0	1,981,705	1,981,705	Money Market Fund (First Tier\Prime).
FEDERATED GOVT OBLIG	0	0	0	1,935,533	0	0	1,935,533	1,935,533	Safekept at Bank of New York
MORGAN STANLEY	0	0	0	2,022,847	0	0	2,022,847	2,022,847	Safekept at Bank of New York
GOVERNMENT AGENCIES	0	0	0	0	20,460,396	0	20,460,396	20,716,417	Safekept at Bank of New York
MUNICIPAL BONDS	0	0	0	0	9,228,556	0	9,228,556	9,260,887	Safekept at Bank of New York
<b>sub-total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>59,024,542</b>	<b>29,688,952</b>	<b>0</b>	<b>88,713,494</b>	<b>89,001,846</b>	
<b>SUB-TOTAL TRUSTEE (BONDS)</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>59,024,542</b>	<b>29,688,952</b>	<b>0</b>	<b>88,713,494</b>	<b>89,001,846</b>	
<b>SUB-TOTAL BI-STATE AND TRUSTEE</b>	<b>6,280,138</b>	<b>5,657,506</b>	<b>52,087,549</b>	<b>127,657,234</b>	<b>100,843,557</b>	<b>0</b>	<b>292,525,984</b>	<b>292,868,076</b>	
<b>LRV Lease\Leaseback 2001 C1 C2</b>									
FSAVIG	0	0	0	93,110,485	0	0	93,110,485	93,110,485	Guaranteed Investment Contract (GIC).
U.S. TREASURY	0	0	0	0	7,512,392	0	7,512,392	7,522,850	Safekept by Lease Trustee.
<b>sub-total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>93,110,485</b>	<b>7,512,392</b>	<b>0</b>	<b>100,622,877</b>	<b>100,633,335</b>	
<b>sub-total leases</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>93,110,485</b>	<b>7,512,392</b>	<b>0</b>	<b>100,622,877</b>	<b>100,633,335</b>	
<b>GRAND TOTAL</b>	<b>\$6,280,138</b>	<b>\$5,657,506</b>	<b>\$52,087,549</b>	<b>\$220,767,719</b>	<b>\$108,355,949</b>	<b>\$0</b>	<b>\$393,148,861</b>	<b>\$393,501,411</b>	

\* Please refer to Pages 5 and 10 for explanatory notes and credit ratings.

+ ABBREVIATIONS (above):

FDIC- Federal Deposit Insurance Corp.

FRB - Federal Reserve Bank

## **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.

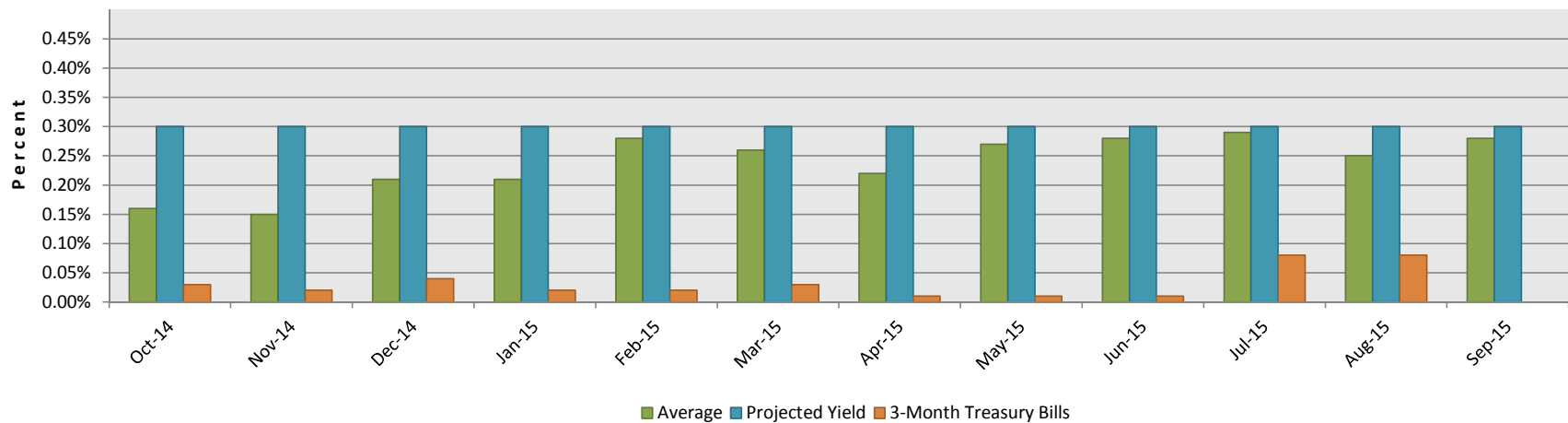
**A1-P1** Commercial Paper issues rated "A-1" by Standard and Poor's and "P-1" by Moody's have the greatest capacity for timely payment (least risk). Bi-State's investment policy permits purchase of A2-P2 commercial paper from issuers with a business presence in the St. Louis region.

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

<b>Funds (ooo's omitted)</b>	Oct-14	Nov-14	Dec-14	Jan-15	Feb-15	Mar-15	Apr-15	May-15	Jun-15	Jul-15	Aug-15	Sep-15
Bi-State Investments	133,752	131,323	126,545	124,534	134,345	138,409	155,553	139,961	142,512	127,764	120,216	<b>146,970</b>
Bi-State Prop M Investments	57,062	56,218	56,433	55,896	54,094	54,582	55,026	55,845	57,812	57,153	56,396	<b>56,843</b>
Total	190,814	187,541	182,978	180,430	188,439	192,991	210,579	195,806	200,324	184,917	176,612	<b>203,813</b>
Projected Total	145,000	145,000	145,000	145,000	145,000	145,000	145,000	145,000	145,000	145,000	145,000	<b>145,000</b>
Trustee Investments	37,016	39,825	48,155	50,795	53,448	56,193	46,760	49,325	51,842	57,738	61,678	<b>88,714</b>

<b>Yields\Rates Information</b>	Oct-14	Nov-14	Dec-14	Jan-15	Feb-15	Mar-15	Apr-15	May-15	Jun-15	Jul-15	Aug-15	Sep-15
Bi-State	0.13%	0.12%	0.15%	0.15%	0.19%	0.18%	0.16%	0.20%	0.21%	0.24%	0.22%	<b>0.22%</b>
Prop M	0.25%	0.23%	0.36%	0.34%	0.49%	0.47%	0.38%	0.45%	0.43%	0.43%	0.31%	<b>0.45%</b>
<b>Average</b>	<b>0.16%</b>	<b>0.15%</b>	<b>0.21%</b>	<b>0.21%</b>	<b>0.28%</b>	<b>0.26%</b>	<b>0.22%</b>	<b>0.27%</b>	<b>0.28%</b>	<b>0.29%</b>	<b>0.25%</b>	<b>0.28%</b>
<b>Projected Yield</b>	<b>0.30%</b>	<b>0.30%</b>	<b>0.30%</b>	<b>0.30%</b>	<b>0.30%</b>	<b>0.30%</b>	<b>0.30%</b>	<b>0.30%</b>	<b>0.30%</b>	<b>0.30%</b>	<b>0.30%</b>	<b>0.30%</b>
Trustee	1.93%	1.79%	1.51%	1.43%	1.37%	0.99%	1.18%	1.42%	1.35%	1.23%	1.15%	<b>0.81%</b>
<b>3-Month Treasury Bills</b>	<b>0.03%</b>	<b>0.02%</b>	<b>0.04%</b>	<b>0.02%</b>	<b>0.02%</b>	<b>0.03%</b>	<b>0.01%</b>	<b>0.01%</b>	<b>0.01%</b>	<b>0.08%</b>	<b>0.08%</b>	<b>0.00%</b>
1 Year Treasury	0.10%	0.12%	0.22%	0.16%	0.19%	0.26%	0.23%	0.25%	0.27%	0.31%	0.37%	<b>0.31%</b>
Fed Funds (target)	0.25%	0.25%	0.25%	0.25%	0.25%	0.25%	0.25%	0.25%	0.25%	0.25%	0.25%	<b>0.25%</b>
20-Year Municipals	3.90%	3.94%	3.65%	3.36%	3.62%	3.52%	3.62%	3.73%	3.80%	3.75%	3.79%	<b>3.71%</b>
SIFMA (BMA) Index (month end)	0.04%	0.05%	0.04%	0.02%	0.02%	0.02%	0.11%	0.10%	0.05%	0.02%	0.02%	<b>0.02%</b>

## ANNUAL YIELDS



## Diesel Fuel Hedging Program - FY 2015

	<b>Diesel Fuel Budget \ Actual Comparison:</b>	<b>Sep-15</b>	<b>Year to Date</b>	<b>Life to Date</b>
a	Gallons consumed-actual	488,455	1,487,557	70,248,115
b=(c/a)	Average cost per gallon-actual	\$ 1.65	\$ 1.78	\$ 2.19
c	<b>Total Diesel Fuel Cost-Actual</b>	<b>\$ 808,051</b>	<b>\$ 2,650,199</b>	<b>\$ 153,788,771</b>
d	Gallons consumed- budget	464,779	1,430,222	73,395,634
e=(f/d)	Average cost per gallon- budget	\$ 3.20	\$ 3.20	\$ 2.34
f	<b>Total Diesel Fuel Cost- Budget</b>	<b>\$ 1,487,293</b>	<b>\$ 4,579,710</b>	<b>\$ 171,523,626</b>
g=(f-c)	<b>Budget Variance (Unfavorable)</b>	<b>\$ 679,242</b>	<b>\$ 1,929,511</b>	<b>\$ 17,734,855</b>
h	<b>Realized Futures Gains (Losses)</b>	<b>\$ (422,146)</b>	<b>\$ (1,307,051)</b>	<b>\$ 2,386,959</b>
i=(c-h)	<b>Net Cost of Fuel</b>	<b>\$ 1,230,197</b>	<b>\$ 3,957,250</b>	<b>\$ 151,401,812</b>
j=(i-f)	<b>Net Budget Variance (Unfavorable)</b>	<b>\$ 257,096</b>	<b>\$ 622,461</b>	<b>\$ 20,121,814</b>
j=(i/f)	Net Cost of Fuel, Per Gallon, inc. Hedge	\$ 2.52	\$ 2.66	\$ 2.16
k=(e-i)	Net Budget Variance Per Gallon	\$ 0.68	\$ 0.54	\$ 0.18
<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	05/31/2015	\$ 60.30
	Futures Contracts Net Change at month end	(8)	06/30/2015	\$ 59.47
	Total Open Futures Contracts, at month end	139	07/31/2015	\$ 47.12
	Futures Contracts Unrealized Gain/(Loss) *	(\$596,795)	08/31/2015	\$ 49.20
	(% of Estimated Future Consumption)	81%	09/30/2015	\$ 45.09

\* = At month end

### **Explanatory Notes:**

Consumption budgeted at approximately 120,000 gallons per week.

Current diesel contracts: diesel =Platts +10.17 cents per gal.; B2 diesel= Platts + 10.93 cents per gal.

A futures contract equals 42,000 gallons.

Numbers above rounded.

Amounts do not include transaction or consulting costs.

Futures Contracts are purchased from Nov 2015 through Feb 2017 (16 months).

### **Background:**

Linwood Capital is a consultant retained by Bi-State since April 2004 to assist with its energy price risk management program.

Bi-State manages the cost of fuel by utilizing purchase of exchange traded futures, specifically NYMEX Heating Oil#2 (HO#2) futures.

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.

**Bi-State Development  
Monthly Investment Report  
Report of Term Investment\* Purchases: September 2015**

Item	Investment:	Par Amount	Settled	Maturity Date	Term(days)	Yield	Purchased From	Fund
1	FFCB Discount Note	\$ 2,000,000	09/24/15	09/02/16	344	0.34%	Commerce	Transit Sales Tax
2	FFCB Discount Note	\$ 2,000,000	09/24/15	09/02/16	344	0.34%	Commerce	Transit Self Insurance
3	FFCB Discount Note	\$ 2,000,000	09/24/15	09/02/16	344	0.34%	Bank of America	Prop M County
4	FFCB Discount Note	\$ 2,000,000	09/24/15	09/02/16	344	0.34%	Bank of America	Prop M City
5	FFCB Discount Note	\$ 2,000,000	09/24/15	09/02/16	344	0.34%	Bank of America	Prop A
6	FFCB Bond	\$ 2,000,000	09/28/15	09/28/17	731	0.81%	Commerce	Transit Sales Tax
7	FFCB Bond	\$ 4,000,000	09/28/15	09/28/18	1096	1.09%	JP Morgan	Prop M County
8	FFCB Bond	\$ 2,000,000	09/28/15	09/28/17	731	0.81%	Commerce	Prop M City
9	FFCB Bond	\$ 3,000,000	09/28/15	09/28/18	1096	1.09%	Fifth Third	Prop M City
10	FFCB Bond	\$ 2,000,000	09/28/15	09/28/17	731	0.81%	Commerce	Prop A
11	FFCB Bond	\$ 1,000,000	09/28/15	09/28/18	1096	1.09%	Fifth Third	Prop A
	<b>Total</b>	<b>\$ 24,000,000</b>						
					<b>691</b>	<b>0.71%</b>		

**Notes:**

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



**Bi-State Development**  
**FY'16 Projected Cash Flow (draft, discussion only)**  
(dollars in thousands)

	<i>Actuals</i>	<i>Actuals</i>	<i>Actuals</i>	<i>Actuals</i>																	
<i>Note- Figures are estimates of CASH receipts and disb.: subject to change</i>	<i>Fiscal Yr</i>	JULY	AUG	SEPT	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUNE	<i>Fiscal Yr</i>	JULY	AUG	SEPT	OCT	NOV	DEC	<i>FY'17</i>
	<i>2016</i>	2015	2015	2015	2015	2015	2015	2016	2016	2016	2016	2016	2016	<i>2017</i>	2016	2016	2016	2016	2016	2016	<i>0</i>
BEGINNING CASH BAL. OPER.&REV. FUNDS	\$51,300	\$50,600	\$33,900	\$21,200	\$52,300	\$46,731	\$40,672	\$37,097	\$41,332	\$48,795	\$53,451	\$68,231	\$50,878	\$50,600	\$50,705	\$48,609	\$51,512	\$56,345	\$55,082	\$49,478	\$50,705
<b>CASH RECEIPTS- SALES TAXES :</b>																					
St Louis County 1/2 cent (est. 1974)	42,087	0	0	11,278	3,439	2,752	3,545	3,789	2,851	3,785	3,416	2,652	3,761	41,268	3,759	3,759	3,759	3,439	2,752	3,545	21,013
St Louis City 1/2 cent (est. 1974)	19,716	1,825	1,090	2,217	1,712	1,093	1,851	1,624	890	2,092	1,548	1,079	2,076	19,097	1,825	1,090	2,217	1,712	1,093	1,851	9,788
<b>sub-total 1/2 cent (1974)</b>	<b>61,803</b>	<b>1,825</b>	<b>1,090</b>	<b>13,495</b>	<b>5,151</b>	<b>3,845</b>	<b>5,396</b>	<b>5,413</b>	<b>3,741</b>	<b>5,877</b>	<b>4,964</b>	<b>3,731</b>	<b>5,837</b>	<b>60,365</b>	<b>5,584</b>	<b>4,849</b>	<b>5,976</b>	<b>5,151</b>	<b>3,845</b>	<b>5,396</b>	<b>30,801</b>
<i>Pledged to debt service X-County Bonds:</i>																					
St Louis County 1/4 cent Prop M (1994)	42,907	0	0	11,360	3,032	2,447	3,096	3,292	2,507	3,292	2,999	2,332	3,294	37,651	3,787	3,787	3,787	3,032	2,447	3,096	19,935
St Louis City 1/4 cent Prop M (1994)	10,322	0	0	2,660	794	524	882	766	447	1,001	779	496	975	9,324	887	887	887	890	568	963	5,081
St Louis County 1/2 cent Prop A (2010)	52,081	0	0	14,149	4,898	3,952	4,996	5,316	4,119	5,318	4,851	3,765	2,975	54,339	4,716	4,716	4,716	3,765	3,319	4,900	26,133
St Louis City 1/4 cent Prop M2 (2010)	10,324	0	0	2,660	794	524	882	766	447	1,001	779	496	975	9,324	887	887	887	794	524	882	4,861
<b>sub-total pledged sales taxes</b>	<b>115,634</b>	<b>0</b>	<b>0</b>	<b>30,829</b>	<b>9,518</b>	<b>7,447</b>	<b>9,856</b>	<b>10,140</b>	<b>7,520</b>	<b>10,612</b>	<b>9,408</b>	<b>7,089</b>	<b>8,219</b>	<b>110,638</b>	<b>10,277</b>	<b>10,277</b>	<b>10,277</b>	<b>8,481</b>	<b>6,858</b>	<b>9,841</b>	<b>56,010</b>
Debt Service X-County Bonds, Interest	(22,484)	0	0	(4,959)	(1,775)	(1,775)	(1,775)	(1,775)	(1,775)	(1,775)	(1,775)	(1,775)	(1,775)	(20,934)	(1,775)	(1,775)	(1,775)	(1,700)	(1,700)	(1,700)	(10,425)
Debt Service X-County Bonds, Principal	(7,172)	0	0	(1,806)	(657)	(657)	(657)	(657)	(657)	(657)	(657)	(657)	(657)	(7,719)	(657)	(657)	(657)	(689)	(689)	(689)	(4,038)
<b>sub-total debt service</b>	<b>(29,656)</b>	<b>0</b>	<b>0</b>	<b>(6,765)</b>	<b>(2,432)</b>	<b>(2,432)</b>	<b>(2,432)</b>	<b>(2,432)</b>	<b>(2,432)</b>	<b>(2,432)</b>	<b>(2,432)</b>	<b>(2,432)</b>	<b>(2,432)</b>	<b>(28,653)</b>	<b>(2,432)</b>	<b>(2,432)</b>	<b>(2,432)</b>	<b>(2,389)</b>	<b>(2,389)</b>	<b>(2,389)</b>	<b>(14,463)</b>
<b>sub-total pledged sales tax less debt</b>	<b>85,978</b>	<b>0</b>	<b>0</b>	<b>24,064</b>	<b>7,086</b>	<b>5,015</b>	<b>7,424</b>	<b>7,708</b>	<b>5,088</b>	<b>8,180</b>	<b>6,976</b>	<b>4,657</b>	<b>5,787</b>	<b>81,985</b>	<b>7,845</b>	<b>7,845</b>	<b>7,845</b>	<b>6,092</b>	<b>4,469</b>	<b>7,452</b>	<b>41,547</b>
<b>TOTAL SALES TAX RECEIPTS LESS DEBT</b>	<b>147,781</b>	<b>1,825</b>	<b>1,090</b>	<b>37,559</b>	<b>12,237</b>	<b>8,860</b>	<b>12,820</b>	<b>13,121</b>	<b>8,829</b>	<b>14,057</b>	<b>11,940</b>	<b>8,388</b>	<b>11,624</b>	<b>142,350</b>	<b>13,429</b>	<b>12,694</b>	<b>13,821</b>	<b>11,243</b>	<b>8,314</b>	<b>12,848</b>	<b>72,348</b>
<b>CASH RECEIPTS- OTHER:</b>																					
Passenger Revenue, inc. Paratransit	60,390	4,780	4,657	4,505	5,124	4,126	4,863	4,690	4,029	6,107	5,785	4,723	4,802	58,191	4,780	4,657	4,505	5,124	4,126	4,863	28,055
Other	18,571	4,827	1,422	4,544	1,053	1,405	870	1,287	2,857	2,372	2,343	0	0	22,980	4,827	1,422	2,015	1,053	1,405	870	11,592
St. Clair County (inc. State of Illinois)	55,306	0	5,006	4,518	9,043	1,028	8,346	5,188	4,251	4,237	4,931	0	5,720	52,268	0	5,006	4,518	9,043	1,028	8,346	27,941
State of Missouri	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<i>Federal Assistance:</i>																					
Maintenance	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
CMAQ\JARC\ARRA\Other grants\reimb.	51,475	0	3,610	4,059	0	4,390	1,042	7,431	9,864	1,279	13,949	1,976	3,387	50,987	0	3,610	4,059	0	4,390	1,042	13,101
<b>TOTAL CASH RECEIPTS</b>	<b>333,523</b>	<b>11,432</b>	<b>15,785</b>	<b>55,185</b>	<b>27,457</b>	<b>19,809</b>	<b>27,941</b>	<b>31,717</b>	<b>29,830</b>	<b>28,052</b>	<b>38,948</b>	<b>15,087</b>	<b>25,533</b>	<b>326,776</b>	<b>23,036</b>	<b>27,389</b>	<b>28,918</b>	<b>26,463</b>	<b>19,263</b>	<b>27,969</b>	<b>153,037</b>
<b>CASH DISBURSEMENTS:</b>																					
Payroll & Related (not inc. OPEB)	(129,525)	(11,541)	(10,612)	(10,228)	(13,537)	(9,634)	(11,611)	(11,117)	(9,940)	(10,002)	(9,568)	(12,075)	(10,843)	(130,708)	(10,541)	(10,612)	(10,228)	(10,237)	(9,634)	(10,611)	(61,863)
Accounts Payable	(148,878)	(13,260)	(14,275)	(10,491)	(13,824)	(11,593)	(12,135)	(11,055)	(9,025)	(9,333)	(10,256)	(12,286)	(12,190)	(139,723)	(11,260)	(10,275)	(10,491)	(11,824)	(10,593)	(10,135)	(64,578)
Self-Insurance	(28,199)	(2,391)	(2,231)	(2,528)	(2,817)	(1,997)	(2,331)	(1,702)	(2,131)	(2,644)	(2,582)	(2,889)	(2,164)	(28,407)	(2,391)	(2,231)	(2,528)	(2,817)	(1,997)	(2,331)	(14,295)
Other (capital fund transfer., OPEB set aside)	(27,621)	(940)	(1,367)	(838)	(2,848)	(2,644)	(5,439)	(3,608)	(1,271)	(1,417)	(1,762)	(5,190)	(509)	(27,833)	(940)	(1,367)	(838)	(2,848)	(2,644)	(3,439)	(12,076)
<b>TOTAL CASH DISBURSEMENTS</b>	<b>(334,223)</b>	<b>(28,132)</b>	<b>(28,485)</b>	<b>(24,085)</b>	<b>(33,026)</b>	<b>(25,868)</b>	<b>(31,516)</b>	<b>(27,482)</b>	<b>(22,367)</b>	<b>(23,396)</b>	<b>(24,168)</b>	<b>(32,440)</b>	<b>(25,706)</b>	<b>(326,671)</b>	<b>(25,132)</b>	<b>(24,485)</b>	<b>(24,085)</b>	<b>(27,726)</b>	<b>(24,868)</b>	<b>(26,516)</b>	<b>(152,812)</b>
<b>CASH SURPLUS (DEFICIT)</b>	<b>(700)</b>	<b>(16,700)</b>	<b>(12,700)</b>	<b>31,100</b>	<b>(5,569)</b>	<b>(6,059)</b>	<b>(3,575)</b>	<b>4,235</b>	<b>7,463</b>	<b>4,656</b>	<b>14,780</b>	<b>(17,353)</b>	<b>(173)</b>	<b>105</b>	<b>(2,096)</b>	<b>2,904</b>	<b>4,833</b>	<b>(1,263)</b>	<b>(5,605)</b>	<b>1,453</b>	<b>225</b>
<b>CUMULATIVE CASH SURPLUS (DEFICIT)</b>	<b>50,600</b>	<b>33,900</b>	<b>21,200</b>	<b>52,300</b>	<b>46,731</b>	<b>40,672</b>	<b>37,097</b>	<b>41,332</b>	<b>48,795</b>	<b>53,451</b>	<b>68,231</b>	<b>50,878</b>	<b>50,705</b>	<b>50,705</b>	<b>48,609</b>	<b>51,512</b>	<b>56,345</b>	<b>55,082</b>	<b>49,478</b>	<b>50,930</b>	<b>50,930</b>
<b>STABILIZATION FUND:</b>																					
Beginning Balance	3	3	3	6	35	41	54	54	54	54	69	74	0	0	3	6	9	35	41	54	54
Fund Transfer - OPEB Trust	(74)	0	0	0	0	0	0	0	0	0	0	(74)	0	0	0	0	0	0	0	0	0
<b>Ending Balance</b>	<b>(71)</b>	<b>3</b>	<b>3</b>	<b>6</b>	<b>35</b>	<b>41</b>	<b>54</b>	<b>54</b>	<b>54</b>	<b>54</b>	<b>69</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>3</b>	<b>6</b>	<b>9</b>	<b>35</b>	<b>41</b>	<b>54</b>	<b>54</b>
<b>INTERNALLY RESTRICTED FUND:</b>																					
Beginning Balance	14,659	14,659	14,659	14,659	14,659	14,659	14,659	14,659	14,659	14,659	14,659	14,659	14,659	14,659	14,659	14,659	14,659	14,659	14,659	14,659	14,659
Cumulative	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
<b>Ending Balance (1)</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>	<b>14,659</b>

(1) = Additional temporary working capital for operations is provided, if needed, by Sales Tax Capital, Self-Insurance and Prop M Funds. Current balances: Sales Tax Capital \$12 million; Prop M \$61 million; Self Insurance \$15 million.  
A large portion of these additional funds are encumbered for long range capital projects, local match, liability claims, or restricted for debt service or lease issues, but are currently liquid.

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

Depository Banks:	Long-Term Debt Rating			Short-Term Debt Rating			Fitch Bank
	S&P	Moody's	Fitch	S&P	Moody's	Fitch	Rating
Bank of America, N.A.	A	A1	AA-	A-1	P-1	F1	NA
Commerce Bank	A	A2			P-1		NA
PNC Bank	A	Aa2	AA-	A-1	P-1	F1+	NA
Regions Bank	BBB+	A3	BBB	A-2	P-2	F2	NA
U.S. Bank	AA-	A1	AA	A-1+	P-1	F1+	NA
UMB Bank	A-		A+	A-2		F1	NA
Trust Companies:							
Bank of New York Mellon Trust	AA-	Aa1	AA+	A-1+	P-1	F1+	NA
Money Market Funds:	S&P			Moody's			
Black Rock FFI Treasury	AAAm			Aaa-mf			
Black Rock Fed	AAAm			Aaa-mf			
Black Rock Temp	AAAm			Aaa-mf			
FFI Select Institutional Fund (formerly Merrill now Black Rock)	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 Prime	AAAm			Aaa-mf			
Federated Treasury	AAAm			Aaa-mf			
Federated Government	AAAm			Aaa-mf			
Fidelity Prime	AAAm			Aaa-mf			
Goldman Sachs Prime	AAAm			Aaa-mf			
JP Morgan Prime	AAAm			Aaa-mf			
UBS Select Prime	AAAm			Aaa-mf			
Wells Fargo Treasury	AAAm			Aaa-mf			
Other:	Long-Term Debt Rating			NA = Fitch overall bank ratings or LT debt ratings have been withdrawn			
	S&P	Moody's	Fitch				
AIG (2001 LRV Lease)	A+	A2	A+				
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	2009	2013		Total Cross County
	Refunding	2013A Bonds	2013B Loan	
Issue date	9-Nov-09	1-Aug-13	1-Aug-13	
Principal (original)	\$97,220,000	\$381,225,000	\$75,000,000	
<b>Principal (currently outstanding)</b>	<b>\$97,220,000</b>	<b>\$344,210,000</b>	<b>\$105,000,000</b>	<b>\$546,430,000</b>
Lien on 1\4 cent Prop M, Prop M2, Prop A tax	Senior	Senior	Subordinate	
Stand alone credit rating (S&P\Moody's)	AA+\A2	AA+\Aa3	NA	
Maturity date(s)	2023 – 2039	2050	2053	
Optional Call Date	2019	Various	Anytime	
Optional Put Date	NA	NA	2018	
Interest rate mode	Fixed	Fixed	1% + SIFMA	
Rate	4.50%-5.00%	3.00%-5.00%	1.04%-1.06%	
Interest pmt. dates	April, October	April, October	April, October	
<b>Annual debt service:</b>				
<b>Interest</b>	<b>\$4,767,975</b>	<b>\$17,224,738</b>	<b>\$1,107,000</b>	<b>\$23,099,713</b>
<b>Principal - (1st pymt 10/1/14-\$7,015,000) (next payment 10/1/15 - \$7,220,000)</b>	<b>\$0</b>	<b>\$7,220,000</b>	<b>\$0</b>	<b>\$7,220,000</b>
<b>total princ.&amp;int.</b>	<b>\$4,767,975</b>	<b>\$24,444,738</b>	<b>\$1,107,000</b>	<b>\$30,319,713</b>
Debt Service Reserve Fund (DSRF)	\$9.1 million in DSRF with bond trustee, BONY-Mellon.	\$25 million in DSRF with bond trustee, BONY-Mellon.	NA	
Other	Refunded balance of 2002 A	Refunded Series 2002A,B,C, 2007, and Series 2010B	Refunded Series 2010A Bonds	

**Open Session Item**

**6**

**BI-STATE DEVELOPMENT  
BUSINESS SERVICES & ECONOMIC DEVELOPMENT COMMITTEE  
OPEN SESSION MINUTES  
OCTOBER 16, 2015**

**Committee Members in Attendance**

**Missouri**

Aliah Holman, Chair  
Vincent Schoemehl (absent)

**Illinois**

Michael Buehlhorn  
Irma Golliday (absent)  
Tadas Kicielinski (absent)

**Other Commissioners in Attendance**

Kelley Farrell

**Staff in Attendance**

John Nations, President & CEO  
Barbara Enneking, General Counsel/Deputy Secretary  
Shirley Bryant, Certified Paralegal  
Jenny Nixon, Senior Vice President, Business Enterprises  
John Langa, Vice President, Economic Development  
Jeff Braun, Director, Real Estate  
Kyra Nichols, Administrative Assistant  
Barbara Georgeff, Executive Assistant to the President & CEO  
Lindsey Erb, Marketing Specialist  
Larry Jackson, Vice President, Procurement, Inventory Management & Supplier Diversity  
Patti Beck, Director, Communications  
Kathy Klevorn, Senior Vice President, Chief Financial Officer  
Thomas Dunn, Director, Gateway Arch Riverboats  
Chance Baragary, Project Manager II – Engineering  
Jim Cali, Director, Internal Audit  
Erick Dahl, Director St. Louis Downtown Airport  
Tammy Fulbright, Director Treasury Services  
Brenda Krieger, Sr. Administrative Assistant  
Kent Swagler, Director, Corporate Compliance and Ethics  
Darcy Bates, Sr. Administrative Assistant  
Sarah Clarke, Director Gateway Arch Operations  
Michael Gibbs, Accountant-Business Services  
Reginald Cavitt, ATU 788  
Jerry Vallely, External Communications Manager

**Others in Attendance**

Jeffrey LeMunyon, Principal, Linwood Capital, LLC

**1. Call to Order**

**8:00 a.m.** Chair Holman called the Open Session Business Services & Economic Development Committee Meeting to order at 8:00 a.m.

2. **Roll Call**  
**8:00 a.m.** Roll call was taken.
3. **Public Comment**  
**8:00 a.m.** There was no public comment.
4. **Minutes of Prior Open Session Business Services and Economic Development Committee Meeting**  
**8:01 a.m.** The March 20, 2015, Open Session Business Services and Economic Development Committee Meeting minutes were provided in the Committee packet. A motion to approve the minutes was made by Commissioner Buehlhorn and seconded by Chair Holman. **Motion passed unanimously.**
5. **Fuel Hedging Program Statement of Policy and Strategy**  
**8:05 a.m.** The briefing paper and PowerPoint presentation regarding the Fuel Hedging Program Statement of Policy and Strategy were provided in the Committee packet. Kathy Klevorn, Sr. Vice President & CFO, and Jeffrey LeMunyon, Principal, Linwood Capital, LLC ("Linwood") provided a brief overview. Bi-State Development (BSD) uses commodities that have the capability of high price volatility such as diesel, electricity and natural gas in the practice of its businesses. In an effort to decrease cost volatility, BSD uses hedging techniques to: 1) increase the likelihood that the actual net cost would remain below the budgeted cost; 2) increase the certainty of future cost; 3) attain a lower overall cost in the long-term; and 4) manage year-over-year changes in fuel and electricity cost. Certain goals will be accomplished by Linwood executing the appropriate transactions at the right times to create the desired effect within the constraints of the policy. The current oversupply of oil of 1.5 to 3 million barrels per day is causing an imbalance that is forecasted to continue through 2016. U. S. Inventories are down slightly and the inventory overhang will keep prices relatively low. Domestic production has declined since June. The dollar index has stabilized and a strong dollar puts downward pressure on prices. Sharp rig count decline has ended, and that is expected to lower U.S. production. Prices have continued to move lower over the past three months. These economic conditions created a downward price pressure for spot and forward prices. With current conditions, BSD can lock in the cost of diesel fuel for FY17 and FY18 at approximately \$1.88, which is lower than all fiscal year average prices from FY06 through FY15. Mr. LeMunyon recommends that BSD's current practice of hedging up to 18 months at approximately 70% of its fuel purchases be increased to 36 months, and approximately 95% of its fuel purchases, if conditions are appropriate. This report was informational only and no Committee action was required. A copy of the report will be kept at the office of the Deputy Secretary.
6. **Revision to Board Policy, Chapter 30, Section 30.070, Hedging**  
**8:25 a.m.** The briefing paper regarding the revision to *Board Policy, Chapter 30, Section 30.070, Hedging* was provided in the Committee packet. Kathy Klevorn, Sr. Vice President & CFO, provided a brief overview. Bi-State Development (BSD) uses commodities such as diesel, electricity, and natural gas in the practice of its businesses. BSD manages financial risks attributed to the price variability of diesel, electricity and natural gas usage through the use of hedging techniques. This Board Policy outlines how the Agency manages those risks, what techniques would be employed, and the general guidelines to be followed. However, this Board Policy has not been updated since 2001, and after reviewing the current policy it was determined that the language related to financial hedge transactions should be refined to provide greater clarity and that the members of the Hedging Committee should be revised.

John Nations, President & CEO, requested that the Committee approve the policy revision and refer to the full Board for approval at the November 20, 2015 meeting, without the necessity to hold over for an

additional 30 days in accordance with Board Policy provisions. A motion for the Committee to approve and refer to the Board for approval the revised *Board Policy, Chapter 30, Section 30.070 Hedging* and that the Chairman waive the thirty (30) day hold to provide for immediate approval at the November 20, 2015 Board meeting was made by Commissioner Farrell and seconded by Commissioner Buehlhorn. **Motion passed unanimously.**

**7. Contract Modification: Jefferson National Expansion Memorial Motor-Generator Sets Replacement – Additional Design by Maida Engineering**

**8:28 a.m.** The briefing paper regarding the Contract Modification for the Jefferson National Expansion Memorial Motor-Generator Sets Replacement – Additional Design by Maida Engineering, Inc. (**Maida**) was provided in the Committee packet. Chance Baragary, Manager Gateway Arch Construction, provided a brief overview. The Arch Transportation System (**ATS**) uses motor-generated (**MG**) sets that consist of alternating current motors and direct current (**DC**) generators to power the DC hoist motors for the north and south trams. This technology has been outdated since the 1980's, and is now being replaced with variable frequency drive (**VFD**) systems. The Board approved a sole source contract with Maida on March 22, 2013, for an amount not to exceed \$615,000 for the design and engineering services to complete the bid documents for the MG set replacement. This contract award covered the first three envisioned phases, Preliminary Design, Bid Documents, and Bid Phase Services. On April 24, 2015, the Board approved a sole source contract not to exceed \$430,000 to Maida for additional services leading into and through construction that covered the Construction Design (**CD**) and Services During Construction (**SDC**) phases. A joint decision was made near the end of the design process between Bi-State Development (**BSD**), the National Park Service (**NPS**) and Maida to shift the System Integration (**SI**) responsibilities to the construction contractor. Maida was retained under a separate contract to serve in a systems integration support role as needed throughout construction, representing BSD in technical review matters associated with the contractor's SI work, with the primary responsibility belonging to the contractor. In order to complete the originally intended base design and produce quality bid documents for construction, it was necessary for Maida to undertake efforts that were beyond the original contract scope. The additional efforts included the development of functional specifications and field work to confirm existing conditions. Additionally, the decision to shift the SI responsibilities to the contractor introduced a design component not covered by the original contract. The completion of all construction and replacement of the MG sets was expected to be completed in January/February 2016. Primarily because of the tight construction schedule, only one bid was received at the June 30, 2015 bid opening, and that single bid exceeded the project budget. As a result, the timeline was adjusted to include the tram outage from December 2016 through February 2017 to allow for completion of work. A motion for the Committee to approve and refer to the Board for approval a modification of the current Maida contract to include the additional efforts necessary to complete the design for the replacement of the Arch Transportation system's motor generator sets with variable frequency drives in an amount not to exceed \$166,550, bringing the total authorized amount of the contract with Maida to \$1,211,550 was made by Commissioner Buehlhorn and seconded by Commissioner Farrell. **Motion passed unanimously.**

**8. Freight District Overview**

**8:02 a.m.** The briefing paper regarding the Freight District Overview was provided in the Committee packet. Mary Lamie, Executive Director, Freight District, provided a brief update. The Freight District (the "**District**") was established as a result of the 2013 East-West Gateway St. Louis Regional Freight Study, and the September 2014 selection of BSD by East-West Gateway to be the District. The District's mission is to accelerate regional economic growth by coordinating public and private efforts, optimizing regional multimodal investment portfolio, and marketing the region's multimodal opportunities. The District has a commitment from East West Gateway and the Leadership Council of Southwestern Illinois for annual contributions that are currently being collected for calendar year 2015. The District's Working

Group, which consists of leaders from Missouri and Illinois, will meet on October 23, 2015, to present recommendations for the Board of Directors, a transition plan, the District's name, logo, tagline, and strategic map that includes the District's vision, goals, and objectives. The strategic map also includes the framework for the District's needs analysis, freight development, and marketing plan. AEGIS, was hired as a sole source consultant to put together the organizational structure. Since July, the District has participated in public and private sector meetings with freight industry leaders. The District's website is expected to be launched in January 2016. This report is informational only, and no Committee action was required. A copy of the report will be kept at the office of the Deputy Secretary.

**9. Update on Economic Development Projects**

**9:40 a.m.** The briefing paper regarding the Update on Economic Development Projects was provided in the Committee packet. The Annual Business Plan Brief - FY2016 and a PowerPoint presentation on selected Representative Project Discussions were distributed at the meeting, as it was inadvertently left out of the Committee packet. John Langa, Vice President, Economic Development, provided a brief overview. The Economic Development Department (EDD) projects have grown from nine (9) in FY12 to twenty-three (23) in FY15 and currently to twenty-one in FY16. Notable recent projects include: 1) the creation of the Bi-State Research Institute; 2) the Freight District; 3) the completion, build-out, and move to the new Bi-State Development (BSD) headquarters; 4) the renegotiation of the agreement at the Brentwood Meridian Garage; 5) the administration of the St. Ann Transportation Development District (TDD) capital projects; 6) writing the proposal for the Leadership Council for the Southwestern Illinois Site Committee for freight study in support of \$180,000 IDOT grant; and 7) the disposition of \$460,000 of surplus BSD property holdings. Moving forward through 2015 and 2016 key projects will include: 1) completing the sale of the former BSD headquarters building; 2) getting the St. Ann TDD projects underway; 3) gaining a grant with a possible 2015 award from the Missouri Foundation of Health for adaptive reuse of portions of the MetroLink parking lots to house on-site community medical services; 4) Transit Oriented Development (TOD) projects at North Hanley, UMSL, and the St. Charles Rock Road MetroLink Stations; 5) finding alternate funding sources for the North County Transit Center; and 6) the Real Estate Department's continued support to BSD's Engineering and Legal Departments.

Chair Holman stated that she was recently made aware of a program in another city that involved converting old buses into homeless cleaning stations and asked Mr. Langa to look into the possibility of BSD participating in such a program. This report was informational only, and no Committee action was required. A copy of the report will be kept at the office of the Deputy Secretary.

**10. Update on Downtown Airport Capital Projects Priority**

**9:49 a.m.** A PowerPoint presentation regarding the Downtown Airport Capital Projects Priority was provided in the Committee packet. Erick Dahl, Director St. Louis Downtown Airport, provided a brief update. The two primary projects discussed were the replacement of the Taxiway Bravo and the construction of the Engine Run-Up and Compass Rose Facility. The Taxiway project's primary goal is to meet Federal Regulations and to make changes to fillet design to allow for larger commercial aircraft. After reconstruction the Taxiway will accommodate all aircraft up to 757 – 300s (excluding 747s). There are approximately 500 engine run-ups each year and that number is expected to grow. A facility is needed to ensure the longevity and success of Jet Aviation and all maintenance operators at the Airport. Varying designs and locations are currently under consideration. There are forty-seven (47) projects planned from 2015 to 2031, totaling \$36 million in funding, which includes \$6 million local funds and \$381,119 per year in local funds. Some projects will not be funded depending on the availability of funds, and the priority of the projects. The Capital Improvement Plan (the "Plan") includes large and small infrastructure improvements; road improvements and replacements; equipment replacement or purchase; and hangar replacement. Project funding comes from Federal Entitlements (\$150,000 per year),

Federal Discretionary, State Apportionment (5% of an AIP Project), State Discretionary (\$9 million for entire state annually), Local Funding (5% of an AIP Project and 100% of non AIP Projects). Primary airports with 10,000 enplaned passengers annually receive \$1 million per year in entitlements. To become primary, the St. Louis Downtown Airport must increase charter operations and move helicopter passengers to Airport passengers. The Airport is actively looking for new areas to develop and there are three current concepts being designed with Requests for Proposals being written. There are seven (7) areas at the Airport that have no aeronautical value which could benefit the Airport if developed, most as Self-Storage Facilities. The annual revenue from these storage facilities would be determined by the Requests for Proposals. This report was informational only, and no Committee action was required. A copy of the report will be kept at the office of the Deputy Secretary.

**11. Update on CityArchRiver Project**

**9:01 a.m.** The PowerPoint presentation regarding the CityArchRiver Project Update was provided in the Committee package. Jenny Nixon, Sr. Vice President Business Enterprises, provided an overview. The presentation highlighted the 50<sup>th</sup> Anniversary Celebration of the Gateway Arch that is scheduled for Wednesday, October 28, 2015. The celebration will include: 1) lighting of the Arch in gold on the 27<sup>th</sup>; 2) broadcast of the TODAY Show Live from the Arch; 3) spelling out "50" on the Old Courthouse stairs; 4) flag raising on the Luther Ely Smith Square; 5) Scott Air Force Base Band; 6) Anniversary Flags flying throughout the community; and 7) free cupcakes and giveaways for visitors. The Luther Ely Smith Square and the park over the highway are expected to open Friday, October 30, 2015. Discussions continued regarding the Entrance Portal installation with an expected completion date of November 26, 2015. Renovation completion of the Leonor K. Sullivan Boulevard is expected to be completed by January 2017. Ms. Nixon also discussed the new exhibits in the north and south load zones; the new accessible pathways and new landscaping on both the north and south Arch grounds; as well as the motor generator set replacement. Kiener Plaza's renovation is expected to be completed by Spring 2017, and the Museum and Visitor Center in Summer 2017. This report was informational only, and no Committee action was required. A copy of the report will be kept at the office of the Deputy Secretary.

**12. Unscheduled Business**

**9:10 a.m.** There was no unscheduled business.

**13. Call of Dates for Future Committee Meetings**

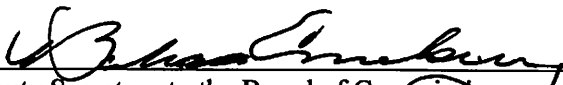
**9:10 a.m.** The next Operations Committee meeting is scheduled for Tuesday, October 20, 2015, at 8:00 a.m.; the next Audit Committee meeting is scheduled for Friday, October 23, 2015, at 8:00 a.m.; and the next Board meeting is scheduled for Friday, November 20, 2015, at 8:00 a.m.

**14. Executive Session - If such action is approved by a majority vote of the Bi-State Development's Board of Commissioners who constitute a quorum, the Board may go into closed session to discuss legal, confidential, or privileged matters under §610.021(1); RSMo; leasing, purchase or sale of real estate under §610.021(2); personnel actions under §610.021(3); discussions regarding negotiations with employee groups under §610.021(9); sealed bids, proposals and documents related to negotiated contracts under §610.021(12); personnel records or applications under §610.021(13); records which are otherwise protected from disclosure by law under §610.021(14); records relating to hotlines established for report abuse and wrongdoing under §610.021(16); or confidential or privileged communications with the District's auditor, including auditor work products under §610.021(17).**

**9:10 a.m.** Pursuant to the requirements of Section 610.021(1), 610.021(2) of the Revised Statutes of Missouri, Chair Holman requested a motion to allow the Board to go into closed session. A motion to go into Executive Session was made by Commissioner Buehlhorn and seconded by Commissioner Farrell. A



roll call vote was taken, and the Commissioners present, Holman, Buehlhorn, and Farrell voted to approve this agenda item. **Motion passed unanimously and the Open Session meeting was adjourned.**

  
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Deputy Secretary to the Board of Commissioners  
Bi-State Development



**BI-STATE DEVELOPMENT  
OPERATIONS COMMITTEE MEETING  
OPEN SESSION MINUTES  
OCTOBER 20, 2015**

**Committee Members in Attendance**

**Missouri**

Vernal Brown  
Kelley Farrell

**Illinois**

Michael Buehlhorn, Chairman  
Irma Golliday (via phone)  
Jeffrey Watson (absent)

**Other Commissioners in Attendance**

None

**Staff in Attendance**

John Nations, President & CEO  
Barbara Enneking, General Counsel and Deputy Secretary  
Shirley Bryant, Certified Paralegal  
Ray Friem, Executive Director Metro Transit  
Linda Espy, Senior Administrative Assistant  
Larry Jackson, Vice President, Procurement, Inventory Management & Supplier Diversity  
Scott Grott, Chief MetroLink Operations  
Jessica Mefford-Miller, Chief Transit Planning & System Development  
Fred Bakarich, Director, Engineering Systems  
Mark Vago, Controller  
Patti Beck, Director, Communications  
Kathy Klevorn, Senior Vice President & Chief Financial Officer  
Richard Zott, Chief of Public Safety  
Kerry Kinkade, Vice President Chief Information Officer  
Kathy Brittin, Director Risk Management, Safety & Claims  
Barbara Georgeff, Executive Assistant to the President & CEO

**Others in Attendance**

None

1. **Call to Order**  
8:00 a.m. Chairman Buehlhorn called the Open Session Operations Committee Meeting to order at 8:00 a.m.
2. **Roll Call**  
8:00 a.m. Roll call was taken.
3. **Public Comment**  
8:00 a.m. There was no public comment.

**4. Minutes of Prior Open Session Operations Committee Meeting**

**8:01 a.m.** The May 19, 2015, Open Session Operations Committee Meeting minutes were provided in the Committee packet. A motion to approve the minutes was made by Commissioner Farrell and seconded by Commissioner Brown. **Motion passed unanimously.**

**5. Sole Source Contract Award: GE Transportation Systems (GETS)**

**8:01 a.m.** The briefing paper regarding the sole source contract award for GE Transportation Systems (GETS) was provided in the Committee packet. Larry Jackson, Vice President Procurement, Inventory Management & Supplier Diversity, provided a brief overview. The current audio frequency track circuit components for the MetroLink system are now obsolete and new circuit board components are required. The new generation components are incapable of operating within the existing equipment. Some audio frequency track circuits were replaced on a smaller scale during the construction of the new signal interlocking locations. To safety certify operations the circuits had to be isolated, utilizing insulated rail joints. GETS would not certify or warrant audio frequency track circuits that had old and new generation components. To safety certify the new interlocking locations, 100% of the components of the new generation circuitry within the construction limits and isolated rail joints were cut into the mainline tracks to ensure safe and proper operation. This sole source award to GETS covers the remaining bill of materials to complete replacement of the obsolete audio frequency track circuitry, and GETS was the only supply source. A motion to recommend the Committee approve and refer to the Board for approval to award a sole source contract to GE Transportation Systems – Global Signaling to manufacture audio frequency track circuit equipment for the duration of the MetroLink Audio Frequency Track Circuit Rehabilitation Project in an amount not to exceed \$1,203,160, including a 10% contingency, with a contract period not to exceed two (2) years from contract award was made by Commissioner Farrell and seconded by Commissioner Brown. **Motion passed unanimously.**

**6. Transit Operations 2015, 4<sup>th</sup> Quarter Performance Report and Capital Projects Review**

**8:04 a.m.** The Transit Operations 2015, 4<sup>th</sup> Quarter Performance Report and Capital Projects Review Report was provided in the Committee packet. In the absence of Ray Friem, Executive Director Metro Transit, Kathy Klevorn, Sr. Vice President & Chief Financial Officer, provided a brief overview. Ms. Klevorn discussed the year end financials and ridership comparisons. Expenses for Transit Operations were below budget in FY2015 primarily due to lower than anticipated costs for labor, healthcare costs, diesel fuel, and revenue equipment parts. Passenger revenue for FY2015 was \$60,474,546 compared to a budget of \$63,743,095. The 4<sup>th</sup> quarter ridership numbers were down for rail 5%, for bus 2.4%, and for van 0.6%. Some discussion followed regarding the decline in ridership and the contributing factors causing the decline, one of which was lower fuel prices; and whether the proposed hedging plan, presented at the October 16, 2015 Business Services & Economic Development Committee meeting, would help offset some of the loss.

**\*\*8:09 a.m. Ray Friem joined the meeting.**

Mr. Friem stated that significant ridership issues developed in the second half of the fiscal year resulting in the system ridership being down overall 3.3%. The service profiles were stable and system efficiency measures were negatively impacted by the ridership loss. Passengers per revenue mile were off in all three modes; and passengers per revenue hours were also down. Paratransit did experience an improvement in passengers per revenue hour. Custodial arrests were down for FY2015, and there were fewer summonses issued across the system. Efforts to improve the perception of security on the transit system were negatively impacted by the regional unrest and a series of on-board incidents that aired on broadcast news and social media. Customer complaints were up 106% for FY2015, primarily because customers were reporting multiple things in a single call and each complaint was being documented. When compared against industry standards, Metro Transit's service quality indicators are considered

outstanding with on-time performance for MetroLink at 97%, and 92% and 93% respectively for MetroBus and Call-A-Ride. Preventable accidents were up slightly with overall accidents fairly flat. Service calls were down 14%, primarily due to the real time app that was launched in the second quarter FY2015 to provide the customer with real time system information. Mr. Friem also discussed briefly the Key Capital Project Status as of October 13, 2015. This report was informational only and no Committee action was required. A copy of the report will be kept at the office of the Deputy Secretary.

**7. Unscheduled Business**


**8:20 a.m.** There was no unscheduled business.

**8. Call of Dates for Future Committee Meetings**

**8:20 a.m.** The next Audit Committee meeting is scheduled for Friday, October 23, 2015 at 8:00 a.m.; and the next Board meeting is scheduled for Friday, November 20, 2015 at 8:00 a.m.

**9. Executive Session - If such action is approved by a majority vote of the Bi-State Development's Board of Commissioners who constitute a quorum, the Board may go into closed session to discuss legal, confidential, or privileged matters under §610.021(1); RSMo; leasing, purchase or sale of real estate under §610.021(2); personnel actions under §610.021(3); discussions regarding negotiations with employee groups under §610.021(9); sealed bids, proposals and documents related to negotiated contracts under §610.021(12); personnel records or applications under §610.021(13); records which are otherwise protected from disclosure by law under §610.021(14); records relating to hotlines established for report abuse and wrongdoing under §610.021(16); or confidential or privileged communications with the District's auditor, including auditor work products under §610.021(17).**

**8:20 a.m.** Pursuant to the requirements of Section 610.021(1), 610.021(2), 610.021(14), and 610.021(16) of the Revised Statutes of Missouri, Chairman Buehlhorn requested a motion to allow the Committee to go into closed session. A motion to go into Executive Session was made by Commissioner Golliday and seconded by Commissioner Brown. A roll call vote was taken and the Commissioners present, Brown, Farrell, Buehlhorn and Golliday voted to approve this agenda item. **Motion passed unanimously, and the Open Session meeting was adjourned.**

  
Deputy Secretary to the Board of Commissioners  
Bi-State Development



**BI-STATE DEVELOPMENT  
AUDIT COMMITTEE MEETING  
OPEN SESSION MINUTES  
OCTOBER 23, 2015**

**Committee Members in Attendance**

**Missouri**

Constance Gully, Chair  
Kelley Farrell  
Vincent C. Schoemehl

**Illinois**

David Dietzel  
Jeffrey Watson (absent)

**Other Commissioners in Attendance**

Vernal Brown

**Staff in Attendance**

John Nations, President & CEO  
Barbara Enneking, General Counsel and Deputy Secretary  
Shirley Bryant, Certified Paralegal  
Jim Cali, Director Internal Audit  
Rita Marion, Sr. Administrative Assistant  
Kathy Klevorn, Sr. Vice-President and Chief Financial Officer  
Patti Beck, Director of Communications  
Mark Vago, Controller  
Kathy Brittin, Director Risk Management, Safety & Claims  
Angie Staicoff, Internal Auditor  
Kelli Fitzpatrick, Internal Auditor, Part-Time  
Tammy Fulbright, Director Treasury Services  
Antwuan Donley, Internal Audit Department Intern  
Sheila Hockel, Manager Emergency Preparedness  
Jerry Vallely, External Communications Manager  
Larry Jackson, Vice President Procurement, Inventory Management & Supplier Diversity  
Jessica Mefford-Miller, Chief Transit Planning & System Development  
Kerry Kinkade, Acting Vice President Chief Information Officer  
Barbara Georgeff, Executive Assistant to the President & CEO

**Others in Attendance**

Scott Nickerson, Crowe Horwarth

**1. Call to Order**

**8:03 a.m.** Chair Gully called the Open Session Audit Committee Meeting to order at 8:03 a.m.

**2. Roll Call**

**8:03 a.m.** Roll call was taken.

**3. Public Comment**

**8:03 a.m.** There was no public comment.



4. **Minutes of Prior Open Session Audit Committee Meeting**

**8:03 a.m.** The May 22, 2015, Open Session Audit Committee Meeting minutes were provided in the Committee packet. A motion to approve the minutes was made by Commissioner Schoemehl and seconded by Commissioner Dietzel. **Motion passed unanimously.**

5. **Treasury - Safekeeping Quarterly Accounts Audit, Ending March 31, 2015 and June 30, 2015**

**8:04 a.m.** The briefing paper regarding the Treasury Safekeeping Quarterly Accounts Audit - Ending March 31, 2015 and June 30, 2015 was provided in the Committee packet. Jim Cali, Director of Internal Audit, provided a brief overview. In accordance with the FY15 Internal Audit Plan and Board Policy requirements, the Internal Audit Department (IAD) performed a quarterly audit of the Treasury Safekeeping Accounts. Based on that analysis, it was determined that the Safekeeping Accounts exist, and the respective balances have been fairly presented in the Treasurer's Report dated March 31, 2015 and June 30, 2015. This report was informational only, and no Committee action was required. A copy of the report will be kept at the office of the Deputy Secretary.

6. **Internal Audit Status Reports – 4<sup>th</sup> Quarter FY15, and 1<sup>st</sup> Quarter FY16**

**8:04 a.m.** The briefing paper regarding the Internal Audit Status Report for the 4<sup>th</sup> Quarter FY15 and 1<sup>st</sup> Quarter FY16 was provided in the Committee packet. Jim Cali, Director of Internal Audit, provided a brief overview. The Internal Audit Department (IAD) Status Report provides a summary of the IAD's quarterly activity pertaining to the Annual Audit Plan. Of the thirty two (32) planned audits, twenty eight (28) have been completed, three (3) are in process and one (1) is on hold; and two (2) additional special investigations were completed during the previous fiscal year. This report was informational only and no Committee action was required. A copy of the report will be kept at the office of the Deputy Secretary.

Chair Gully requested that future charts for the Audit Status Reports include the date completed and the target date for comparison purposes.

7. **Internal Audit Follow Up Summary – 4<sup>th</sup> Quarter FY15**

**8:05 a.m.** The briefing paper regarding the Internal Audit Follow Up Summary – 4<sup>th</sup> Quarter FY15 was provided in the Committee packet. Jim Cali, Director of Internal Audit, provided a brief overview. The most important part of this audit is the follow-up of the implementation of the recommendations and to date no recommendations are past due. Management made great accomplishments in this last quarter to close out a number of outstanding recommendations. Even during the headquarters relocation, management continued to work on meeting the timetable to implement the recommendations. This report was informational only and no Committee action was required. A copy of the report will be kept at the office of the Deputy Secretary.

8. **Unscheduled Business**

**8:06 a.m.** John Nations, President & CEO, informed the Committee that the briefing paper regarding the 2012 - 2015 Title VI Program was originally prepared for the Executive Session, but it was determined that this should actually be on the Open Session Agenda. Mr. Nations asked Ray Friem, Executive Director Metro Transit, to provide an update on the Title VI Program. Mr. Friem and Jessica Mefford-Miller, Chief Transit Planning & System Development, provided a brief overview. Because Bi-State Development (BSD) receives federal funding, it is bound by the regulations under Title VI of the Civil Rights Act of 1964. BSD/Metro Transit has a legal obligation to ensure that its customers have equal access to its transit system and facilities. The FTA requires BSD/Metro Transit to submit a Title VI Program (the "Program") triennially to show that Metro Transit complies with the Program requirements. This Program must be approved by the Board prior to submission to the FTA. The Program documents Metro Transit's approach to planning and programming of transit service, capital projects, communication of non-discrimination policies in the provision of transit services, passenger

amenities, changes in transit service, fare policy, and fare changes for a three (3) year period, which currently covers October 2012 - October 2015. Metro Transit collects and maintains data showing demographic information for the three county service areas. This data is used to identify areas of transit need and likely service productivity, and to detect any disparate impacts of proposed service changes or policies on protected groups. Metro Transit tries to synthesize the demographic data it gathers into a planning tool called the Transit Need Index, that helps identify geographic concentrations of transit need and likely transit riders. Metro Transit is also required to evaluate the English language proficiency of its service area and develop and implement plans for accommodating populations that are not English proficient. Public involvement policies and public involvement efforts in the period covered by the Program are required to be documented. Each major construction project is required to be evaluated for environmental justice considerations. Annual on-board passenger surveys of both bus and rail customers are conducted. These findings help identify the proportion of minority and low income riders using the transit system; and to determine whether a perception of service inequity exist.

Commissioner Schoemehl inquired as to whether Title VI would have an impact on any decisions made about future MetroLink lines. In response, Ms. Mefford-Miller assured the Committee that the Title VI requirements would definitely have an impact on decisions made regarding the transit system and its facilities.

A motion for the Committee to approve and refer to the Board for approval the 2012-2015 Title VI Program was made by Commissioner Schoemehl and seconded by Commissioner Dietzel. **Motion passed unanimously.**

**9. Call of Dates for Future Committee Meetings**

**8:10 a.m.** The next Board meeting is scheduled for Friday, November 20, 2015, at 8:00 a.m.

**10. Executive Session - If such action is approved by a majority vote of the Bi-State Development's Board of Commissioners who constitute a quorum, the Board may go into closed session to discuss legal, confidential, or privileged matters under §610.021(1); RSMo; leasing, purchase or sale of real estate under §610.021(2); personnel actions under §610.021(3); discussions regarding negotiations with employee groups under §610.021(9); sealed bids, proposals and documents related to negotiated contracts under §610.021(12); personnel records or applications under §610.021(13); records which are otherwise protected from disclosure by law under §610.021(14); records relating to hotlines established for report abuse and wrongdoing under §610.021(16); or confidential or privileged communications with the District's auditor, including auditor work products under §610.021(17).**

**8:10 a.m.** Pursuant to the requirements of Section 610.021(1), 610.021(2), 610.021(3), 610.021(9), 610.021(12), 610.021(13), 610.021(14), 610.021(16) and 610.021(17) of the Revised Statutes of Missouri, Chair Gully requested a motion to allow the Board to go into closed session. A motion to go into Executive Session was made by Commissioner Schoemehl and seconded by Commissioner Dietzel. A roll call vote was taken and the Commissioners present, Gully, Farrell, Schoemehl, Dietzel, and Brown voted to approve this agenda item. **Motion passed unanimously, and the Open Session meeting was adjourned.**

  
Deputy Secretary to the Board of Commissioners  
Bi-State Development

**Open Session Item**

**10(a)**

**Bi-State Development  
Board of Commissioners  
Agenda Item  
November 20, 2015**

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**From:** John M. Nations, President & CEO  
**Subject:** **Sole Source Contract Award: GE Transportation Systems (GETS)  
- Global Signaling**  
**Disposition:** Approval  
**Presentation:** Raymond A Friem – Executive Director Metro Transit – Transit Services; Scott D. Grott, Chief MetroLink Operations; Larry Jackson, Vice President – Procurement, Inventory Management & Supplier Diversity

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**Objective:**

To present to the Board of Commissioners for approval a request for authorization to award a contract to GE Transportation Systems (**GETS**) - Global Signaling for manufacture of materials to rehabilitate the MetroLink system audio frequency track circuits along the phase 1 alignment.

**Committee Disposition:**

This item was presented and discussed at the Operations Committee meeting on October 20, 2015. The Committee voted to recommend that the Board of Commissioners approve this contract.

**Board Policy:**

Board Policy Chapter 50.010.E – Purchasing requires Board approval of all non-competitive procurements exceeding \$100,000.

It is the policy of the Agency to conduct all procurements in a manner which fosters full and open competition. In some cases, competition is not feasible or practical. Sole source procurements have totaled 12.5% of all procurements over the last four quarters.

**Funding Source:**

The funding sources for rehabilitation of MetroLink system audio frequency track circuit materials are Federal Transit Administration (**FTA**) Grant number MO-54-0001 and Local Funding.

**Background:**

The original MetroLink system began operation in 1993. The audio frequency track circuit components are now obsolete, and newer generation circuit board components are required. However, the new generation circuitry is incapable of operating within the existing equipment. Metro Transit has replaced audio frequency track circuits in recent years, but only on a smaller scale during construction of new signal interlocking locations. In order to safety certify operation the circuits had to be totally isolated, utilizing insulated rail joints. The manufacturer (GETS) would not certify or warranty audio frequency track circuits comprised of older and newer generation components. In order to safety certify the new interlocking locations, 100 % of the components were new generation circuitry within the construction limits and isolated rail joints were cut into the mainline tracks to ensure safe and proper operation. The current contracting activity is to replace 100% of the remaining audio frequency track circuit equipment that wasn't

upgraded during recent signal interlocking projects (Tucker Interlocking, East Riverfront Interlocking, and UMSL South Interlocking).

In November 2014, the Board of Commissioners approved the award of a contract to GETS for supply of replacement impedance bonds due to anticipated long lead deliveries. These impedance bonds are the only part of the audio frequency track circuit (apart from the running rails) that function with existing or new generation circuitry. The requested contract award to GETS covers the remaining bill of materials to complete replacement of obsolete audio frequency track circuitry. Each circuit board is individually manufactured, tuned, and factory tested.

**Analysis:**

GE Transportation Systems - Global Signaling is the only source of supply. Metro Transit obtained recent catalogue pricing from the manufacturer and pricing is in line with previous GETS quotes for like materials and considered fair and reasonable.

**Board Action Requested:**

Approval by the Board of Commissioners to award a sole-source contract to GE Transportation Systems – Global Signaling to manufacture audio frequency track circuit equipment for the duration of the MetroLink Audio Frequency Track Circuit Rehabilitation Project in an amount not-to-exceed \$1,203,160 (includes 10% contingency). The contract duration shall not exceed two years from contract award.

**A RESOLUTION OF THE BOARD OF COMMISSIONERS  
OF THE BI-STATE DEVELOPMENT AGENCY  
OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT  
AWARDING A CONTRACT TO GE TRANSPORTATION SYSTEM - GLOBAL  
SIGNALING FOR METROLINK SYSTEM AUDIO FREQUENCY TRACK  
CIRCUITS**

**PREAMBLES:**

*Whereas*, The Bi-State Development Agency of the Missouri-Illinois Metropolitan District (the “Agency”/“BSD”) is a body corporate and politic, created by an interstate compact between the States of Missouri and Illinois, acting by and through its Board of Commissioners (the “Board of Commissioners”); and

*Whereas*, the Agency is authorized by Mo. Rev. Stat. §§ 70.370 et seq. and 45 Ill. Comp. Stat. 100/1 et seq. (jointly referred to herein as the “Compact”) to plan, construct, maintain, own and operate passenger transportation facilities, and to perform all other necessary and incidental functions, and to disburse funds for its lawful activities, to adopt rules and regulations for the proper operation of its passenger transportation facilities and conveyances, to contract and to be contracted with; and

*Whereas*, Board Policy Chapter 50, §50.010(A)(8) and §50.010(E)(1)(b), requires Board approval of all non-competitive procurements exceeding \$100,000; and

*Whereas*, funding sources for the rehabilitation of MetroLink system audio frequency track circuit materials are Federal Transit Administration (FTA) Grant MO-54-0001 and Local Funding; and

*Whereas*, the MetroLink system began operation in 1993 and the original audio frequency track circuit components are now obsolete and newer generation circuit board components are required; and

*Whereas*, in November 2014, the Board approved the award of a contract to GE Transportation Systems – Global Signaling (GETS) for the supply of replacement impedance bonds due to anticipated long lead deliveries. These impedance bonds are only part of the audio frequency track circuit that functions with existing or new generation circuitry. The requested contract award to GETS covers the remaining needed materials to complete the replacement of obsolete audio frequency track circuitry; and

*Whereas*, GETS is the only source of supply and pricing is in line with previous GETS quotes for like materials. A contract in an amount not-to-exceed \$1,203,160, which includes a 10% contingency and a contract duration not exceeding two years, is considered fair and reasonable; and

*Whereas*, it is feasible, necessary and in the public interest for the Agency to award a sole source purchase contract with GE Transportation Systems – Global Signaling for MetroLink audio frequency track circuitry in an amount not-to-exceed \$1,203,160, which includes a 10% contingency and a contract duration not exceeding two years, in accordance with the terms and conditions described herein.

**NOW, THEREFORE, THE BOARD OF COMMISSIONERS OF THE BI-STATE DEVELOPMENT AGENCY OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT DOES HEREBY RESOLVE, DETERMINE AND ORDER AS FOLLOWS:**

Section 1.      Findings. The Board of Commissioners hereby finds and determines those matters set forth in the preambles hereof as fully and completely as if set out in full in this Section 1.



Section 2.        Approval of the Contract. The Board of Commissioners hereby approves the sole source contract award to GE Transportation Systems – Global Signaling for MetroLink audio frequency track circuitry in an amount not-to-exceed \$1,203,160 which includes a 10% contingency and a contract duration not exceeding two years.

Section 3.        Actions of Officers Authorized. The officers of the Agency, including, without limitation, the President and CEO, and Vice President of Procurement are hereby authorized and directed to execute all documents and take such actions as they may deem necessary or advisable in order to carry out and perform the purposes of this Resolution and the Contract and the execution of such documents or taking of such action shall be conclusive evidence of such necessity or advisability.

Section 4.        Severability. It is hereby declared to be the intention of the Board of Commissioners that each and every part, section and subsection of this Resolution shall be separate and severable from each and every other part, section and subsection hereof and that the Board of Commissioners intends to adopt each said part, section and subsection separately and independently of any other part, section and subsection. In the event that any part, section or subsection of this Resolution shall be determined to be or to have been unlawful or unconstitutional, the remaining parts, sections and subsections shall be and remain in full force and effect, unless the court making such finding shall determine that the valid portions standing alone are incomplete and are incapable of being executed in accordance with the intent of this Resolution.

Section 5.        Rights Under Resolution Limited. No rights shall be conferred by this Resolution upon any person or entity other than the Agency and GE Transportation Systems – Global Signaling.

Section 6.        Governing Law. The laws of the State of Missouri shall govern this Resolution.

Section 7.        No Personal Liability. No member of the Board of Commissioners, officer, employee or agent of the Agency shall have any personal liability for acts taken in accordance with this Resolution and this Contract.

Section 8.        Payment of Expenses. The Senior Vice President and CFO is hereby authorized and directed to pay or cause to be paid all costs, expenses and fees incurred in connection with or incidental to this Resolution and Contract.

Section 9.        This Resolution shall be in full force and effect from and after its passage and approval.

ADOPTED by the Board of Commissioners of The Bi-State Development Agency of the Missouri-Illinois Metropolitan District this 20<sup>th</sup> day of November, 2015.

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

By \_\_\_\_\_  
Title \_\_\_\_\_

[SEAL]

ATTEST:

By \_\_\_\_\_  
Deputy Secretary to the Board of Commissioners

**Open Session Item**

**10(b)**

**Bi-State Development  
Board of Commissioners  
Agenda Item  
November 20, 2015**

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**From:** John M. Nations, President & CEO  
**Subject:** Contract Modification With Maida Engineering, Inc. for Additional Design for Jefferson National Expansion Memorial Motor-Generator Sets Replacement  
**Disposition:** Approval  
**Presentation:** Jennifer S. Nixon, Senior Vice-President, Business Enterprises; and Chance Baragary, Manager Gateway Arch Construction

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**Objective:**

To present to the Board of Commissioners for approval a request to modify the sole source contract with Maida Engineering, Inc. to include additional work necessary to complete project design related to replacement of the Arch Transportation System's motor generator sets with variable frequency drives.

**Committee Disposition**

This item was presented and discussed at the October 16, 2015, Business Services & Economic Development Committee meeting. The Committee recommends that the Board of Commissioners approve this request to modify the sole source contract with Maida Engineering, Inc. to include additional design efforts necessary to complete the Jefferson National Expansion Memorial Motor-Generator Sets Replacement project.

**Board Policy:**

*Board Policy Chapter 50 – Purchasing, Section 50.050(C)(1)(b)* requires Board approval of all non-competitive Gateway Arch procurements exceeding \$500,000.

**Funding Source:**

Funding for this project will come from the *2014 Arch Debt MG Set Replacement Project Fund*, which is the \$6,870,000 project fund resulting from the sale of the *2014 Series Arch Tram Revenue Bonds - PNC*.

**Background:**

The Arch Transportation System (**ATS**) currently utilizes motor-generator (**MG**) sets that consists of alternating current motors and direct current (**DC**) generators to power the DC hoist motors (independent systems for each of north and south trams). This technology has been outdated since the 1980's, so they are being replaced with variable frequency drive (**VFD**) systems. This replacement will result in a safer, cleaner, and more efficient ATS operation that runs a reduced risk of obsolescence and the extended downtime inherent to the current MG set operation. Updating the ATS to better utilize currently available technology is a multi-phase approach, culminating with the installation of VFD systems.

On March 22, 2013, the Board of Commissioners approved a sole source contract not to exceed \$615,000 to Maida Engineering, Inc. (**Maida**) for the design and engineering services to complete the bid documents for the MG set replacement. This approval and contract award secured Maida

for the first three envisioned phases, Preliminary Design, Bid Documents, and Bid Phase Services. It was anticipated at that time that the additional phases of Construction Documents (**CD**), Systems Integration (**SI**), and Services During Construction (**SDC**) would be addressed by future agreements.

Furthermore, on April 24, 2015, the Board of Commissioners approved a sole source contract not to exceed \$430,000 to Maida for additional services leading into and through construction, which will cover the CD and SDC phases.

Near the end of the design process, a decision was made jointly by Bi-State Development (**BSD**), the National Park Service (**NPS**), and Maida, to shift the SI responsibilities to the construction contractor. Plans are to retain Maida under a separate contract to serve in a systems integration support role as needed throughout construction, representing BSD in requested technical review matters associated with the contractor's SI work, but the primary responsibility will belong to the contractor.

### **Current Issues:**

In order to complete the originally intended base design and produce quality bid documents for construction, it was necessary for Maida to undertake efforts that were beyond the original contract scope. These additional efforts can be divided into the following categories:

#### **Development of functional specification:**

A primary goal of this project was for the normal operation of the ATS to not be significantly altered. It is important to maintain the standard controls at the operator interfaces, maintain tram speed/acceleration/deceleration, and for the visitor experience to remain unchanged. To accomplish this, a complete functional specification of the existing ATS was necessary. Complete documentation of the existing system was expected to be available, but as design progressed it was learned that the NPS did not possess a complete set of existing system documentation. In fact, even the well-seasoned ATS Mechanics who maintained the system for 20+ years were not 100% sure exactly how every aspect of the system functioned. There were a few documents that contained operational and maintenance information, but nothing for the complete ATS. It became necessary for Maida to develop an initial functional specification, followed by face-to-face meetings and site explorations to verify/correct the specification, and finally to prepare a final functional specification.

#### **Field work to confirm existing conditions:**

In addition to confirmation of the ATS functional requirements, confirmation of every existing drawing made available to Maida was necessary, an effort that was not expected at the time of the original contract. The NPS was able to provide some drawings that included interconnection details for various pieces of equipment, some that will stay and some that will be removed, but the drawings were not all correct. Drawings were outdated, and did not show modifications that had been facilitated since original installation. In order to complete the new design and ensure it tied

in correctly to existing equipment, it was necessary to verify, and in some instances correct, the existing drawings.

Additionally, the decision to shift the SI responsibilities to the contractor introduced a design component not covered by the original contract. Putting the SI responsibilities on the contractor meant development of a very thorough specification section to address this contract requirement, as well as integration with other pertinent sections to make sure the SI responsibilities necessary for each component of the new system are properly addressed. Given the complexity of the ATS, there was not a template specification that could be used, so it was necessary to develop this section from scratch. In this section, Maida needed to transfer a large portion of their inherent knowledge of the system via the specification to the chosen contractor, which was not expected to be necessary when it was envisioned that Maida would be filling the SI role. Maida adapted to this change in direction and worked diligently to produce the necessary specification section and the accompanying review/revisions of other sections and drawings necessary.

It should also be noted that the project schedule has been lengthened. The original intent was to complete all construction and replacement of the MG Sets in the coming January/February 2016 Park closure. However, only one bid was received at the June 30, 2015 bid opening, and feedback from potential bidders indicated that the tight project schedule was the primary reason for not bidding. The single bid received exceeded the project budget, so the timeline was adjusted to also include a tram outage December 2016 through February 2017 to allow for completion of work. Additional project funding was also identified in preparation for rebidding the construction contract.

**Board Action Requested:**

It is requested that the Board of Commissioners approve a modification of the current Maida Engineering, Inc. contract to include the additional efforts necessary to complete the design for the replacement of the Arch Transportation System's motor generator sets with variable frequency drives, in an amount not to exceed \$166,550. This contract modification will bring the total authorized amount of the contract with Maida Engineering to \$1,211,550.

**A RESOLUTION OF THE BOARD OF COMMISSIONERS  
OF THE BI-STATE DEVELOPMENT AGENCY  
OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT  
APPROVING THE MODIFICATION OF THE CURRENT MAIDA  
ENGINEERING, INC. CONTRACT TO INCLUDE ADDITIONAL  
WORK TO COMPLETE PROJECT DESIGN RELATED TO THE  
REPLACEMENT OF THE ARCH TRANSPORTATION SYSTEM  
MOTOR GENERATOR SETS**

**PREAMBLES:**

*Whereas*, The Bi-State Development Agency of the Missouri-Illinois Metropolitan District (the “Agency”/“BSD”) is a body corporate and politic, created by an interstate compact between the States of Missouri and Illinois, acting by and through its Board of Commissioners (the “Board of Commissioners”); and

*Whereas*, the Agency is authorized by Mo. Rev. Stat. §§ 70.370 et seq. and 45 Ill. Comp. Stat. 100/1 et seq. (jointly referred to herein as the “Compact”) to plan, construct, maintain, own and operate passenger transportation facilities, and to perform all other necessary and incidental functions, and to disburse funds for its lawful activities, to adopt rules and regulations for the proper operation of its passenger transportation facilities and conveyances, to contract and to be contracted with; and

*Whereas*, Board Policy Chapter 50, §50.50 C.1(b) requires Board approval of all non-competitive Jefferson National Expansion Memorial procurements exceeding \$500,000 and

*Whereas*, the funding for this project will come from the *2014 Arch Debt MG Set Replacement Project Fund*, which is the \$6,870,000 project fund resulting from the sale of the *2014 Series Arch Tram Revenue Bonds - PNC*; and

*Whereas*, on March 22, 2013, the Board of Commissioners approved a sole source contract, not to exceed \$615,000 to Maida Engineering, Inc. for the design and engineering services to complete the bid documents for the Arch Transportation System (ATS) Project motor-generator replacements. Further on April 24, 2015, the Board of Commissioners approved a sole source contract not to exceed \$430,000 to Maida for additional services leading into and through construction covering Construction Documents, and Services During Construction phases; and

*Whereas*, Maida Engineering, Inc. is uniquely qualified to provide the design services for this final phase of the ATS Project, as evidenced by previous competitively bid contract awards and the existing design contract. In order to complete the originally intended base design and produce quality bid documents for construction it was necessary for Maida to undertake efforts that were beyond the original contract scope; and

*Whereas*, it is feasible, necessary and in the public interest for the Board to approve this modification of the current Maida Engineering Inc. contract for engineering and design services during the construction of the replacement of the ATS motor-generator sets in an amount not to exceed \$166,550. This amount brings the total contract amount for this project to \$1,211,550, in accordance with the terms and conditions described herein.

**NOW, THEREFORE, THE BOARD OF COMMISSIONERS OF THE BI-STATE DEVELOPMENT AGENCY OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT DOES HEREBY RESOLVE, DETERMINE AND ORDER AS FOLLOWS:**

Section 1.      Findings. The Board of Commissioners hereby finds and determines those matters set forth in the preambles hereof as fully and completely as if set out in full in this Section 1.

Section 2.        Approval of the Contract Modification. The Board of Commissioners hereby approves this modification of the current Maida Engineering Inc. contract for engineering and design services during the construction of the replacement of the ATS motor-generator sets in an amount not to exceed \$166,550, which brings the total contract amount for this project to \$1,211,550.

Section 3.        Actions of Officers Authorized. The officers of the Agency, including, without limitation, the President and CEO, and the Vice President of Procurement are hereby authorized and directed to execute all documents and take such actions as they may deem necessary or advisable in order to carry out and perform the purposes of this Resolution and the Contract and the execution of such documents or taking of such action shall be conclusive evidence of such necessity or advisability.

Section 4.        Severability. It is hereby declared to be the intention of the Board of Commissioners that each and every part, section and subsection of this Resolution shall be separate and severable from each and every other part, section and subsection hereof and that the Board of Commissioners intends to adopt each said part, section and subsection separately and independently of any other part, section and subsection. In the event that any part, section or subsection of this Resolution shall be determined to be or to have been unlawful or unconstitutional, the remaining parts, sections and subsections shall be and remain in full force and effect, unless the court making such finding shall determine that the valid portions standing alone are incomplete and are incapable of being executed in accordance with the intent of this Resolution.

Section 5.        Rights Under Resolution Limited. No rights shall be conferred by this Resolution upon any person or entity other than the Agency and Maida Engineering, Inc.

Section 6.        Governing Law. The laws of the State of Missouri shall govern this Resolution.

Section 7.        No Personal Liability. No member of the Board of Commissioners, officer, employee or agent of the Agency shall have any personal liability for acts taken in accordance with this Resolution and this Contract.

Section 8.        Payment of Expenses. The Senior Vice President and CFO is hereby authorized and directed to pay or cause to be paid all costs, expenses and fees incurred in connection with or incidental to this Resolution.

Section 9.        This Resolution shall be in full force and effect from and after its passage and approval.

ADOPTED by the Board of Commissioners of The Bi-State Development Agency of the Missouri-Illinois Metropolitan District this 20<sup>th</sup> day of November, 2015.

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

By \_\_\_\_\_  
Title \_\_\_\_\_

[SEAL]

ATTEST

By \_\_\_\_\_  
Deputy Secretary to the Board of Commissioners



**Open Session Item**

**10(c)**

**Bi-State Development  
Board of Commissioners  
Agenda Item  
November 20, 2015**

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**From:** John M. Nations, President & CEO  
**Subject:** **2012 – 2015 Title VI Program**  
**Disposition:** Approval  
**Presentation:** Raymond A. Friem, Executive Director Metro Transit

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**Objective:** To present to the Board of Commissioners for approval, Bi-State Development/Metro Transit's 2012 – 2015 Title VI Program.

**Committee Disposition:** This item was presented and discussed at the Audit Committee meeting on October 23, 2015. The Committee voted to recommend that the Board of Commissioners approve this 2012 - 2015 Title VI Program.

**Board Policy:** No Board Policy applies. However, the Federal Transit Administration (FTA) Circular 4702.1B, Chapter III requires that all direct and primary recipients document their compliance with Department of Transportation's (DOT's) Title VI regulations by submitting a Title VI Program to the FTA regional civil rights officer once every three years. The Title VI Program must be approved by the recipient's board of directors or appropriate governing entity prior to submission to FTA.

**Funding Source:** No funding is required.

**Background:** Bi-State Development (BSD) is a recipient of federal funding, and as such is bound by the regulations set forth in Title VI of the Civil Rights Act of 1964. According to Title VI and related legislation, BSD/Metro Transit has a legal obligation to ensure its customers are afforded the opportunity to use its transit services and visit facilities without fear of illegal harassment, intimidation, or other forms of discrimination based on race, color, or national origin. Consistent with Title VI law, it is BSD/Metro Transit's policy to ensure that all service users are afforded equal access to all programs and facilities without regard to race, color, or national origin. BSD/Metro Transit's leadership team and all employees are committed to this initiative.

BSD/Metro Transit is required by the FTA to submit a Title VI Program triennially to demonstrate that Metro Transit is complying with Title VI requirements. This document details Metro Transit's approach to the planning and programming of transit service, capital projects, and communication of non-discrimination policies for a three year period, most recently October 2012 – October 2015. While the Title VI Program is retrospective, Metro Transit's analysis of the equity of its policies and programs occurs in the planning and programming stages, before a policy or project is approved for implementation.

**Analysis:** The Title VI Program documents Metro Transit's non-discrimination policies, and provides analysis and evidence of non-discrimination in the provision of transit service, passenger amenities and other capital projects, and changes to transit service, fare policy and

fare changes. This document outlines the key components of BSD/Metro Transit's Title VI Program.

#### *Title VI Communication and Complaint Procedures*

Notices of BSD/Metro Transit's Non-Discriminatory Assurance Statement and Title VI Complaint Procedures can be found posted on BSD/Metro Transit's website, in revenue vehicles, and on shelters. Any Title VI complaints are processed and investigated through a procedure documented in the Program, and copies of complaints received and investigation reports are included in the Title VI Program.

#### *Demographic Analysis*

Metro Transit collects and maintains data depicting demographic information for the three-county service area, including:

- Minority population
- Median household income
- Zero-vehicle households
- Predominantly minority block groups
- High-poverty census tracts
- Transit Need Index (**TNI**)

This data is used throughout Metro Transit's service planning process to identify areas of transit need and likely service productivity, and to detect any disparate impacts of proposed service changes or policies on protected groups. This data illustrates some broad demographic facts about the Metro Service Area. The population is fairly diverse, with Non-Hispanic White residents making up 63% of the population in St. Clair County and approximately 69% of the population in St. Louis County. Residents identifying as "Black or African-American" make up nearly half of the population in the City of St. Louis. People of Latin/Hispanic and Asian descent are small but growing segments of the population.

Though the Service Area's population is diverse, particularly within the region's urban core, it is also highly segregated geographically. Minority populations are concentrated in North St. Louis City, southeast St. Louis City, near-North St. Louis County, and the East St. Louis area of St. Clair County. Household income is correlated with race and ethnicity, with most households making less than \$50,000 per year clustered in the same areas as the minority population. Racial and income socioeconomic patterns are inversely correlated with suburban sprawl and urban disinvestment, which has been the St. Louis region's prevailing development pattern for most of the last 60 years. Higher-income households making \$75,000 per year or more are dispersed across the lower-density areas of suburban St. Louis County and St. Clair County, though there is a noticeable concentration of very high-income households around the I-64 corridor in St. Louis County. Elderly residents are dispersed throughout the three-county Service Area, a trend that is likely to hold into the future as the population continues to age in place.

Metro Transit attempts to synthesize all these demographic data in a planning tool called the Transit Need Index, which helps identify geographic concentrations of transit need and likely transit riders. As described below and illustrated by the attached maps, the Metro Transit System provides excellent geographic coverage and access to transit service in areas of high transit need, particularly in predominantly minority and low-income areas.

*Limited English Proficient (LEP) Population and Language Assistance Program*

Metro Transit is required to evaluate the English language proficiency of its service area, and develop and implement plans for accommodating populations that speak English “less than “very well.” To date, the three-county Metro Transit Service Area has contained a very small percentage of LEP individuals; the most recent data from the 2009-2013 American Community Survey indicate that only 45,301 individuals, or 3.0% of the population within the Service Area, speak English less than “very well.” Many of these residents are dispersed across the St. Louis region, similar to the native-born and English-speaking population. A large segment of St. Louis’s immigrant population appears to be members of established communities or highly educated, “skilled” workers who prioritize purchasing a private vehicle and a single-family home. Many others, however, are newer arrivals, refugees, and guest workers who rely on public transportation for access to jobs, services, and goods. Metro Transit’s approach to accommodating LEP individuals includes maintaining relationships with entities that are engaged with LEP communities; providing translation services on an as-needed basis through its Customer Service Call Center; providing access to a web-based translator for content on [www.metrostlouis.org](http://www.metrostlouis.org); and ongoing monitoring of LEP populations to detect any changes that may require greater accommodation.

*Public Involvement*

The Title VI Program requires that BSD/Metro Transit document its public involvement policies and public involvement efforts in the period covered by the Program. BSD has a policy of meaningful and consistent stakeholder involvement, including public participation in all major projects. BSD’s Board-adopted Service Standards (2003) require Metro Transit to conduct a public involvement effort for any service changes impacting more than 5% of service, and any fare changes. Metro Transit’s current approach to public involvement typically includes formal public meetings; meetings and speaking engagements arranged with partners and other key stakeholders; online information; and in most instances “virtual” meetings and web surveys. Major public participation and community planning efforts conducted in the period from October 2012 – October 2015 included:

1. *St. Louis Rapid Transit Connector Study* (September 2012 – 2013)
2. FY2015 Fare Increase (April 2014)
3. Ongoing community engagement and public advisory activities, including the Metro Transit Advisory Group, the Metro Accessibility Advisory Group

### *Construction Projects*

Each major construction project is required to be evaluated for environmental justice considerations. The Title VI Program summarizes major construction efforts and provides documentation of the approval of requisite environmental justice documents. Construction projects included in the current Program include:

1. North County Transit Center Construction
2. Civic Center Transit Center Reconstruction
3. Eads Bridge Rehabilitation

### *Service Standards & Policies*

Metro Transit's Service Standards are outlined in a separate document, and standards for the provision of service that are evaluated under Title VI include service frequency; route spacing; maximum vehicle loading; assignment of vehicles by route; fare box recovery; connectivity; span of service (hours); on-time performance; and service productivity.

### *Fare Policy*

Throughout its fare policy development and implementation process, Metro Transit analyzes current service productivity, including the passenger revenue process. The current fare policy calls for incremental increases in passenger fares every two years in order to maintain the established threshold of 20% farebox recovery while avoiding less frequent but larger, more dramatic fare increases that would severely impact the system's customer base.

Prior to each fare adjustment, staff analyzes current trends in ridership, fare media utilization, and passenger revenue. A fare increase plan must be structured in such a way so that passenger revenue goals are realized, but ridership impacts are mitigated. Fare increase options are also analyzed to make sure they would not violate Title VI regulations by disproportionately penalizing protected groups, particularly low-income and minority customers.

### *Analysis of Customer Surveys*

Metro Transit conducts annual On-Board Passenger Surveys of both bus and rail customers. Findings from these surveys help identify the proportion of minority and low income riders using the Metro Transit System, and also to determine whether perceptions of service inequity exist between protected groups and non-minority, higher-income riders. Monitoring these perceptions helps identify opportunities for potential service improvement, as well as ensure that service meets reasonable expectations of quality for all types of transit customers.

**Board Action Requested:** Approval by the Board of Commissioners of the 2012-2015 Title VI Program.

**A RESOLUTION OF THE BOARD OF COMMISSIONERS OF  
THE BI-STATE DEVELOPMENT AGENCY  
OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT  
APPROVING THE 2012 – 2015 TITLE VI PROGRAM**

**PREAMBLES:**

*Whereas*, The Bi-State Development Agency of the Missouri-Illinois Metropolitan District (the “Agency”/“BSD”) is a body corporate and politic, created by an interstate compact between the States of Missouri and Illinois, acting by and through its Board of Commissioners (the “Board of Commissioners”); and

*Whereas*, the Agency is authorized by Mo. Rev. Stat. §§ 70.370 et seq. and 45 Ill. Comp. Stat. 100/1 et seq. (jointly referred to herein as the “Compact”) to purchase or lease, sell or otherwise dispose of, and to plan, construct, operate and maintain, or lease to others for operation and maintenance, passenger transportation facilities, and motor vehicle and other terminal or parking facilities; to contract with municipalities or other political subdivisions for the services or use of any facility owned or operated by the Agency, or owned or operated by any such municipality or other political subdivision; to contract and to be contracted with; and to perform all other necessary and incidental functions; and

*Whereas*, no Board Policy applies, however the Federal Transit Administration (FTA) Circular 4702.1B, Chapter III, requires that all direct and primary recipients of FTA funds document their compliance with the Department of Transportation’s (DOT) Title VI regulations by submitting a Title VI Program to the FTA regional civil rights officer once every three years. The Title VI Program document (Program) must be approved by the Recipient’s board of directors or appropriate governing entity prior to submission to FTA; and

*Whereas*, as a recipient of federal funding BSD must adhere to the regulations set forth in Title VI of the Civil Rights Act of 1964. Therefore BSD has a legal obligation to ensure its customers are afforded the opportunity to use its transit services and visit its facilities without fear of illegal harassment, intimidation, or other forms of discrimination based upon race, color, or national origin. BSD’s management and all employees are committed to this policy; and

*Whereas*, BSD is required by FTA to submit a Title VI Program triennially to demonstrate that BSD is complying with the Title VI requirements. This document details BSD’s approach to planning and programming of transit service, capital projects, and communication of non-discrimination policies for a three year period, most recently October 2012 through October 2015; and

*Whereas*, the Title VI Program document (attached to the Briefing Paper) verifies BSD’s non-discrimination policies, and provides analysis and evidence on non-discrimination in the provision of transit service, passenger amenities and other capital projects, and changes to transit service, fare policy and fare changes. The document outlines the key components of BSD’s Title VI Program; and

*Whereas*, it is feasible, necessary and in the public interest for the Board of Commissioners to approve the BSD 2012 – 2015 Title VI Program, in accordance with the terms and conditions described herein.

**NOW, THEREFORE, THE BOARD OF COMMISSIONERS OF THE BI-STATE DEVELOPMENT AGENCY OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT DOES HEREBY RESOLVE, DETERMINE AND ORDER AS FOLLOWS:**

Section 1.      Findings. The Board of Commissioners hereby finds and determines those matters set forth in the preambles hereof as fully and completely as if set out in full in this Section 1.

Section 2.            Approval of the Report. The Board of Commissioners hereby approves the BSD 2012 – 2015 Title VI Program (as provided in the Attachment to the Briefing Paper and made a part hereof), under and pursuant to this Resolution and the Compact for the authorized Agency purposes set forth in the preambles hereof and subject to the conditions hereinafter provided.

Section 3.            Actions of Officers Authorized. The officers of the Agency, including, without limitation, the President and CEO, are hereby authorized and directed to take such actions as they may deem necessary or advisable in order to carry out and perform the purposes of this Resolution.

Section 4.            Severability. It is hereby declared to be the intention of the Board of Commissioners that each and every part, section and subsection of this Resolution shall be separate and severable from each and every other part, section and subsection hereof and that the Board of Commissioners intends to adopt each said part, section and subsection separately and independently of any other part, section and subsection. In the event that any part, section or subsection of this Resolution shall be determined to be or to have been unlawful or unconstitutional, the remaining parts, sections and subsections shall be and remain in full force and effect, unless the court making such finding shall determine that the valid portions standing alone are incomplete and are incapable of being executed in accordance with the intent of this Resolution.

Section 5.            Rights Under Resolution Limited. No rights shall be conferred by this Resolution upon any person or entity other than the Agency, its officers and employees.

Section 6.            Governing Law. The laws of the State of Missouri shall govern this Resolution.

Section 7.            No Personal Liability. No member of the Board of Commissioners, officer, employee or agent of the Agency shall have any personal liability for acts taken in accordance with this Resolution.

Section 8.            This Resolution shall be in full force and effect from and after its passage and approval.

ADOPTED by the Board of Commissioners of The Bi-State Development Agency of the Missouri-Illinois Metropolitan District this 20<sup>th</sup> day of November, 2015.

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

By \_\_\_\_\_  
Title \_\_\_\_\_

[SEAL]

ATTEST

By: \_\_\_\_\_  
Deputy Secretary to the Board of Commissioners





**Bi-State Development Agency d/b/a  
Metro Transit**

---

**Title VI Program 2015**



**Metro**

## **TITLE VI PROGRAM – Metro (Bi-State Development Agency) AUGUST 2015**

This document and its appendices encompass Metro's Title VI Program for the period of October 2012 – October 2015. This submittal was prepared and organized in accordance with the guidelines of FTA Title VI Circular 4702.1B (October 1, 2012). This Program is designed to ensure that Metro's policies and activities comply with Department of Transportation (DOT) Title VI regulations.

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## **Chapter 1:**

# **Title VI Policies, Procedures, and Complaints**



## **Chapter 1: Agency Title VI Policies, Procedures, and Complaints**

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Metro has a legal obligation to ensure its customers are afforded the opportunity to use its transit services and visit facilities without fear of illegal harassment, intimidation, or other forms of discrimination based on race, color, or national origin. Consistent with Title VI law, it is Agency policy to ensure that all service users are afforded equal access to all programs and facilities without regard to race, color or national origin. Metro's leadership team and all employees are committed to this initiative. Notices of Metro's Non-Discriminatory Assurance Statement and Title VI Complaint Procedures can be found posted on the Agency's website, in revenue vehicles, and on shelters.

### 1.1 Title VI public notice policy

Metro has designed and produced a Title VI Non-Discrimination Assurance Statement placard that notifies customers of their protections under Title VI, and provides both a contact phone number and a website hyperlink. These placards are posted on every revenue vehicle, both train and bus, as well as bus shelters throughout the system. A summary of Title VI rights, a description of the Agency's Title VI complaint process, and a copy of the Title VI Complaint Form are also available on the Agency's website. Examples of the public notice placard and Title VI webpage are included in the Attachments section at the end of this chapter.

### 1.2 Title VI complaint procedure

Public notices of customer Title VI rights and complaint procedures direct passengers to contact either the Agency's Title VI Office or Customer Service Department in the event they wish to file a complaint. Complaints from transit customers are most often filed with the Customer Service Department through the Agency's Call Center. Title VI complaints are processed and investigated through the following procedure:

1. When complaints are filed through the Customer Service Department, the Customer Service Representative conducts the initial intake, including obtaining the complainant's contact information, the nature of the complaint, and any details the complainant wishes to share regarding the alleged infraction. The Representative collates this information on a Customer Service Contact Form, then forwards that Form to the Agency's Title VI Officer.
2. The Title VI Office must make contact with the complainant within 48 hours of the time the complaint is first filed with Customer Service. At that time, the Title VI Officer will gather and document as much related information and evidence from the complainant as possible. This information, together with information from the Customer Service Contact Form, is recorded on a Title VI Complaint Form.
3. The Title VI Officer then begins an investigation, including gathering evidence, contacting witnesses, and interviewing the parties involved. During the process of the investigation, the Title VI Officer should update the involved parties – both complainant and alleged offender – on the status and progress of the investigation at least once every 10 working days.
4. At the conclusion of the investigation, the Title VI Officer will issue a formal report that includes the following components: Introduction, Findings, and Conclusion.
5. This formal report will be maintained in the Agency's Diversity Department. The Department will then transmit a detailed "Findings Letter" to the complainant that outlines the findings and conclusions of the investigation.
6. The Department will also issue a letter to the charged employee (with a copy to the employee's supervisor) that outlines the investigation's findings. The employee's supervisor is expected to take the appropriate action to end any discriminatory behavior, and the outcome will be noted in the employee's personnel file.

7. All Title VI complaints should be processed and completed within 60 days following initial notice from the complainant. A documented record of the Title VI Complaint Form and associated investigation will be maintained in the Diversity Department for a minimum of four years.

8. If the issue cannot be resolved to the complainant's satisfaction, the complainant will be informed of his or her right of appeal to an outside agency. Metro's Title VI Officer will manage the case and respond to all communications with external investigators until the issue is fully resolved.

In the event a complaint is filed with the Equal Employment Opportunity Commission (EEOC) or another State or City Commission, Metro's Title VI Officer will serve as the Agency's primary representative and coordinate the transfer of records and employee interviews with the external investigators. The Title VI Officer will also manage all requests from external Commissions for "Position Papers," which will directly address the complaint, include copies of gathered evidence and interviews, and provide an official statement outlining the Agency's position on the charge of illegal discrimination.

Metro will not tolerate retaliation or reprisal against anyone who has filed a Title VI complaint.

A copy of the Agency's Title VI complaint procedure and complain form are included in the Attachments section at the end of this chapter.

### 1.3 Title VI complaints, investigations, and lawsuits

Metro received two complaints of discrimination during the period covered by this Title VI Program, attached as Appendices 1 & 2.

### 1.4 Title VI and Civil Rights compliance reviews

Metro was not engaged in any Title VI-related civil rights compliance reviews since submittal of its last Title VI Program in September 2009. However, FTA did review Metro's Title VII Program over summer 2012, which received approval on September 24, 2012. Metro's Title VII Program assures that the Agency will not discriminate in employment or other business opportunities on the basis of race, color, creed, national origin, sex, or age. A copy of FTA's approval letter is attached.

### 1.5 OATS Title VI Subrecipient Report

Older Adults Transportation Service, OATS, is a statewide nonprofit organization providing paratransit service in 87 counties in Missouri, including portions of the Metro Service Area. OATS is a subrecipient of Federal funds via Metro; a copy of the organization's Title VI compliance program is attached.

### Attachments

This section provides a copy of Metro's Title VI public notice and complaint review policy; a Title VI complaint form; a copy of Metro's Title VI system-wide public notice; a copy of the Agency's Title VI webpage; a copy of OATS' Title VI subrecipient compliance program; and a copy of the findings letter from Metro's Title VII/EEO compliance review.

# COMPLAINT NOTICES/PROCEDURES & COMPLAINT FORM

## **TITLE VI – COMPLAINTS NOTICE AND PROCESS**

Metro has a legal obligation to ensure that passengers are afforded the opportunity to use Metro transit services or conduct office visits to facilities without fear of illegal harassment, intimidation, or other forms of discrimination based on race, color, or nation origin. Consistent with the legal requirement, it is the policy of Metro to ensure that all service users are afforded equal access to all programs and facilities without regard to race, color or national origin. Metro's leadership team and all employees are committed to this initiative. ***Public Non-Discriminatory Assurance Statement and Complaint Procedures can be found posted on the Metro Website, in revenue vehicles, and on shelters.***

Passengers who feel they are the subject of harassment or discrimination or those who believe they have been denied service because of race, color or national origin shall have an opportunity to have their complaint investigated and resolved by contacting the Title VI Officer or Customer Service to lodge a complaint.

Complaints from passengers are most frequently filed with the Customer Service Department. Any complaint from a passenger that alleges discrimination will be immediately referred to the Title VI Program Department for investigation. Complaints directly communicated to the Title VI Officer will be addressed in a thorough investigation; appropriate actions will be taken to remedy misconduct or flawed policies when found. If the issue cannot be resolved to the satisfaction of the complainant, the passenger will be informed of his/her rights to file a formal charge with an outside agency. The Agency Title VI Officer will manage and respond to all communications with outside investigators until the issue is fully resolved.

### **PASSENGER COMPLAINT PROCESS**

All Title VI Complaints will be taken "seriously," and thoroughly investigated in a formally documented process. The Agency Title VI Complaint Form will be used to document complaints. (Form attached)

Title VI - Complaint Notice and Process Page 2When customers file complaints through the Customer Service Department (CSD) the CSD agent will conduct the initial "complaint intake" ensuring that all pertinent contact information is gathered during the initial discussion with the complainant (who, what, when, where and contact information). The information will be documented on a "**Customer Service Contact Form (CSCF)**" and will then be forwarded to the Title VI Officer. The completed CSCF will serve as the "Source Document" for the Title VI Officer to initiate contact with the complainant; the complaint will be transposed or attached to the Title VI Complaint Form at that time.

The Title VI Officer will initiate contact with the complainant within 48 hours following submission of the complaint; the resolution process clock starts with receipt of the complaint. During the initial contact with the complainant, the title VI Offer will seek to gather and document as much information as possible related to the Charge of discrimination.

The Title VI Officer will gather available evidence, contact and interview witnesses and the alleged offender(s). When all evidence is gathered and processed, the EEO Officer will create a formal report that includes the following three sections: (1) Introduction (2) Findings, and (3) Conclusion.

The report will be maintained in the Diversity Department; following the completion of a formal investigation, a detailed "Findings Letter" will be constructed and transmitted to the complainant outlining the general findings of the investigation. A second letter will be directed to the charged

employee (with a copy to the supervisor) providing an explanation of the findings; the employees supervisor based on the findings will be required to take the appropriate action to end any discriminatory behavior; the outcome will be documented in the employees personnel file.

All complaints should be processed and completed within sixty (60) days following the initial notice from the complainant. The complainant and alleged offender should be update on the progress of the investigation at a minimum of every ten (10) work-days. A documented record of the complaint will be maintained in the Diversity Department Office for a minimum period of four (4) years. All Title VI Complaints and Lawsuits will be recorded and maintained in an appropriate log (spreadsheet, book log, etc.).

If the complaint is filed with The EEOC or another State or City Commission, the Title VI Officer will be the primary representative for the Agency in coordinating the transfer of records or for scheduling employees for interviews with Commission Investigators. When a request for a "Position Statement" is received in the Title VI Office from a Federal or State Commission, the Title VI Officer will conduct an investigation into the charge(s) and provide the requesting Commission with a "Position Paper" related to the charge(s). The Position Paper will directly address the charge(s) and include copies of gathered evidence, exhibits and an official statement outlining the Agency's position related to the charge of illegal discrimination.

All actions will be completed within the time-constraints established by the respective commission. If the Title VI Officer is unable to complete investigation of the matter within the suggested timeline, a written (documented) request for extension will be directed to the respective commission at the earliest date possible.

At the completion of the investigation, Agency documents and evidence will be provided to the commission; no communication will be directed by the Agency to the complainant.

Metro will not tolerate any retaliation or reprisal in any way against anyone who has filed a complaint.

Revenue Vehicles and Agency owned shelters will publically display "Prohibited Discrimination Statement" placards. Notice of public rights is available on the Metro website.



## TITLE VI - COMPLAINT INTAKE FORM

Complainant's Last Name: \_\_\_\_\_ First Name: \_\_\_\_\_

Home Address: \_\_\_\_\_  
ADDRESS STREET CITY STATE ZIP CODE

Phone Contact: \_\_\_\_\_ Email Address: \_\_\_\_\_

Type of Discrimination: ☐ Race ☐ Color ☐ National Origin

Date of Incident: \_\_\_\_\_

Time of Incident: \_\_\_\_\_

Location of Incident: \_\_\_\_\_

Is this complaint filed on your behalf: ☐ Yes ☐ No If not, who are you filing on behalf of:

Name and relationship: \_\_\_\_\_

If this is a Third-Party Complaint why are you filing the complaint: \_\_\_\_\_ ?

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I this your initial complaint regarding this incident? ☐ Yes ☐ No Have you filed previously with

Metro? ☐ Yes  
☐ No

Describe the discriminatory incident; (be specific, include dates, times, names, locations, etc.) Additional plain bond sheets may be used if necessary.

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**Complaint Narrative Continued:**[illegible]

Use Plain Bond Paper for more space, if needed (please include any relevant documents or other evidence with the complaint)

Is this complaint pending with another agency? If so, who? \_\_\_\_\_

Number of pages attached: \_\_\_\_\_

Signature / Date Required:

Signature \_\_\_\_\_

Date \_\_\_\_\_

Please submit the completed form in person or mail to:

Metro  
Title VI Program Officer, Stop 167  
707 N. First Street  
St. Louis, Missouri 63102

Metro Internal Complaint Control Number: M - \_\_\_\_\_ \*





**Metro**

# Public Notice: Know Your Rights

Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, or national origin in programs and activities receiving Federal financial assistance (42 U.S. C. Section 2000d). Metro endeavors to conduct all of its activities free of discrimination and strives to ensure that all citizens are aware of their right to such protection.

If you believe that you have been aggrieved by unlawful Title VI Discrimination (race, color, national origin), you may file a complaint with the Metro Title VI Program Manager.

For more information visit us on the web at [metrostlouis.org](http://metrostlouis.org) & click on Business & Community/Non-Discrimination Notice or call (314) 982-1589

WD12492

*Title VI is a section of the Civil Rights Act of 1964.*

## Business & Community

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## Non-Discrimination Notice

### Title VI Civil Rights Act of 1964 - Diversity Program Administration

This site is designed to serve as a source of information for citizens so that they fully understand one of the basic civil rights laws that protect their benefits and rights to fair and equal public services as provided by Metro; specifically, as it relates to protections provided by Title VI of the Civil Rights Act of 1964.

#### Program Administrator

Phillip G. Mosley, Jr.  
Metro  
Director, Workforce Diversity/EEO  
707 North First Street  
St. Louis, MO 63102

314 962-1589 (office)  
[pmosley@metrostlouis.org](mailto:pmosley@metrostlouis.org) (email)

In the event you are not able to reach the Director, contact the Metro Human Resource Department at, 314 962-1662.

### Non-Discrimination Notice

The Metro Bi-State Development Agency doing business as "Metro," grants all citizens equal access to all its transportation services. Metro endeavors to ensure that all citizens are aware of their rights to such access. Metro provides services and operates programs without regard to race, color, and national origin in full compliance with Title VI.

Title VI is a section of the Civil Rights Act of 1964 requiring that "No person in the United States shall on the grounds of race, color or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving federal financial assistance." Title VI does not address gender discrimination. It only covers race, color and national origin.

### Title VI Complaint Process

As a member of the general public, if you desire to file a discrimination complaint against Metro under Title VI, the following process should be followed:

The complaint should be filed with the Program Administrator listed above.

- Any person, who believes he or she has been subjected to unlawful discrimination by any employee of Metro, may file a complaint.
- The complaint should be submitted to the Metro Diversity Director in letter format and at a minimum should include the following written information:
  - Complainant's name and address, and a telephone number where you may be reached during business hours;
  - A general description of the person(s) or class of persons injured by the alleged discriminatory act(s);
  - A detailed description of the alleged discriminatory act(s) in sufficient detail to enable Metro to understand and investigate what occurred, when it occurred, where it occurred and the basis of the discrimination complaint (race, color, national origin);
  - A list of all witnesses with contact information and/or copies of any documents, pictures, or supporting other information;
  - The letter must be signed and dated by the person filing the complaint or by someone legally authorized to do so on his or her behalf.

The complainant also has the right to file a complaint with an external agency such as the Department of Transportation (DOT), a federal or state agency or a federal or state court.

### Metro Complaint Procedure

- Within 10 workdays of receipt of any internal complaint, the Diversity Director will notify the complainant in writing and initiate an internal investigation.
- The Diversity Director will immediately comply with agency/department request for all externally filed complaints.
- Metro investigations will address complaints against any Metro department(s).
- Investigations will include discussion(s) of the complaint with all affected parties to determine the problem. The complainant may be represented by an attorney of his/her own choosing and at his /her own cost.

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- › The investigation will be conducted and completed within 60 days of the receipt of the formal complaint.
- › Based on all the information received, an investigation report will be written by the Diversity Director. Metro will make a determination regarding the findings.
- › The complainant will receive a letter stating Metro's final decision by the end of the 60-day time limit.
- › The complainant will be notified in writing of the cause to any planned extension to the 60-day rule.
- › Complainants filing internal complaints shall be notified of the right to appeal the decision. Appeals may be made to the Department of Transportation, Missouri Commission on Human Rights, Equal Employment Opportunity Commission or the Illinois Department of Human Rights.

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The Metro Transit St. Louis Network



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 Email us at [customerservice@metrostlouis.org](mailto:customerservice@metrostlouis.org) or [click here for phone contacts](#).



# Civil Rights Program

How OATS Complies with Title VI Regulations

**OATS, INC.**

**2012**

Updated by: Jill Stedem, Administrative Services Director

Previous versions: 2007, 2010



# Civil Rights Program

## How OATS Complies with Title VI Regulations

### Introduction

As a subrecipient of Federal Transit Administration (FTA) financial assistance, OATS is required to comply with the U.S. Department of Transportation's Title VI regulations (49 CFR part 21) and to integrate into its programs and activities considerations expressed in the Department's Order on Environmental Justice (Order 5610.2), and Policy Guidance Concerning Recipients' Responsibilities to Limited English Proficient ("LEP") Persons (70 FR 74087, December 14, 2005). FTA has developed Circular FTA C 4702.1A to provide subrecipients with guidance and instructions to carry out these requirements.

OATS has long been in compliance with these regulations. The purpose of this report is to document how OATS complies with the various elements of the regulations that are applicable to our agency.

### Title VI Complaint Procedures

*"In order to comply with 49 CFR Section 21.9(b), recipients and subrecipients shall develop procedures for investigating and tracking Title VI complaints filed against them and make their procedures for filing a complaint available to members of the public upon request."*

### How OATS Complies

OATS has developed a Rider Rights and Rules Policy and a Grievance Procedure, both of which are printed in *The Wheel*, a quarterly newsletter that is mailed to everyone who has ridden the bus in the previous 13 months, legislators, volunteers, drivers and other interested parties. *The Wheel* is also available on OATS' website at [www.oatstransit.org](http://www.oatstransit.org).

Copies of these policies have been provided to the Missouri Department of Transportation who, as a direct recipient of FTA funding, is mandated with monitoring OATS for compliance and reporting directly to FTA as necessary. When these policies are revised, new copies are provided to MoDOT either mailed immediately upon revision or during the annual review conducted by MoDOT.



### Record Title VI Investigations, Complaints and Lawsuits

*"In order to comply with 49 CFR Section 21.9(b), recipients and subrecipients shall prepare and maintain a list of any active investigations conducted by entities other than FTA, lawsuits, or complaints naming the recipient and/or subrecipient that allege discrimination on the basis of race, color, or national origin. This list shall include the date of the investigation, lawsuit, or complaint was filed; a summary of the allegation(s); the status of the investigation, lawsuit, or complaint; and actions taken by the recipient or subrecipient in response to the investigation, lawsuit, or complaint."*

### How OATS Complies

All complaints are forwarded to the Executive Director for Review and guidance on how to resolve. The Administrative Services Director of OATS maintains a separate file for each complaint received and also logs complaints into a database. Both the Rider and Employee Grievance Procedures include specific instructions on how to file a grievance and include as a final step review by the OATS Board of Directors. Title VI complaints are reported to MoDOT via e-mail at time of occurrence and then reviewed during MoDOT's annual review of OATS.

### Access to Services by Persons with LEP

*"Title VI and its implementing regulations require that FTA recipients take responsible steps to ensure meaningful access to the benefits, services, information, and other important portions of their programs and activities for individuals who are Limited English Proficient (LEP)."*

- a. *Developing a Language Implementation Plan. Recipients and subrecipients can ensure that LEP persons have meaningful access to their programs and activities by developing and carrying out a language implementation plan pursuant to the recommendations in Section VII of the DOT LEP Guidance. Certain FTA recipients or subrecipients, such as those serving very few LEP persons or those with very limited resources may choose not to develop a written LEP plan. However, the absence of a written LEP plan does not obviate the underlying obligation to ensure meaningful access by LEP persons to a recipient's program or activities. Recipients or subrecipients electing not to prepare a written language implementation plan should consider other ways to reasonably provide meaningful access."*

### How OATS Complies

OATS does not have a written LEP plan because we serve very few LEP persons. However, OATS has implemented plans to provide access to the few LEP persons we do serve. According to the implementation handbook prepared by the FTA Office of Civil Rights, there are four factors that should be applied when developing a LEP plan.

1. **Assess the number and proportion of LEP persons served or encountered in OATS' service regions.**

According to the 2010 U.S. Census, only 2.3% of Missourians over 5 years of age speak English less than "very well." The number of native and foreign-born Missourians who speak English "not at all" is very low, with Spanish being the most common language.

**Missourians Who Speak English "Not at All"**

<i>Language spoken</i>	<i>Percent of Persons</i>
Spanish	2.6%
Indo-European	2.0%
Asian or Pacific Island	1.1%
Other	0.5%

Source: U.S. Census, 2010 American Community Survey

**2. Assess the frequency with which LEP individuals come into contact with OATS' service.**

Drivers have been instructed via OATS' monthly newsletter the *What's Happening* to notify their regional office if they encounter a rider with limited English so that OATS can find resources. The most frequent language barrier encountered, as evidenced by the Census data, is Spanish.

**3. Assess the nature and importance of the service provided by OATS.**

OATS does not provide emergency transportation nor do we operate any fixed routes. Since our service is mostly scheduled-in-advance, we have time to accommodate any language barrier we might encounter. Much of OATS service is provided through contracts with various agencies for their specific clientele and can provide assistance with any of their clientele who have LEP.

**4. Assess the resources available to OATS and costs.**

The Missouri Department of Transportation has provided OATS with brochures that provide guidance to dispatchers and staff on how to communicate with Spanish-speaking individuals. Those brochures are entitled: *The Transportation Dispatcher's Guide to Communicating with the Hispanic Client*; *The Transportation Provider's Guide to Communicating with the Hispanic Client*; and *A Guide to Responding to a Medical Situation with the Hispanic Client*. These guides are also available to staff on audio cassette tape.

OATS also has "no smoking", "no eating/drinking" and emergency exit signs in Spanish for placement in vehicles which serve Spanish-speaking riders.

In communities with a large Hispanic population, there are resources available to assist with language barriers. Further, OATS utilizes staff who are bilingual and able to provide assistance. For example, in Sedalia – where OATS serves a large Spanish-speaking population – OATS has hired two bi-lingual drivers. In Barry/Newton/McDonald Counties – where OATS serves a large Spanish-speaking population – OATS has a community activist for the Hispanic population available on an as-needed basis.

OATS has incorporated a Google Translate widget to the website home page. This allows anyone to view the website in their native language. Rider Rules and Grievance Procedures, which is included in *The Wheel* each quarter, is available online so a rider can view the content in their native language, or can be provided upon request.

The cost of these resources have been minimal.

### **Notifying Beneficiaries of Their Rights Under Title VI**

*"In order to comply with 49 CFR Section 21.9(d), recipients and subrecipients shall provide information to the public regarding their Title VI obligations and apprise members of the public of the protections against discrimination afforded to them by Title VI. Recipients and subrecipients that provide transit service shall disseminate this information to the public through measures that can include but shall not be limited to a posting on the agency's Web site."*



### **How OATS Complies**

OATS' primary source of communication is *The Wheel*, which is mailed quarterly to everyone who has ridden the bus in the previous 13 months, legislators, volunteers, drivers and other interested parties. *The Wheel* is also available on OATS' website at [www.oatstransit.org](http://www.oatstransit.org) and, through the Wolfner Library ([www.sos.mo.gov/wolfner/](http://www.sos.mo.gov/wolfner/)), we can provide this information in audio cassette or Braille on request.

Every issue of *The Wheel* contains the statement that OATS "provides equal employment opportunities and services to all persons regardless of race, gender, color, religion, age, national origin (ancestry), disability and/or Vietnam era or other veterans." This statement is also on the bus schedule page of OATS' website.

OATS' Rider Rights and Regulations and Grievance Procedure are also published in *The Wheel*. In OATS' West Region (comprised of Cass, Clay, Jackson and Platte Counties), a card is provided to all riders which apprises them of who to call if they have a Grievance.

### **Inclusive Public Participation**

*"In order to integrate, into community outreach activities, considerations expressed in the DOT Order on Environmental Justice, and the DOT LEP Guidance, recipients and subrecipients should seek out and consider the viewpoints of minority, low-income, and LEP populations in the course of conducting public outreach and involvement activities. An agency's public participation strategy shall offer early and continuous opportunities for the public to be involved in the identification of social, economic, and environmental impacts of proposed transportation decisions."*

### **How OATS Complies**

In each of the counties OATS serves there is a volunteer OATS County Support Committee which regularly meets no less often than quarterly. These meetings are open to the public and advertised in *The Wheel*. Further, OATS has a goal to get local newspapers to publish its bus schedules and meeting dates in the counties it serves.

As part of the grant application process, OATS publishes Public Notices advising the general public of its intent to apply for federal funds and the use of those funds. A Public Hearing date is set and included in the Public Notice.

### **Conducting an Analysis of Construction Projects**

*"In order to integrate, into environmental analyses, considerations expressed in the DOT Order on Environmental Justice, recipients and subrecipients should integrate an environmental justice analysis into their National Environmental Policy Act (NEPA) documentation of construction projects."*

### **How OATS Complies**

All construction projects undertaken by OATS are coordinated with the Missouri Department of Transportation, who assist in determining if the project requires NEPA documentation. OATS hires a third part consulting firm to administer its construction projects. The Request for



Qualifications used to procure this consulting service addresses the specific FTA regulatory requirements, including the need for NEPA documentation, if required.

## Reporting Requirements

*"FTA requires recipients to report certain general information to determine compliance with Title VI. The collection and reporting of this program constitute the recipients' Title VI Program. To ensure compliance with 49 CFR Section 21.9(b), FTA requires that all recipients document their compliance with this chapter by submitting a Title VI Program to FTA's regional civil rights officer once every three years."*

## How OATS Complies

OATS reports to the Missouri Department of Transportation (MoDOT) who is the direct recipient of FTA funding. They, in turn, report to FTA as required. The following items have been provided to MoDOT:

- Annual Title VI Certification and Assurance (This is included in all the applications for FTA funding which OATS submits to MoDOT each year)
- Title VI Complaint Procedures (Reviewed by MoDOT as part of their annual review of OATS; when OATS' Grievance Procedure is revised, a copy is forwarded to MoDOT.)
- Record of Title VI investigations, complaints or lawsuits (Reported to MoDOT via e-mail at time of occurrence; reviewed during MoDOT's annual review of OATS.)
- Access to Services by Persons with LEP (OATS' Spanish program was developed with the assistance of MoDOT.)
- Notifying beneficiaries of their rights under Title VI (As part of their annual review, MoDOT reviews OATS informational materials and receives a copy of the most current.)

## Equal Employment Opportunity

The Federal Transit Laws, 49 U.S.C. 5332(b), provide that "no person in the United States shall on the grounds of race, color, religion, national origin, sex, or age be excluded from the participation in, be denied the benefits of, or be subjected to discrimination under any project, program or activity funded in whole or in part through financial assistance under this Act." This applies to employment and business opportunities and is considered to be in addition to the provisions of Title VI of the Civil Rights Act of 1964.

The FTA's Office of Civil Rights helps FTA recipients develop, implement, and monitor an effective Equal Employment Opportunity Program to ensure that recipients do not discriminate against any employees or applicants for employment because of race, color, religion, sex, disability, age or national origin. FTA Circular 4704.1 (last updated 7/26/88) provides guidance on compliance. OATS has a separate Affirmative Action Program to outline the policies and procedures in place to assure compliance.

#### Lookup Bus Schedules

OATS serves 33,769 people in Missouri.  
In fiscal year 2012, we provided 1,702,272  
one-way trips with a fleet of 800 vehicles  
and a staff of 750.



#### Northwest Region

Beth Langley, Regional Director  
1306 S. 58th Street  
St. Joseph, MO 64507-7757  
816-279-3131  
Email



#### Northeast Region

Sheree Webb, Regional Director  
3006 Jims Road  
Macon, MO 63552  
660-395-3041  
Email



#### West Region

Sara Davis, Regional Director  
2109 Plaza Dr.  
Harrisonville, MO 64701-1265  
816-380-7433  
Email



#### Midwest Region

Tracy Walkup, Regional Director  
107 W. Pacific  
Sedalia, MO 65301-3010  
660-827-2611  
Email



#### Mid-MO Region

Jack Heusted, Regional Director  
2501 Maguire Blvd., Ste. 103  
Columbia, MO 65201-8252  
573-449-3789  
Email



#### East Region

Pam Knox, Regional Director  
 186 NW Industrial Court  
 Bridgeton, MO 63044-1276  
 314-894-1701  
 Email



#### Southwest Region

Scott Kosky, Regional Director  
 3259 E. Sunshine, Ste. T  
 Springfield, MO 65804-2143  
 417-867-9272  
 Email

#### Citizens Rights under Title VI:

OATS, Inc., operates its programs and services without regard to race, color, and national origin in accordance with Title VI of the Civil Rights Act. Any person who believes he or she has been aggrieved by any unlawful, discriminatory practice under Title VI may file a complaint with the Federal Transit Administration, and/or the U.S. Department of Transportation and/or OATS, Inc.

For more information on the OATS's civil right program and the procedures to file a complaint contact the home office at (573) 443-4516. You may also contact us by mail or in person at 2501 Maguire Blvd, Suite 101, Columbia, MO 65201.

OATS Employee Login

2501 Maguire Blvd, Ste. 101, Columbia, MO 65201

## **Chapter 2:**

# **Service Area Demographic Profile**

## Chapter 2: Service Area Demographic Profile

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Metro's Service Area covers three counties: St. Louis City, MO; St. Louis County, MO; and St. Clair County, IL. This Service Area is part of the larger, 16-county St. Louis MO-IL Metropolitan Statistical Area (MSA). For all planning and funding decisions, Metro analyzes Census data using Geographic Information Systems (GIS). Metro routinely collects and analyzes demographic information including residents' race/ethnicity, national origin, age, income, and automobile availability. Metro also uses Census data and GIS to identify predominantly minority and low-income Census Block Groups, and to illustrate the Metro System's geographic coverage of those protected populations. The section of this chapter titled Attachments contains maps and tables depicting basic demographic information for Metro's three-county Service Area, including:

- Minority population
- Median household income
- Zero-vehicle households
- Predominantly minority block groups
- High-poverty census tracts
- Transit Need Index (TNI) – see description below.

These maps and tables illustrate some broad demographic facts about the Metro Service Area. The population is fairly diverse, with Non-Hispanic White residents making up 63% of the population in St. Clair County and approximately 69% of the population in St. Louis County. Residents identifying as "Black or African-American" make up nearly half of the population in the City of St. Louis. People of Latin/Hispanic and Asian descent are small but growing segments of the population.

Though the Service Area's population is diverse, particularly within the region's urban core, it is also highly segregated geographically. Minority populations are concentrated in North St. Louis City, southeast St. Louis City, near-North St. Louis County, and the East St. Louis area of St. Clair County. Household income is correlated with race and ethnicity, with most households making less than \$50,000 per year clustered in the same areas as the minority population. Racial and income socioeconomic patterns are inversely correlated with suburban sprawl and urban disinvestment, which has been the St. Louis region's prevailing development pattern for most of the last 60 years. Higher-income households making \$75,000 per year or more are dispersed across the lower-density areas of suburban St. Louis County and St. Clair County, though there is a noticeable concentration of very high-income households around the I-64 corridor in St. Louis County. Elderly residents are dispersed throughout the three-county Service Area, a trend that is likely to hold into the future as the population continues to age in place.

Metro attempts to synthesize all these demographic data in a planning tool called the Transit Need Index, which helps the Agency identify geographic concentrations of transit need and likely transit riders. As described below and illustrated by the attached maps, the Metro System provides excellent geographic coverage and access to transit service in areas of high transit need, particularly in predominantly minority and low-income areas.

### 2.1 Transit Need Index

Metro's Division of Planning and System Development employs a Transit Need Index (TNI) based on a model developed by planners in Tarrant County, TX. This particular TNI was designed to spatially summarize Census demographic data for population density, minority population, median household income, automobile availability, population age 65 and over, and workforce-population with a disability.

All of these characteristics are considered to be good indicators of transit need within the St. Louis region. The chart below describes how these characteristics are weighted in the TNI.

**Table 1: Transit Need Index Characteristics**

Category	Characteristic	Ranking Weight
Population Density	High Population Density	2
Minority Population	High Concentrations of Minority Populations	1
Median Household Income	Low Median Household Income	3.5
Automobile Availability	One or Zero Automobiles Available	1.5
Population Age 65+	High Concentrations of Elderly Persons	1

In the past, Metro was able to supplement this residential-based TNI with an employment-based TNI, using the characteristics described above and place of employment data from the 2000 Census Transportation Planning Package (CTPP). The resulting employment-based TNI helped identify job clusters based on their workforce characteristics, and could be combined with the residential TNI to arrive at a composite TNI that described the full picture of the Service Area's transit need. Unfortunately, new CTPP data are not currently available, so at the present time Metro can only update the residential TNI.

## 2.2 Service in predominantly minority and low-income areas

As illustrated in the attached maps showing the Service Area's residential TNI, predominantly minority Census block groups, and high-poverty Census tracts, the Metro System provides geographic coverage and transit access to the vast majority of those areas. There are sections of far-North St. Louis County, near the Missouri River, which has very low population densities and are difficult to serve in a cost-effective manner. However, the addition of the North County Transit Center (expected to open in 2016) will allow Metro to rework its entire North County service strategy, and the Agency will investigate new possibilities for serving areas of unmet transit need. There are minority and low-income Block Groups in the Metro East area of St. Clair County that are not currently served, but service planning decisions in that county lie with the St. Clair County Transit District; Metro is a contracted service provider. Finally, there is one predominantly minority Block Group in far-West St. Louis County that does not receive transit service, but those Census data may be reflecting the presence of the Missouri Eastern Correctional Center.

Metro also analyzes the demographic profile of the *potential* ridership base for each transit route. The table below, "Minority Routes," provides data on the population served by each transit route, and identifies those routes that serve a predominantly minority population. The average minority population ratio for the three-county Metro Service Area is 37.6%; "predominantly minority areas" are Census block groups that have a ratio of minority residents higher than the Service Area average. Metro analyzed the geographic route miles of each route where 33.3% were located within one-eighth mile or very short walk of "predominantly minority block groups", including MetroLink, express routes, and shuttles. This analysis found that 52 of the System's 77 routes, or XX68%, serve "predominantly minority areas." The 25 non-minority routes tend to be express bus routes or routes entirely serving West St. Louis County, South St. Louis County, and eastern St. Clair County, which have much lower concentrations of minority and lower-income households.



Table 2: Minority Routes for August 31, 2015 Metro Service Change

Minority Routes: August 2015 Metro Service Change					
Route Name	Percent Minority	Minority Route	Route Name	Percent Minority	Minority Route
#1 Gold	46%	Yes	#74 Florissant	99%	Yes
#2 Red	44%	Yes	#75 Lilac Hanley	57%	Yes
#3 Forest Park Trolley	32%	No	#80 Park Shaw	95%	Yes
#4 Natural Bridge	100%	Yes	#90 Hampton	59%	Yes
#8 Bates Morganford	67%	Yes	#91 Olive	47%	Yes
#10 Gravois Lindell	78%	Yes	#94 Page	82%	Yes
#11 Chippewa	80%	Yes	#95 Kingshighway	80%	Yes
#13 Union	91%	Yes	#97 Delmar	79%	Yes
#14 Botanical Garden	34%	Yes	#98 Chesterfield-Hanley	10%	No
#16 City Limits	69%	Yes	#99 Downtown Trolley	91%	Yes
#17 Oakville	0%	No	#1 Main Street - State Street	90%	Yes
#18 Taylor	100%	Yes	#2 Cahokia	98%	Yes
#21 Watson Rd.	9%	No	#4 19th & Central - ML King	100%	Yes
#27 North County Shuttle	100%	Yes	#6 Rosemont - Fairmont City	95%	Yes
#30 Soulard	76%	Yes	#8 Alta Sita	93%	Yes
#32 ML King Chouteau	78%	Yes	#9 Washington Park	88%	Yes
#33 Dorsett-Lackland	85%	Yes	#12 O'Fallon - Fairview Heights	11%	No
#34 Earth City	14%	No	#13 Caseyville - Marybelle	74%	Yes
#35 Rock Road	33%	Yes	#14 Memorial Hosp - Westfield Plaza	59%	Yes
#36 Spanish Lake	100%	Yes	#15 Belleville - Shiloh Scott	17%	No
#40 Broadway	91%	Yes	#16 St Clair Square	38%	Yes
#41 Lee	99%	Yes	#17 Carlyle Plaza - 17th Street	49%	Yes
#42 Sarah	100%	Yes	#21 Scott AFB - Main Base Shuttle	0%	No
#44 Hazelwood	63%	Yes	MetroLink	65%	Yes
#45 Ferguson-Florissant	87%	Yes	#36X Bissell Hills Express	76%	Yes
#46 Tesson Ferry	0%	No	#40X I-55 Express	17%	No
#47 North Hanley	85%	Yes	#57X Clayton Rd	11%	No
#48 South Lindbergh	4%	No	#58X Twin Oaks Express	21%	No
#49 North Lindbergh	56%	Yes	#110 Affton	0%	No
#56 Kirkwood-Webster	4%	No	#158 Ballas-West County	3%	No
#57 Maplewood-Wildwood	9%	No	#174X Halls Ferry Express	70%	Yes
#58 Clayton-Ballas	13%	No	#210 Fenton Gravois Bluffs	0%	No
#59 Dogtown	45%	Yes	#258 Clayton-Chesterfield	3%	No
#61 Chambers Road	97%	Yes	#410X Eureka Express	12%	No
#64 Lucas Hunt	100%	Yes	#2X Waterloo - Columbia	17%	No
#66 Clayton Airport	88%	Yes	#17X Lebanon - Mascoutah	0%	No
#68 Big Bend	21%	No	#21X Scott AFB - East Base Shuttle	0%	No
#70 Grand	98%	Yes	Green Line	60%	Yes
#73 Carondelet	60%	Yes			

MAP DEFINITIONS: Predominately Minority Area - Black groups where the minority population exceeds the minority population ratio for the (3) County Transit Service Area at 37.6%. Predominately Minority Transit Route - Transit routes where 33% of geographic route miles travel within 1/8 mile of minority area. Minority routes are highlighted in red in the table above.

MAP SOURCES: 2008-2013 (5) Year American Community Survey Estimator, US Census Bureau; ESRI; Metro.

### 2.3 Survey information on customer demographics and travel patterns

Metro supplements Census demographic analyses with On-Board Passenger Surveys of both MetroBus and MetroLink customers. These studies are part of an ongoing effort to annually update customer demographics, identify trip patterns and travel behavior, and measure customer satisfaction and attitudes toward Metro service. Metro seeks to obtain not only a detailed and accurate snapshot of its current customers and potential customer markets, but also to focus its attention on the specific needs of its customers by identifying the variables driving their satisfaction levels and intentions to use the system in the future. Customer information is also used when making decisions about service level routing and fare structures.

The Agency conducted On-Board Passenger Surveys in 2012, 2013, and 2015. Due to budgeting, the 2014 On-Board Passenger Survey was not conducted. The Agency was able to conduct a full survey in Summer 2015; analysis of participant demographics and customer satisfaction is available and included in this Title VI Program, but the full range of findings will not be available until later Fall 2015.

The demographic profile of survey participants corroborates the findings above. 66% of MetroLink survey respondents identified as racial and ethnic minorities. Over 83% of the MetroBus System's total respondents identified as racial and ethnic minorities. The table below provides summary results for survey responses by mode:

**Table 3: On-Board Passenger Survey Demographic Profile**

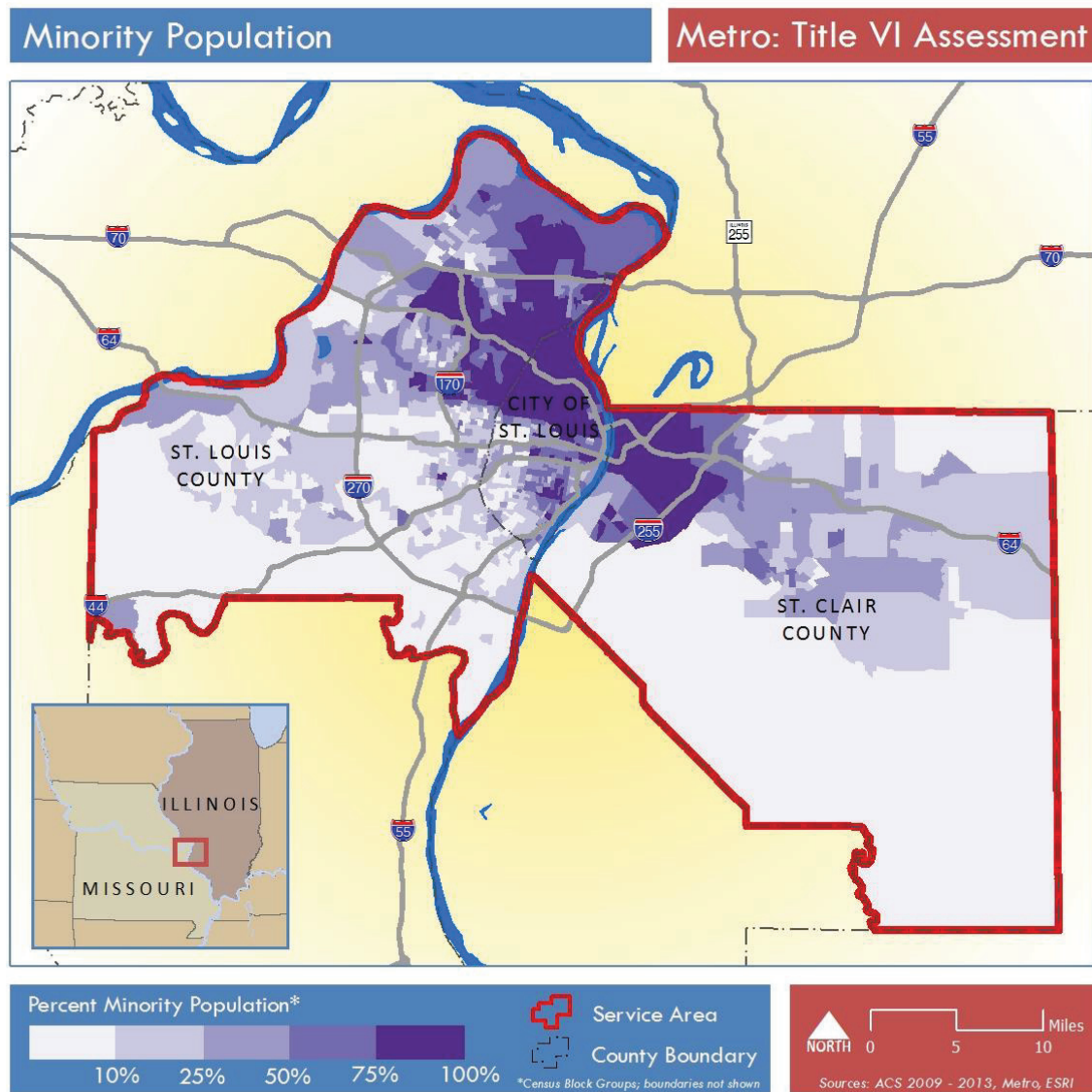
Demographics	MetroBus	MetroLink
Minority respondents	83.3%	66.1%
No car available	65.9%	42.3%
Age 65+	3.1%	2.9%
Annual household income < \$45,000	80.2%	74.3%

#### Attachments

The following pages contain maps and tables depicting basic demographic information for Metro's three-county Service Area.



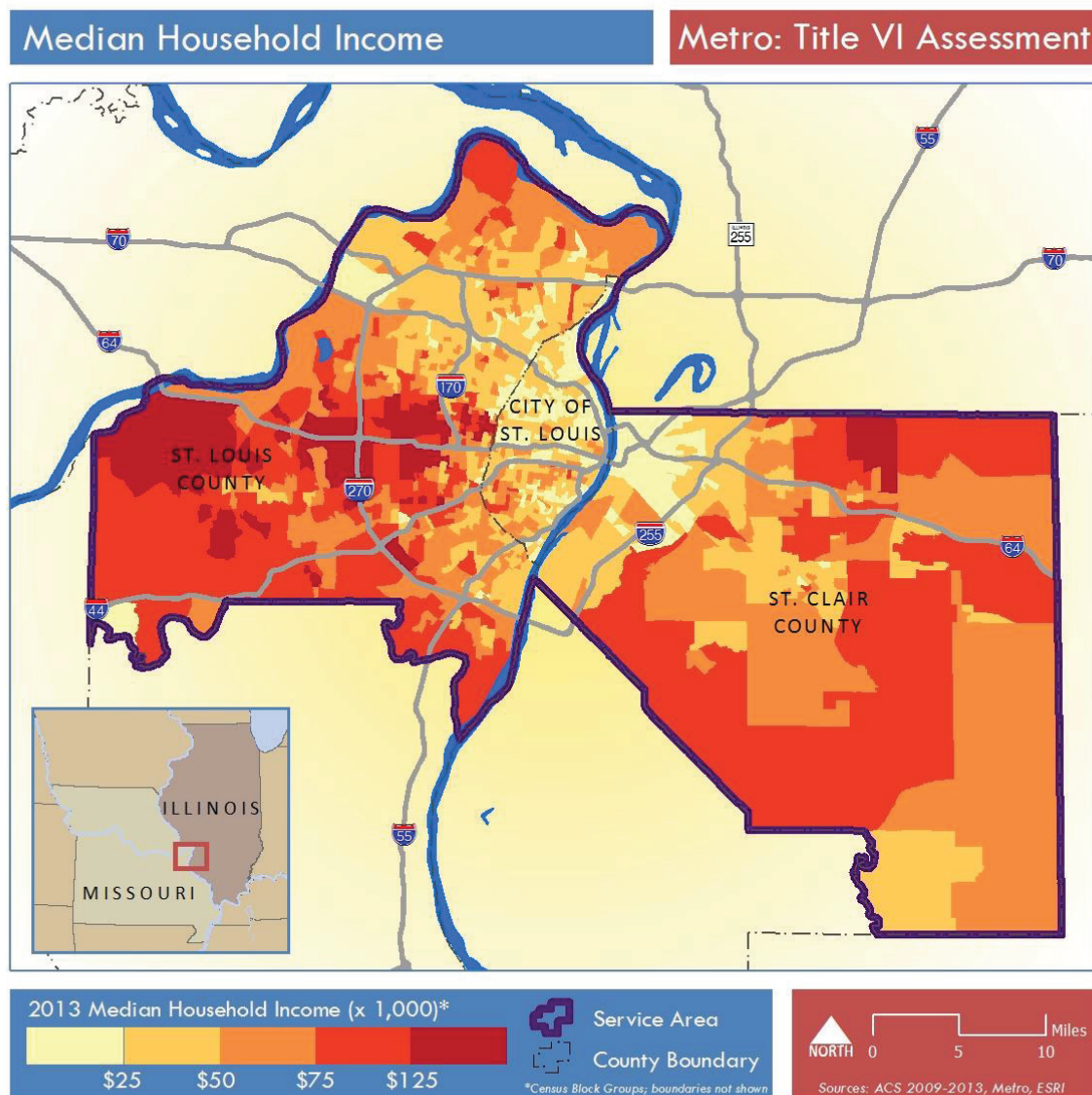
Figure 1: Minority Population Map



Race/Ethnicity; Metro Service Area					
St. Louis City, MO		St. Louis County, MO		St. Clair County, IL	
Race/Ethnicity	Percent	Race/Ethnicity	Percent	Race/Ethnicity	Percent
White	42.7%	White	68.5%	White	62.8%
Black/African American	48.4%	Black/African American	23.1%	Black/African American	29.9%
Latino/Hispanic	3.6%	Latino/Hispanic	2.5%	Latino/Hispanic	3.4%
Asian	2.8%	Asian	3.5%	Asian	1.2%
2 or More	2.2%	2 or More	2.1%	2 or More	2.3%
Other	0.1%	Other	0.2%	Other	0.1%

Source: 2009-2013 5-Year American Community Survey Estimates; Race for Non-Latino/Hispanic Population

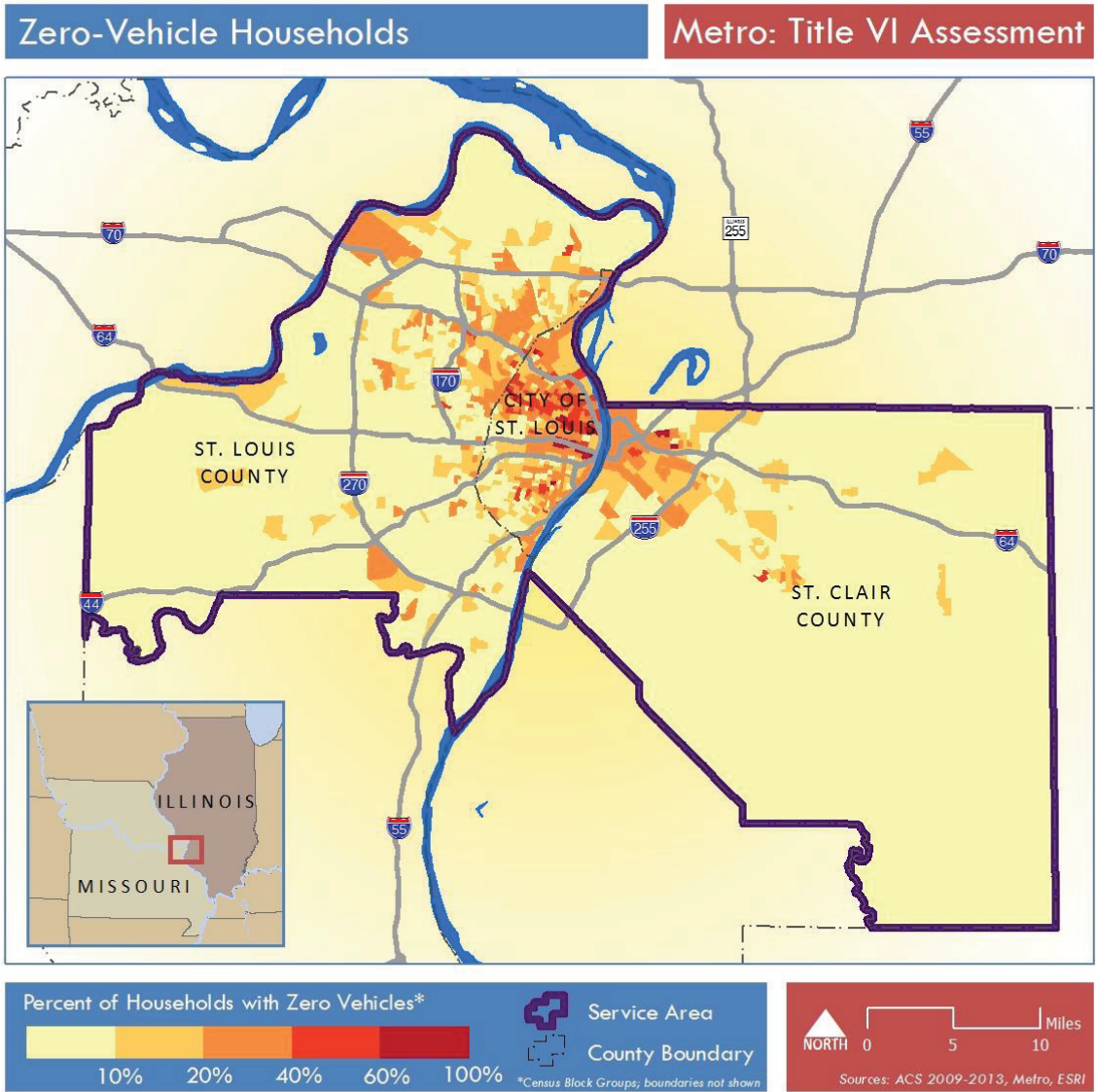
Figure 2: Median Household Income Map



2013 Median Household Income; Metro Service Area					
County	Median Income	10 Highest Income Block Groups	Median Income	10 Lowest Income Block Groups	Median Income
St. Louis City	\$34,582	Ladue, MO	\$250,001	Columbus Square, St. Louis City, MO	\$5,583
St. Louis County	\$58,910	Chesterfield/Wildwood, MO	\$245,167	East St. Louis, IL	\$8,603
St. Clair County	\$50,578	University City, MO	\$220,357	East St. Louis, IL	\$8,707
		Chesterfield/Wildwood, MO	\$210,192	Skinker-DeBaliviere, St. Louis City, MO	\$8,864
		Clayton/University City, MO	\$210,057	Midtown, St. Louis City, MO	\$9,111
		Creve Coeur/Frontenac, MO	\$207,188	East St. Louis, IL	\$9,253
		Ladue, MO	\$206,875	East St. Louis, IL	\$9,702
		Ladue/Warson Woods/Huntleigh, MO	\$205,833	LaSalle, St. Louis City, MO	\$9,785
		Clayton, MO	\$203,056	East St. Louis, IL	\$9,868
		Brentwood, MO	\$196,429	Walnut Park West, St. Louis City, MO	\$9,881

Source: 2009-2013 5-Year American Community Survey Estimates, US Census Bureau; Inflation Adjusted to 2012 Dollars

Figure 3: Zero-Vehicle Households Map

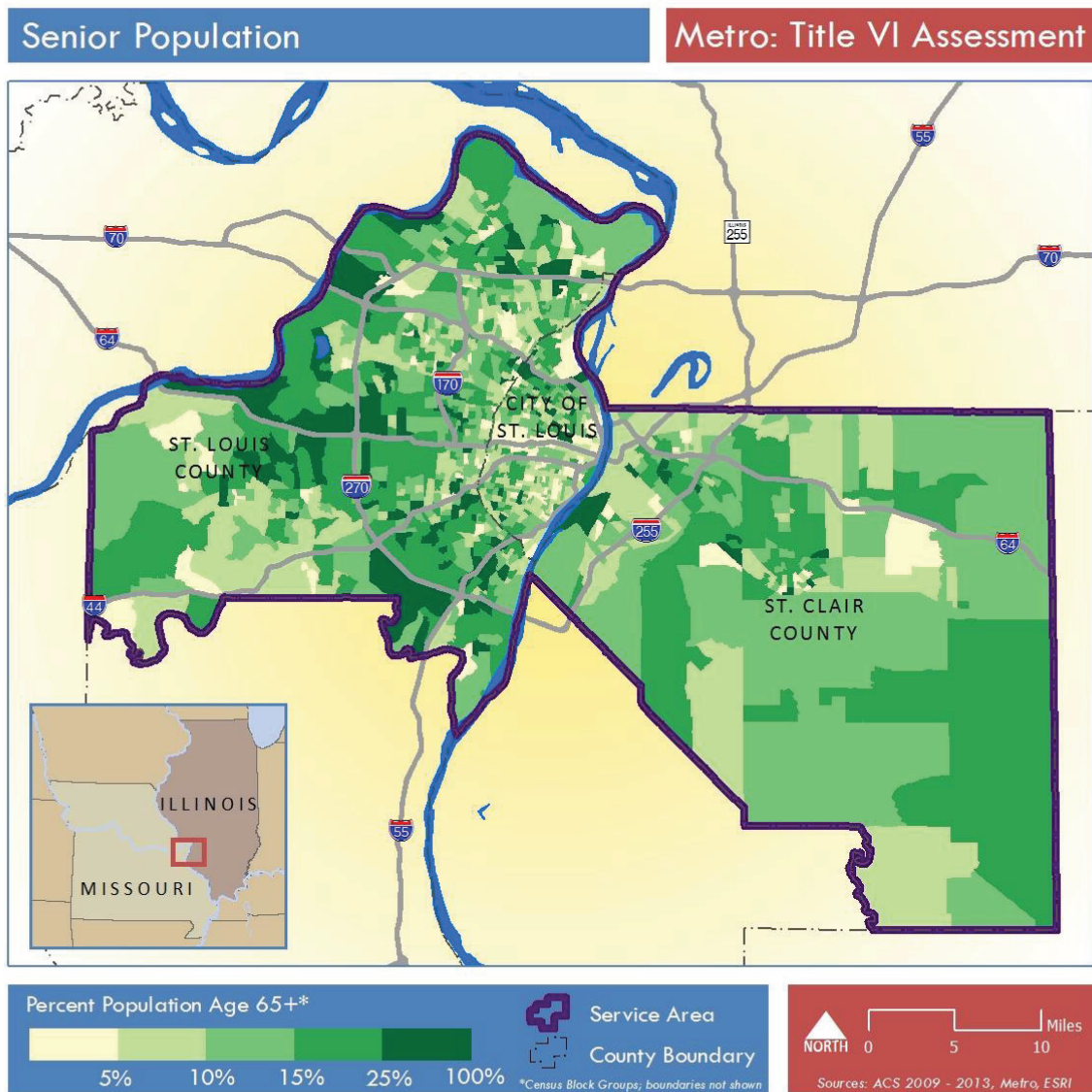


Zero-Vehicle Households; Metro Service Area		
County	Percent of Households with Zero Vehicles	Percent of Population Using Public Transit to Commute to Work
St. Louis City, MO	22.1%	9.7%
St. Louis County, MO	7.1%	2.4%
St. Clair County, IL	8.7%	3.8%
<b>TOTAL</b>	<b>10.6%</b>	<b>4.1%</b>

Source: 2009-2013 5-Year American Community Survey Estimates, US Census Bureau



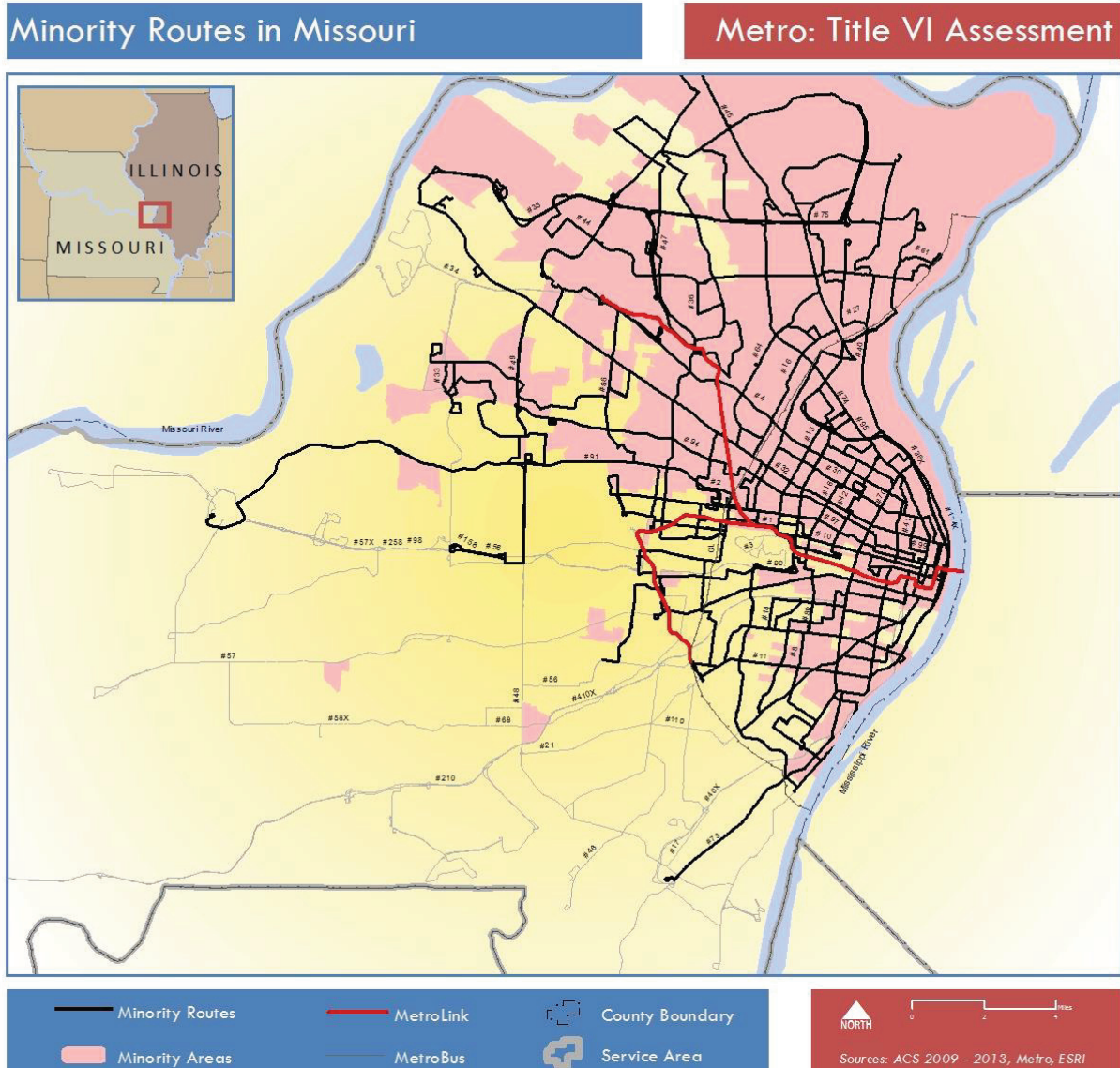
Figure 4: Senior Population Map



Population by Age; Metro Service Area					
St. Louis City, MO		St. Louis County, MO		St. Clair County, IL	
Age	Percent	Age	Percent	Age	Percent
Under 20	24.0%	Under 20	25.7%	Under 20	27.5%
20 to 29	18.7%	20 to 29	12.5%	20 to 29	13.2%
30 to 39	15.0%	30 to 39	11.8%	30 to 39	12.5%
40 to 49	12.7%	40 to 49	13.6%	40 to 49	14.2%
50 to 64	18.7%	50 to 64	21.0%	50 to 64	19.7%
65 and Older	11.1%	65 and Older	15.3%	65 and Older	12.9%

Source: 2009 - 2013 5-Year American Community Survey Estimates, US Census Bureau

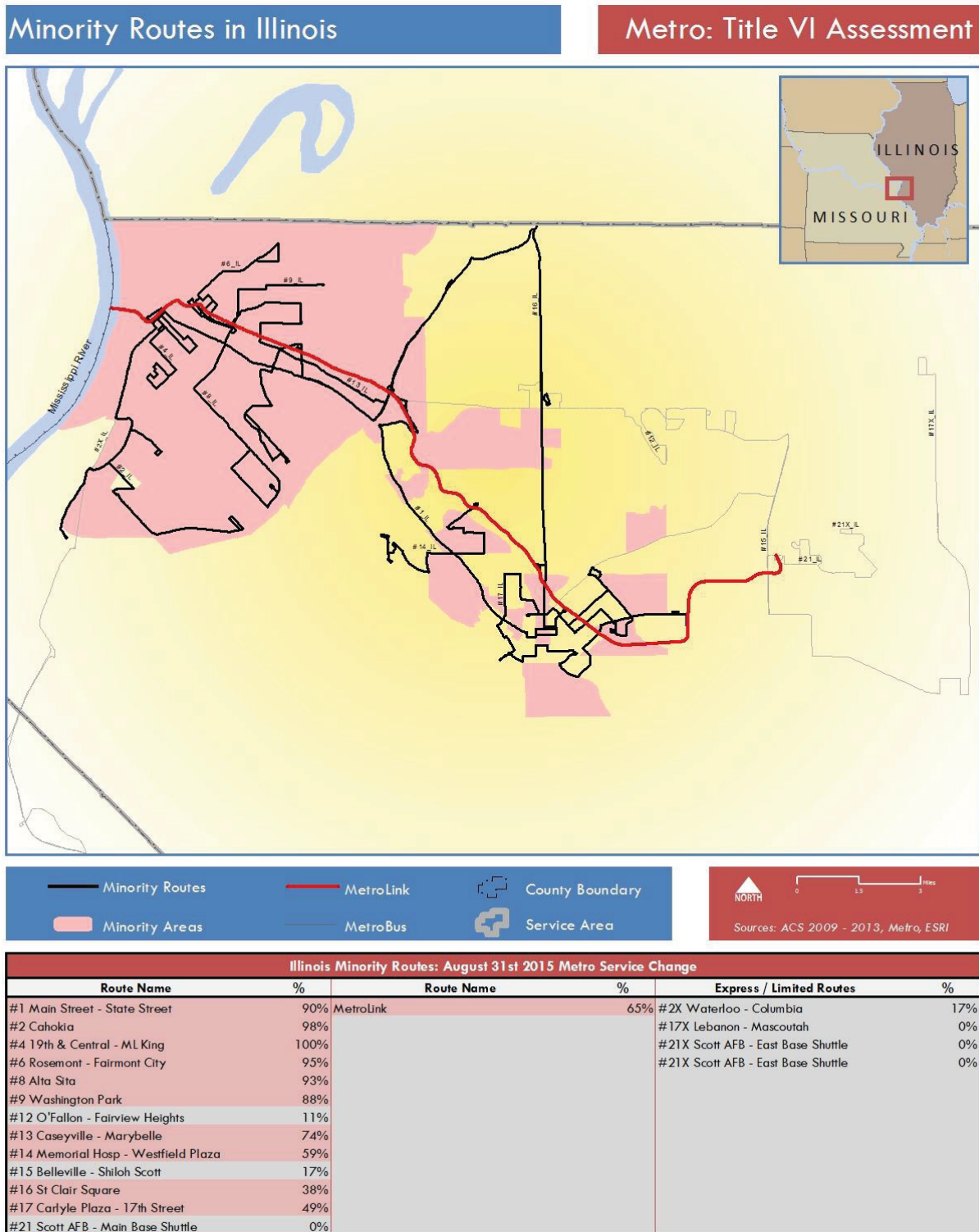
Figure 5: Minority Routes in Missouri Map



Missouri Minority Routes: August 31st 2015 Metro Service Change								
Route Name	Minorit	Route Name	%	Route Name	%	Route Name	%	Limited / Express Route %
#1 Gold	46%	#27 North County Shuttle	100%	#47 North Hanley	85%	#74 Florissant	99%	#36X Bissell Hills Express 76%
#2 Red	44%	#30 Soulard	76%	#48 South Lindbergh	4%	#75 Lilac Hanley	57%	#40X I-55 Express 17%
#3 Forest Park Trolley	32%	#32 M L King Chouteau	78%	#49 North Lindbergh	56%	#80 Park Shaw	95%	#57X Clayton Rd 11%
#4 Natural Bridge	100%	#33 Dorsett-Lackland	85%	#56 Kirkwood-Webster	4%	#90 Hampton	59%	#58X Twin Oaks Express 21%
#8 Bates Morganford	67%	#34 Earth City	14%	#57 Maplewood-Wildwood	9%	#91 Olive	47%	#110 Affton 0%
#10 Gravois Lindell	78%	#35 Rock Road	33%	#58 Clayton-Ballas	13%	#94 Page	82%	#158 Ballas-West County 3%
#11 Chippewa	80%	#36 Spanish Lake	100%	#59 Dogtown	45%	#95 Kingshighway	80%	#174X Halls Ferry Express 70%
#13 Union	91%	#40 Broadway	91%	#61 Chambers Road	97%	#97 Delmar	79%	#210 Fenton Gravois Bluffs 0%
#14 Botanical Garden	34%	#41 Lee	99%	#64 Lucas Hunt	100%	#98 Chesterfield-Hanley	10%	#258 Clayton-Chesterfield 3%
#16 City Limits	69%	#42 Sarah	100%	#66 Clayton Airport	88%	#99 Downtown Trolley	91%	#410X Eureka Express 12%
#17 Oakville	0%	#44 Hazelwood	63%	#68 Big Bend	21%	MetroLink	65%	Green Line 60%
#18 Taylor	100%	#45 Ferguson-Florissant	87%	#70 Grand	98%			
#21 Watson Rd.	9%	#46 Tesson Ferry	0%	#73 Carondelet	60%			

MAP DEFINITIONS: Predominately Minority Areas = Block groups where the minority population exceeds the minority population ratios for the (3) County Transit Service Area at 37.6%. Predominately Minority Transit Routes = Transit routes where 33% of geographic route miles travel within 1/8 mile of minority areas. Minority routes are highlighted in red in the table above. MAP SOURCES: 2008-2013 (5) Year American Community Survey Estimates, US Census Bureau; ESRI; Metro.

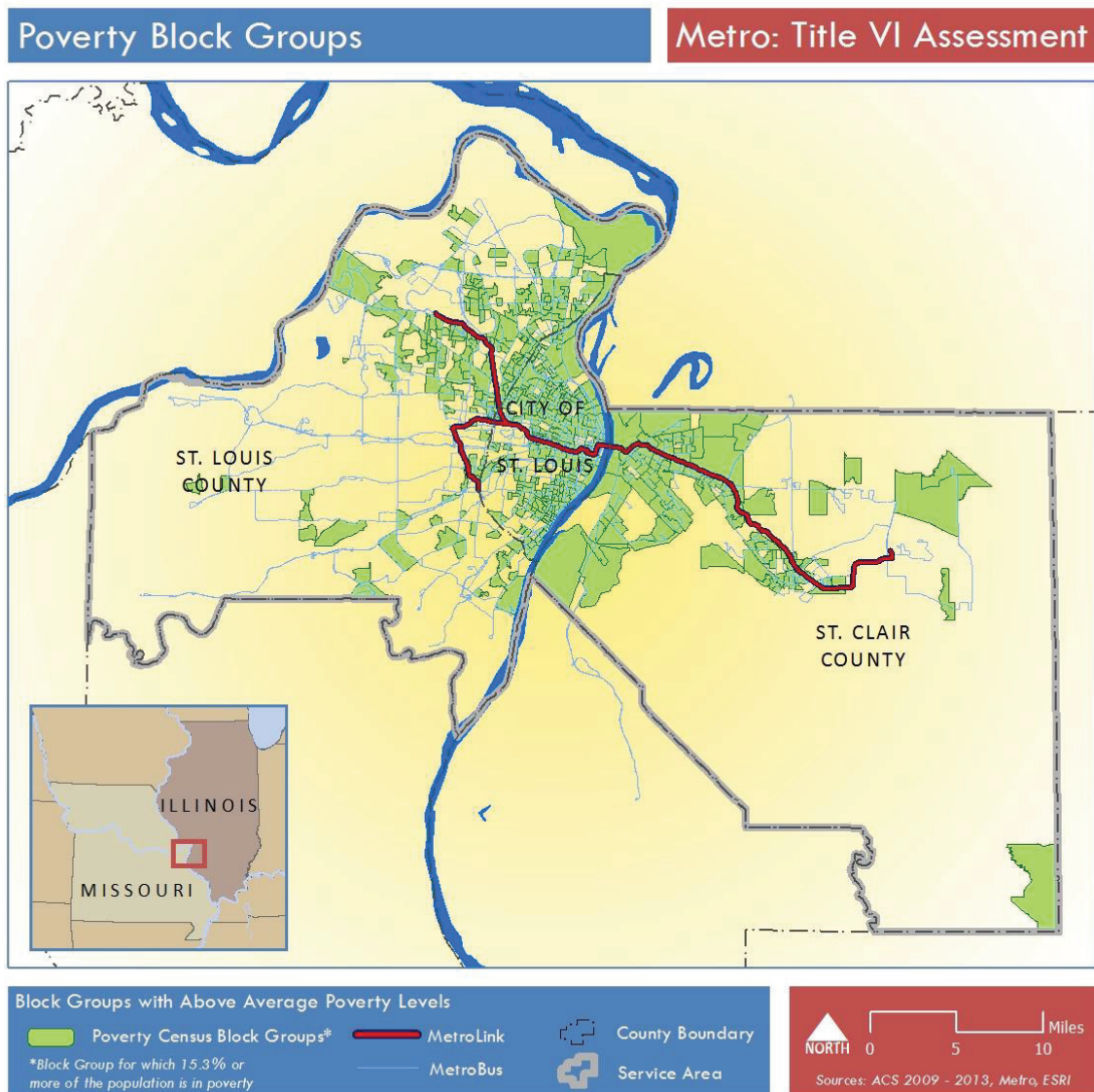
Figure 6: Minority Routes in Illinois Map



MAP DEFINITIONS: Predominately Minority Areas = Block groups where the minority population exceeds the minority population ratios for the (3) County Transit Service Area at 37.6%. Predominately Minority Transit Routes = Transit routes where 33% of geographic route miles travel within 1/8 mile of minority areas. Minority routes are highlighted in red in the table above. MAP SOURCES: 2008-2013 (5) Year American Community Survey Estimates, US Census Bureau; ESRI; Metro.



Figure 7: Poverty Block Groups Map



High-Poverty Block Groups; Metro Service Area					
County	Below poverty line	20 Highest Poverty Block Groups			
St. Louis City	84,785	Wells-Goodfellow, St. Louis City, MO	81.3%	The Ville, St. Louis City, MO	69.3%
St. Louis County	106,724	East St. Louis, IL	81.0%	Pinelawn, MO	69.2%
St. Clair County	46,561	Columbus Square, St. Louis City, MO	79.1%	Cahokia/St. Clair County, IL	69.0%
		LaSalle, St. Louis, MO	77.6%	Wells-Goodfellow, St. Louis City, MO	69.0%
		East St. Louis, IL	75.4%	East St. Louis, IL	68.1%
		Mount Pleasant, St. Louis, MO	72.4%	Jeff-Vander-Lou, St. Louis City, MO	67.3%
		Covenant Blu, St. Louis City, MO	71.0%	College Hill, St. Louis, City, MO	67.2%
		The Ville, St. Louis, MO	70.5%	East St. Louis, IL	66.4%
		Marine Villa, St. Louis, MO	70.0%	Wells-Goodfellow, St. Louis City, MO	66.3%
		Carondelet/Dutchtown, St. Louis, MO	69.6%	Walnut Park West, St. Louis City, MO	66.3%

High-Poverty Block Groups are those tracts with a higher proportion of population in poverty than the proportion of population in poverty for the entire service area. 15.3% of residents in the Metro transit Service Area are identified as living in poverty. Of the 1,251 block groups in the Service Area, 529 (42.3%) are considered High-Poverty Block Groups.

## Transit Need Index

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In the past, Metro has employed a Transit Need Index (TNI) based on a model developed by planners in Tarrant County, Texas. This particular TNI was designed to spatially summarize Census demographic data for population density, minority population, median household income, automobile availability, and population age 65 and over. Previous versions of the model included data for the workforce-population with a disability, but those data are not available at the present time. All of these characteristics are considered to be good indicators of transit need for a given area. The charts below describe how these characteristics are ranked in the TNI.

Because this particular index only accounts for transit need at a residential level, Metro typically computes an employment-based TNI using the characteristics described above and CTPP place-of-employment data. The resulting employment-based TNI helps identify job clusters based on their workforce characteristics. Unfortunately, CTPP data from the 2010 Census are not yet available, so Metro is unable to formulate an updated version of the employment-based TNI.

Metro typically combines the residential and employment based TNIs into a composite TNI, in which places were ranked high to low according to their residential and employment TNIs. The resulting map gives a richer spatial assessment of true transit need for a given location. This composite TNI is a primary component of both long-range systems planning and shorter-range service planning.

**Table 4: Residential Transit Need Index**

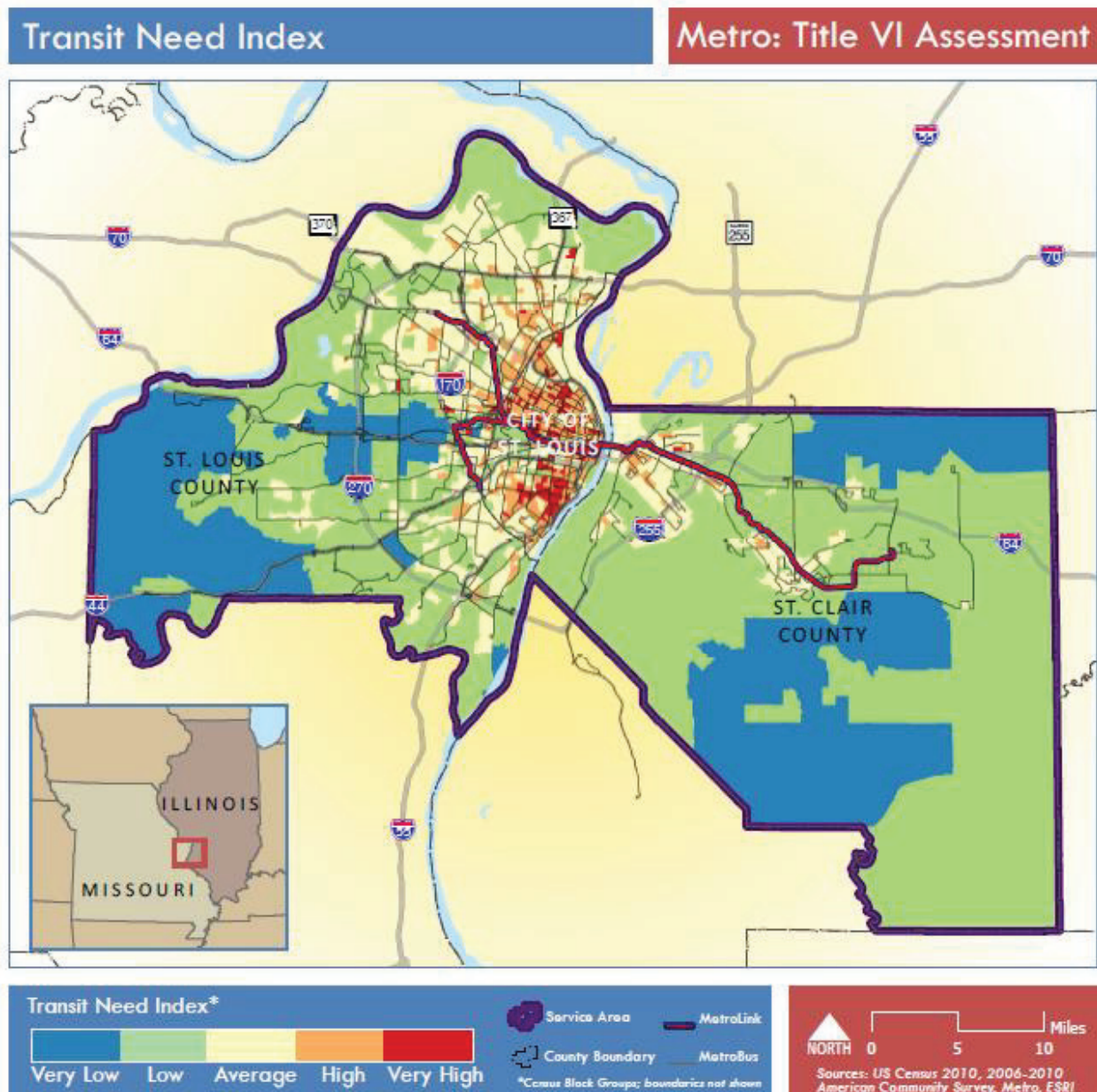
Category	Characteristic	Ranking Weight
Population Density	High Population Density	2
Minority Population	High Concentrations of Minority Population	1
Median Household Income	Low Median Household Income	3.5
Automobile Availability	One or Zero Autos Available	1.5
Population Age 65+	High Concentrations of Elderly Persons	1

**Table 5: Employment Transit Need Index**

Category	Characteristic	Ranking Weight
Job Density	High Job/Employment Density	2
Minority Workers	High Concentrations of Minority Workers	1
Median Earnings	Low Median Worker Wages	3.5
Automobile Availability	Employee has One or Zero Vehicles	1.5
Workers Age 65+	High Concentrations of Elderly Workers	1
Worker Disability	High Concentrations of Disabled Workers	1



Figure 8: Transit Need Index Map



Transit Need Index; Metro Service Area		
<p>This map displays a residential-based transit need index (TNI) by 2010 Census block-groups for the Metro Transit Service Area. The TNI shows relative transit need for a given study area. Block groups are categorized into Very High, High, Average, Low, or Very Low transit need. The index is computed using a weighted formula taking into account residential population density, minority population, median family income, zero-vehicle households, and elderly population. The table below describes the categories used in the TNI and their corresponding weight.</p>		
Category	Characteristic	Weight
Population Density	High Population Density	2.0
Minority Population	High Concentrations of Minority Population	1.0
Median Household Income	Low Median Household Income	3.5
Automobile Availability	Zero Vehicles Available	1.5
Population Over Age 65	High Concentrations of Persons Age 65 or Older	1.0
Data Sources: US Census 2010, 2006-2010 American Community Survey		

## **Chapter 3:**

# **LEP Population and Language Assistance Plan**

## Chapter 3: Limited English Proficient (LEP) Population and Language Assistance Program

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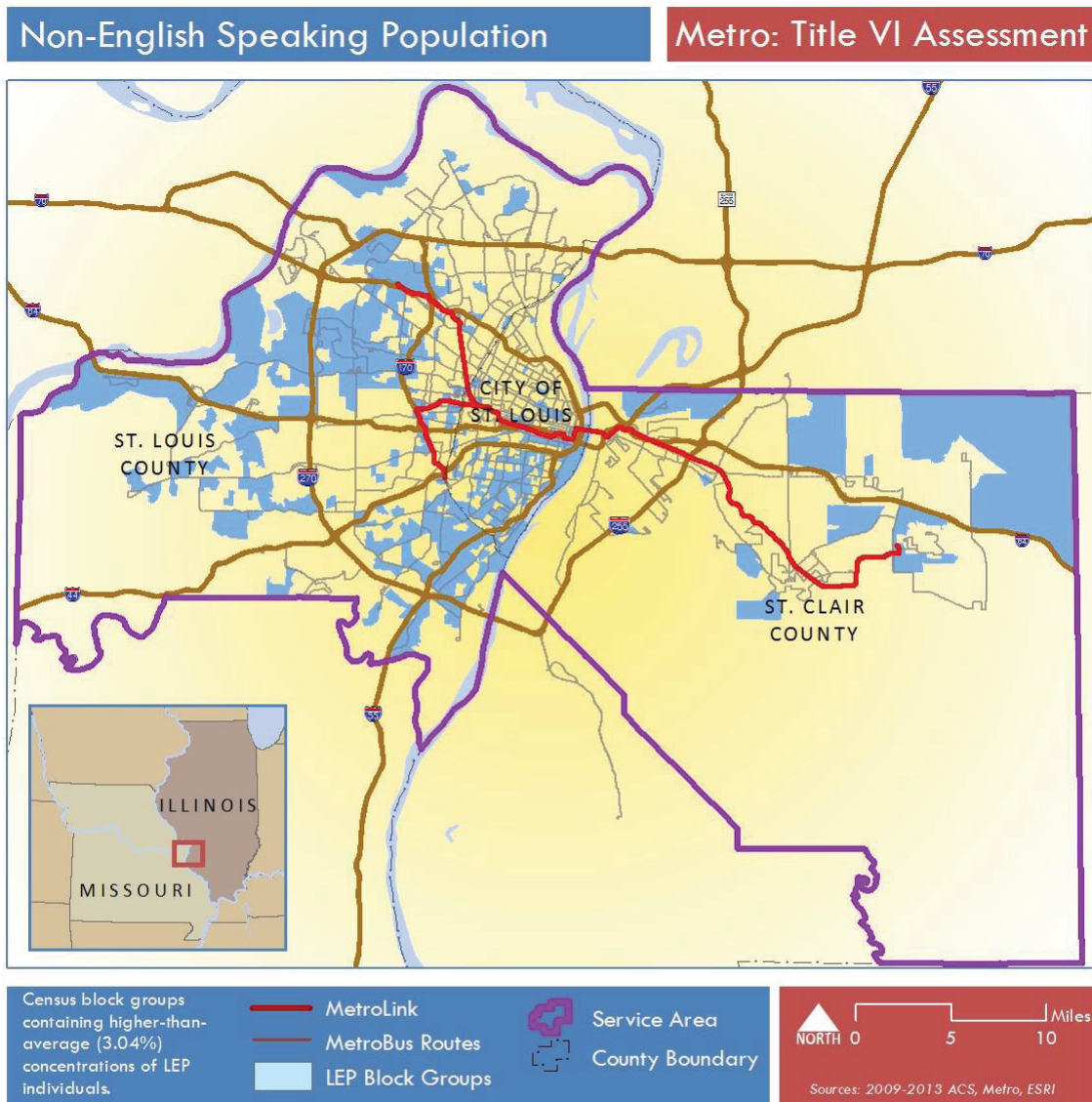
### 3.1 Four-factor analysis

To date, the three-county Metro Service Area has contained a very small percentage of LEP individuals; the most recent data from the 2009-2013 American Community Survey indicate that only 45,301 individuals, or 3.0% of the population within Metro's Service Area, speak English less than "very well." Many of these residents are dispersed across the St. Louis region, similar to the native-born and English-speaking population. A large segment of St. Louis' immigrant population appears to be members of established communities or highly educated, "skilled" workers who prioritize purchasing a private vehicle and a single-family home. Many others, however, are newer arrivals, refugees, and guest workers who rely on public transportation for access to jobs, services, and goods. Unfortunately, these individuals may face language and cultural barriers to accessing the Metro System, and it is in the Agency's best interests to lower those barriers as much as possible. In order to shape a formal language assistance plan and determine the most cost-effective tools for LEP access, the Agency undertook a "Four-Factor Analysis" as outlined in DOJ and DOT Guidance documents.

#### *Factor 1: Identification and analysis of the LEP population*

The Agency reviewed the most recent data from the American Community Survey; anecdotal evidence from the International Institute of St. Louis, a major immigrant and refugee assistance organization; and findings from *Immigrant Needs Assessment for St. Louis Metropolitan Area of Missouri* (DeVoe and Mertz, 2007), a study undertaken by International Institute and the Missouri Foundation for Health.

Figure 9: Non-English Speaking Population Map



Limited English Proficiency Population; Metro Service Area			
Language Spoken	Population	Percent of Population (5 years+)	
Total Population 5+ Years	1,489,896	100%	
Speaks English Only	1,367,187	91.8%	Percent of Population Speaking English Less Than "Very Well"
Speaks English "Very Well"	84,583	5.7%	
Speaks English Less Than "Very Well"	45,301	3.0%	
Speaks Spanish	12,749	0.9%	
Other Indo-European Language	14,910	1.0%	
Asian or Pacific Island Language	13,835	0.9%	
Other Language	3,807	0.3%	
			100.0%
			28.1%
			32.9%
			30.5%
			8.4%

Source: 2009-2013 5-Year American Community Survey Estimates, US Census Bureau

As illustrated in the map and table above, the most recent data from the 2009-2013 ACS show 45,301 individuals, or 3.0% of the population within Metro's Service Area, speak English less than "very well." The native languages spoken by LEP individuals in the St. Louis region fall into roughly equal thirds: Spanish, other Indo-European languages, and Asian/Pacific Island languages. The map above shows Census block groups that have a higher-than-average concentration of LEP individuals; as the map illustrates, these individuals are dispersed throughout the Metro Service Area, which makes it more difficult to target community outreach strategies and language assistance tools. The number and percentage of individuals who speak English less than "Very Well" has declined slightly since the analysis using American Community Survey 2006 – 2010 5-Year Estimate data with fewer block groups in North County represented. The Agency also mapped out more specific geographic settlement patterns for native speakers of individual languages at the Block Group level. For the purpose of this analysis, Metro focused on those languages meeting the "Safe Harbor" threshold (5% of the population or 1,000 people, whichever is less). The table below shows those languages and their density within the larger Service Area population:

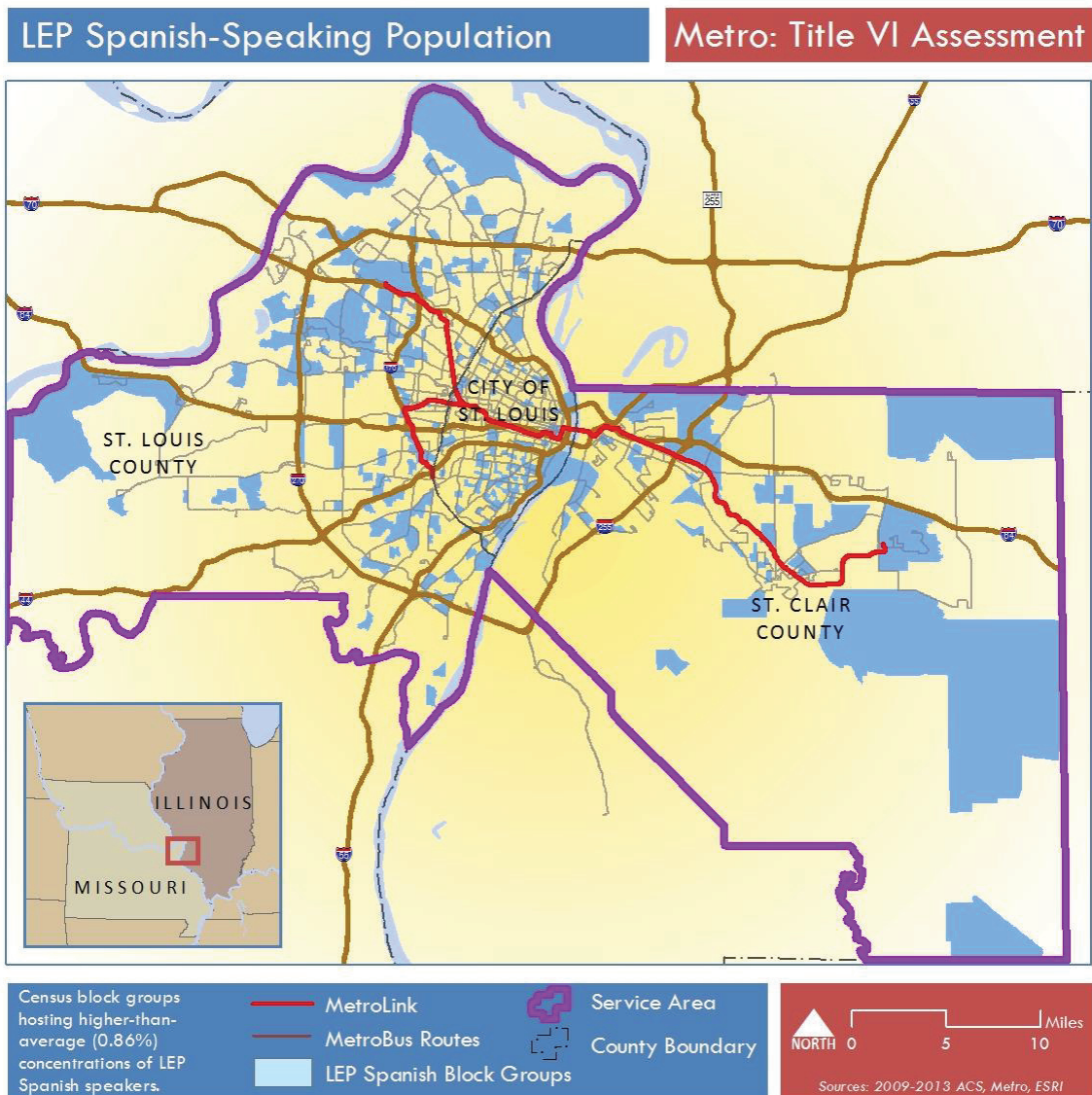
**Table 6: Population Speaking English "Less Than Very Well"**

<b>Population Speaking English "less than very well"</b>					
	St. Clair County, Illinois	St. Louis County, Missouri	St. Louis city, Missouri	Total	Percent
	Estimate	Estimate	Estimate		
<b>Total:</b>	<b>250,929</b>	<b>941,288</b>	<b>297,679</b>	<b>1,489,896</b>	<b>100.0%</b>
English Only	238,920	859,179	269,088	1,367,187	91.8%
Spanish or Spanish Creole	1,959	7,014	3,776	12,749	0.9%
Serbo-Croatian (Bosnian)	9	4,163	1,334	5,506	0.4%
Chinese	71	3,932	816	4,819	0.3%
Vietnamese	79	1,657	1,578	3,314	0.2%
Arabic	42	792	1,246	2,080	0.1%
Other Asian Languages	21	1,422	449	1,892	0.1%
Russian	29	1,604	62	1,695	0.1%
Korean	237	1,372	76	1,685	0.1%
African Languages	124	701	638	1,463	0.1%
Other Indo-European Languages	0	861	383	1,244	0.1%
Other Indic languages	22	715	492	1,229	0.1%
French	171	547	369	1,087	0.1%
<i>Source: 2009 - 2013 American Community Survey 5-Year Estimates, U.S. Census Bureau</i>					

The Agency also mapped out these populations in order to discover areas with a higher-than-average concentration of speakers of each of these languages. The map below provides an example of this level of analysis, for the Spanish-speaking (includes Spanish Creole) LEP population, which is dispersed across the service area in both urban and suburban areas.



Figure 10: LEP Spanish-Speaking Population Map



This level of analysis indicated that geographic dispersion and suburban sprawl seem to typify the settlement patterns of immigrant and LEP communities, similar to the native-born and English-speaking population. These findings are corroborated by input from the International Institute, the region's primary refugee resettlement and immigrant assistance provider, which indicated that longer-established immigrant communities and many voluntary immigrants (particularly university students and skilled labor) tend to prioritize buying personal vehicles and single-family homes as quickly as possible. This group includes many native speakers of European, Asian, and Arabic descent, including Chinese, Iraqi, and Korean. Newer arrivals, particularly refugees and migrant workers, tend to settle in the urbanized areas of St. Louis City and inner-ring suburbs, and tend to be much more reliant on public transit. LEP persons who appear to trend more toward this group include native speakers of Spanish, Vietnamese, and African languages.

At a larger level, some broader geographic areas can be identified as hosting concentrations of LEP persons of several language groups and economic backgrounds. These areas include:

- The "Central Corridor," stretching from Downtown St. Louis west through University City;

- South St. Louis City, particularly east of Hampton Avenue and south of Cherokee Street;
- Lemay and Mehlville areas of South St. Louis County;
- Parts of Crestwood in South St. Louis County;
- Parts of northern Chesterfield, Ellisville, and Manchester
- West St. Louis County around the intersection of I-270 and I-64;
- Sections of Maryland Heights, Overland, St. Ann, and Olivette between Olive Boulevard and St. Charles Rock Road;
- North St. Louis County around the intersection of New Halls Ferry and Lindbergh Boulevard; Fairmont City in St. Clair County;
- Cahokia and Sauget, IL;
- Parts of O'Fallon, IL; and
- The unincorporated section of St. Clair County, IL between Swansea and Belleville.

Some very general patterns can be gleaned from these data. Spanish-speaking residents may have greater need for transit service than other LEP groups but are dispersed throughout the Metro Service Area as seen in the map on LEP Spanish-Speaking Population, including in lower-density suburban areas that otherwise do not warrant higher levels of transit service. Chinese and Korean-speaking LEP residents are more concentrated in the “Central Corridor” and West St. Louis County, west of I-270. The Central Corridor benefits from excellent transit service and a large number of universities, hospitals, and medical research institutions; many of the individuals in this group may be students, skilled professionals, and their families, many of whom probably own personal vehicles. Vietnamese-speaking LEP individuals show a higher propensity to be located in the City of St. Louis, perhaps as a result of immigrating as refugees. The region’s large Bosnian population and other European language speakers have been settled in the area for well over 10 years (the last Bosnian refugee was resettled in St. Louis in 2001), and have shown a marked migration further into the suburbs. These groups tend to have more tight-knit communities and either own cars or rely on friends and family for rides. The region has attracted a larger share of Arabic speakers over the past 10 years, and these residents also live all across the region. However, they tend to settle in fewer Census tracts and at higher numbers than other LEP groups, and distinct neighborhoods can be found in both South and West St. Louis City. Finally, LEP individuals who speak African languages and live in the City of St. Louis tend to be concentrated near Downtown St. Louis and the near North Side; settlement patterns in St. Louis County and St. Clair County are more reflective of the general pattern described above.

Information on student enrollment in English Language Learner (ELL) programs at local school districts corroborates these findings. In the research paper *Immigrant Needs Assessment for St. Louis Metropolitan Area of Missouri* (DeVoe and Mertz, 2007), the authors found that the majority of immigrants and ELL students in more urbanized areas tend to be new arrivals, refugees, undocumented workers, and the economically disadvantaged. The St. Louis Public School District’s ELL program provides services in more than 30 languages, but nine of the top ten languages requested are spoken largely by refugee populations, such as Sierra Leoneans, Congolese, Somali Bantu, and Musketanian Turks. Bosnian and European immigrants now tend to be clustered in middle-class, suburban areas of South St. Louis County, particularly the Affton, Bayless, and Mehlville school districts. East Asian and South Asian students are most prevalent in affluent Mid- and West County school districts such as Clayton, Parkway, and Rockwood, while Spanish-speaking students are concentrated in school districts serving working- class neighborhoods in near North County, particularly Ritenour, Pattonville, and Hazelwood.

In summary, this information implies that Metro should prioritize language assistance tools to those populations more likely to be using transit, rather than older, established communities who live further out in the suburban sections of the Service Area. However, the geographically dispersed settlement

patterns of all these LEP populations argue for the deployment of such strategies system-wide, rather than targeting particular neighborhoods, routes, or stations.

### *Factor 2: Frequency of LEP Contact*

To date, the Agency has not established a formal procedure for tracking LEP inquiries and contacts. There have been no requests for interpretation or translation assistance at any public meetings or other planning activities over the past three years; however, it is possible LEP individuals were not aware of such meetings or did not know they could request such assistance, as the Agency did not distribute translated versions of public notices.

### *Factor 3: Importance of the Program to LEPs*

In general, public transportation is assumed to be a vital service to the community as a whole, and to immigrants and LEP individuals in particular. This assumption is corroborated by input from community partners, who highlight the importance of transit to new arrivals, refugees, and migrant workers trying to find housing, jobs, and services. However, voluntary immigrants and long-established immigrant communities have echoed the native move to suburban neighborhoods, single-family households, and reliance on personal automobiles. Often, even newer immigrants who do not own a personal vehicle rely on friends and family for rides rather than taking public transportation. According to well-informed anecdotal evidence from community partners, sometimes this choice is a result of language barriers, and sometimes it is a cultural phenomenon. For example, staff at the International Institute pointed out that Iraqi immigrants place a premium on purchasing personal vehicles as soon as possible, while Nepalese residents are generally more transit-supportive, regardless of financial circumstances.

Indeed, in the paper titled Immigrant Needs Assessment for St. Louis Metropolitan Area of Missouri, the study team interviewed focus groups of immigrant organizations, community leaders, and social service providers in order to identify the needs of the region's immigrant populations. When asked about transportation, it was identified as:

“[A] major need by many and irrelevant by other, more financially viable, ethnic communities. Newcomers without resources were particularly crippled by a lack of good public transportation...Immigrant communities that have not been in the US long or those with a large number of members in the lower socio-economic strata mentioned transportation as one of their critical needs” (DeVoe and Mertz, 2007, p. 24).

It should be noted that the study referenced above encompassed the City of St. Louis and six surrounding counties, only two of which (St. Louis City and St. Louis County) are within Metro's Service Area. The other counties have no or very limited transit service, which may also help account for the difference of opinion regarding the availability and importance of transit among immigrant groups. Nonetheless, it seems clear that the Metro Transit System is of vital importance to LEP residents and workers in the urban core, particularly newer arrivals and the economically disadvantaged.

### *Factor 4: Cost-benefit analysis of resources*

The final factor in improving the Agency's language assistance plan was to match identified needs with services and establish a budget for LEP assistance strategies. Metro's first step was to reaffirm and formalize Metro's business arrangement with the International Institute to provide on-call oral interpretation services and translation of vital documents. Telephone-based interpretation and document translations services will be charged to the Agency on an as-needed, fee-for-service basis. Metro also intends to work with the International Institute and other community partners to establish a rider training program and create visual, pictogram-based how-to-ride guides. The Agency needs to engage in a more robust and thorough LEP public engagement effort to more clearly identify the needs of specific LEP groups



and to formulate more effective strategies for meeting those needs, particularly regarding document translation and system signage. The results from that public engagement effort will allow Metro to better determine an appropriate language assistance budget.

### 3.2 Metro's language assistance plan

The Agency has established a program with a local organization, the International Institute, for providing translation services via Metro's Customer Service Department. The International Institute is a venerable, professional, and highly engaged non-profit organization dedicated to meeting the needs of the region's refugee and immigrant communities. The Institute is the region's designated resettlement agency, and provides a full range of social, educational, health, and housing aid to these groups. The Institute also runs a Business Assistance Center that offers fee-for-service interpretation services (both in-person and phone-based) and written translations. Metro utilizes those services on an as-needed basis, and is currently exploring the possibility of expanding the relationship with service contracts for interpretation/translation services, cultural training, and a volunteer-based transit travel-training program.

Since the program's inception in 2013, Metro has provided translation services on eleven occasions.

The needs identified by the Four-Factor Analysis largely accord with the network of on-call interpretation and translation services the agency has in place to meet the needs of LEP individuals attempting to access the Metro System.

# **Chapter 4:**

## **Public Participation**

## Chapter 4: Public Participation

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### 4.1 Public involvement policy

Metro has a policy of seeking robust public involvement in all major projects. The Agency actively sought strong public participation in shaping the region's first long-range transit plan. Board policy requires customer and stakeholder feedback before adopting any major service or fare change. Metro also has two standing advisory committees made up of transit customers and service area residents. The Metro Transit Advisory Group (MTAG) is a committee of transit riders and interested residents who meet bi-monthly with Metro management to discuss issues of importance to riders, and to voice ideas for fixing problems. The Metro Access Advisory Group (MAAG) is a monthly group consisting of disability advocates, ADA service departments, and social service providers that work together to make the Metro System more accessible for elderly and disabled customers. Finally, the Agency also operates a Speakers' Bureau of technical and management staff, who provide educational presentations and information on a variety of transit-related topics by request to smaller groups such as city councils, individual businesses, neighborhood associations, and community groups.

#### *Long-range and systems planning*

A central element of the Agency's public participation policy is meaningful and consistent stakeholder involvement. The MTAG and MAAG groups provide ongoing advice and ideas from the customer's point of view. Metro routinely convenes these groups and other interested stakeholders before initiating any service change or fare increase. Participants commonly include transit riders, community leaders, advocacy groups for transit-dependent and disabled groups, and business representatives.

In addition to ongoing stakeholder involvement, the Agency always seeks active involvement from the broader community in long-range system planning through public meetings and planning workshops. The scale, location, and format of these meetings depend largely on the type of project and desired outcomes, but all share some general traits. In every case, Metro seeks to foster a dialogue where information is presented and feedback collected, via some sort of formal mechanism for recording participants' ideas or preferences. The general strategy for long-range system planning is to provide meaningful opportunities for the entire community to learn about the basics of transit funding, capital investment, and service planning, and to ensure their opinions and ideas are addressed. The format and location of these meetings are designed to attract participation from the widest possible array of stakeholders, including transit customers, elected officials, business owners, public agency staff, community organizations, and the general public.

For comprehensive, long-range planning activities, the style and format of meetings focus heavily on information dissemination, goal-setting, and community visioning charrettes.

#### *Service and fare changes*

Metro also holds more traditional types of public meetings. The Agency is required by Board policy to hold formal public hearings before implementation of major service changes and fare changes. These formal hearings tend to follow a traditional, linear format in which staff presents the proposed action and attendees are invited to comment. However, Metro has found this traditional method to be inadequate with respect to fostering meaningful dialogue and identifying service problems for individuals. Too many people are unwilling to wait for a chance to make a comment after dozens of other speakers. The outline presentations of service plans and fare increases are too vague to let customers know about exact trip times, bus-stop level information, or transfer opportunities. Also, the relatively narrow hours of a formal hearing exclude many individuals whose schedules cannot accommodate those specific times. In order to address these concerns,

Metro designed a public information process and community engagement strategy to maximize participation and encourage actionable feedback.

Formal public hearings for service and fare changes are now preceded by a series of public meetings and information sessions. These meetings are open to all, but more narrowly tailored to the interests of current and likely transit customers. These meetings generally include a brief presentation and supplemental materials offering a thorough but accessible level of detail explaining proposed changes, so that each participant can assess the likely impacts on both the entire Metro System and on their own commute. Every meeting on major service changes and fare increases offers participants multiple avenues for submitting feedback and comments, including written comment forms, oral comments recorded by staff, a dedicated hotline and email address, the Agency's website, and social media.

In every case, Metro seeks to involve the broadest possible cross-section of the community, particularly those neighborhoods and populations that have experienced a historic pattern of disenfranchisement. The Agency actively reaches out to community leaders, institutions, and community organizations to co-sponsor meetings and to encourage participation by their constituents, members, and social networks. Metro also adopted a formal process for disseminating information and notifying the public about upcoming meetings. A copy of the Agency's goals and procedures for these types of public meetings is included in the Attachments section at the end of this chapter.

Community engagement is one of Metro's central tenets. The Agency seeks to encourage participation, buy-in, and a feeling of ownership throughout the Metro Service Area. However, the Agency also hopes to elicit participation from historically disenfranchised populations and protected groups. The public notification process described above has proven effective, but Metro also relies heavily upon standing partnerships with recognized community leaders, neighborhood groups, and non-profit organizations in order to energize their constituents and membership base.

#### 4.2 Public participation and community planning efforts, 2012 - 2015

Over the past three years, Metro has engaged in several community planning and public engagement efforts, including:

1. *St. Louis Rapid Transit Connector Study* (September 2012 – 2013)
2. FY2015 Fare Increase (April 2014)
4. Ongoing community engagement and public advisory activities, including the Metro Transit Advisory Group, the Metro Accessibility Advisory Group

More detailed narratives on each of these efforts follow. Examples of public notices and planning workshop tools from these efforts are provided in the Attachments section at the end of this chapter.

The Attachments section includes document excerpts that provide more detail on the public engagement process; flyers listing meeting dates and locations; and samples of press clippings and other media formats.

#### *Fare Increase FY2015 public meetings and planning process*

Metro's Board of Commissioners authorized staff to hold public meetings in April 2014, in order to solicit customer opinions regarding the proposed fare increase. Staff held four meetings across the region, including one meeting in each of the Metro Service Area's three counties and a formal public hearing at Metro Headquarters. At each of these meetings participants were given a brief presentation and overview of Metro's operations budget, the scope of passenger fare support, and the growing gap between Metro's revenues and costs. Staff then presented three fare increase options, and asked participants to vote on their preferred option. Respondents were also allowed to submit more general comments about the Metro System.

Information about the fare increases and public meeting dates was disseminated by a variety of means, including printed brochures distributed throughout the Metro System, signs posted aboard transit vehicles, the Agency's website, and via the Agency's blog and social media accounts.

The Attachments section at the end of this chapter includes examples of brochures and flyers that provided information about the proposed fare increase as well as meeting dates and locations.

#### *Metro Transit Advisory Group (MTAG)*

The Metro Transit Advisory Group (MTAG) is a voluntary citizens' advisory group established to work with Agency leadership and staff to increase public input on Agency decisions and improve public transit service in the St. Louis region.

MTAG members help provide a new channel of communication between customers and Metro management on issues relevant to the community. The group assists in further developing and maintaining a transit system that is convenient and dependable by providing feedback and recommendations on planning and implementation of services from the customer point of view. MTAG meets approximately once a month to provide focused feedback on a variety of topics, including service planning, public safety and security, transit marketing, and public communications. Members also serve on working groups to provide targeted feedback and prioritization for customer-focused topic areas.

MTAG membership is open to community members age 18 and older who reside within Metro's Service Area. The Metro Transit Advisory Group currently includes 22 members, most of whom are regular transit riders. Members were selected by Metro management based on a public application process with a focus on diversity in age, race, geographic location, transit ridership (both transit-dependent and choice riders, MetroBus, MetroLink or both), and relevant experience and interest in improving public transit service in St. Louis.

This group was formed in early 2012.

#### *Metro Access Advisory Group (MAAG)*

The Metro Access Advisory Group (MAAG) is a customer-focused advisory group created by Metro to assist the Agency in planning and operating transit services for the disabled community. The mission of MAAG is to establish an effective advisory process that will provide an ongoing mechanism for broad-based

participation to advocacy groups and individuals with disabilities in the continued development, assessment, and delivery of fixed route and paratransit services to people with disabilities in the region. MAAG goals and objectives are made available to group members and other interested community organizations, advocates, persons or entities that are encouraged to share their ideas and concerns at the organizational level.

#### Attachments

The following pages include copies of public notices for all public meetings over the past three years, as well as supplemental documents, flyers, and other materials providing more detail about these major community engagement efforts.

## **Metro Service Standards, Chapter 5: Service Change Process**

### **Public Participation Process**

Metro will provide a formal opportunity for the general public, elected officials, community representatives and transit users to learn about, review, question and comment on proposed major changes to the transit system. These sessions will be designed to operate primarily as a general open house to provide the greatest opportunity for a two-way dialogue on the details of proposed changes. The sessions will also be offered in multiple locations over extended hours to insure convenient opportunity for people working varying shifts to participate.

This strategy of preceding formal public hearings with more informative public meetings is meant to accomplish several objectives:

- To provide detailed route maps, schedules, and other information necessary for individual transit users to evaluate the impact of proposed changes.
- To provide opportunities for participants to discuss the detailed aspects of the plan with individuals responsible for the plan.
- To provide participants an opportunity to submit both written and oral comments to Metro planning and scheduling staff, at a variety of locations and times.
- To maximize the number of individuals, groups, and officials who have the opportunity to provide detailed comments on the proposed plans by offering extended comment hours and varied meeting locations.
- To ensure meaningful, two-way dialogue and facilitate follow-up by obtaining a telephone number, address, or email address from participants.
- To facilitate involvement from people unable to attend a public meeting by providing a telephone hotline, project website, and project email accounts.

To assure an effective public information forum, the forum must be designed to provide participants with a level of detail about a proposed change so that the impact of the change can be ascertained for individual customers. Metro has designed a six-step public information forum process in order to maximize participation in proposed service and fare changes.

1. Public notification process: Metro uses the following process to notify customers and regional residents of public information sessions and meetings:

- Metro advertises public meetings in general circulation dailies and at least one minority newspaper between two weeks and 30 days prior to the first public meeting. Advertisements include a general description of the plan or proposed changes.
- Metro posts detailed information about meetings and any proposed changes on the Agency's website between two weeks and 30 days prior to the meeting. If possible, the Agency also includes an explanation and rationale for any changes, proposed maps and schedules, and methods for providing comments, including a project-specific email address.
- Metro produces printed informational handouts that include meeting information and descriptions of proposed changes. These brochures are distributed on foot by Metro Ambassadors (employee volunteers) at various times and locations along the Metro System, no later than 2 weeks before the first meeting. Ambassadors continue to distribute brochures throughout the entire timeframe for each series of meetings. Brochures are also placed on Metro vehicles between two weeks and 30 days prior to the first meeting, and remain on the system until the final scheduled meeting. This distribution

system focuses on transit customers, but the Agency retains a supply of brochures to distribute to community partners, at other meetings, and by request.

- For all major service changes and fare changes, Metro sets up a telephone hotline dedicated to receiving customer comments on the proposed changes. This hotline is activated between two weeks and 30 days before the first meeting, and remains active between one to two weeks after the final meeting, before a final recommendation is prepared for the Board of Commissioners.
- Metro prepares formal press releases describing the proposed changes and promoting the public meetings. These press releases are distributed to all selected media at least one week before meetings begin.
- Metro also encourages public comment via regular U.S. mail.
- Comments are taken for two weeks following the public information sessions before a formal recommendation is presented to the Board of Commissioners.

## 2. Public meeting arrangements

- Multiple meeting locations and times are selected in order to ensure accessibility by public transportation and disabled individuals.
- Meeting locations should be chosen to maximize participation from diverse groups of residents, and at least one meeting should be held in the project study area or, for system-wide projects, in distinct subareas of each funding jurisdiction.
- Meeting hours shall be arranged to permit at least four hours of open house-style discussion time so people can come in and out as their schedule permits. Both midday and evening hours shall be provided, as appropriate for the specific project or program.
- Meetings shall be held in a large open meeting space without specific audience seating to promote individual dialogue.
- Tables shall be set up for multiple discussion areas. Each table will include maps, route descriptions, and draft schedules.
- Large display maps describing each proposed route change shall be set up in display style at each discussion area.
- A tables and chairs shall be arranged in a separate area for people to write comments, or to hold face-to-face meetings with planners to discuss propose changes.

## 3. Participant registration process

- Staffed by Operations support personnel and other departmental staff as needed.
- Each participant should be greeted individually.
- Registration staff insures the completion of a registration form for each participant in order to obtain addresses, telephone numbers, and/or email addresses for follow-up dialogue.
- Each participant should be offered a written handout describing the project or service change, as well as a comment form.
- Registration staff should direct participants with questions to the planning or operations staff with project-specific knowledge, or to generally describe the service or fare change.



- Individuals without specific interests are permitted to visit any of the staff. Individuals who elect not to register or comment are permitted to view all materials and to participate in any discussions.

#### 4. Active listening guidelines

Informational staff, including planners, schedulers, transit service supervisors, and management, shall staff each open house forum. A sufficient numbers of trained staff must be provided to ensure that large numbers of attendees may be helped individually without long delay.

- Information staff shall offer to describe the general and detailed service changes to each individual or group of individuals.
- Information staff shall provide copies of schedules, maps, and other information to each participant.
- Information staff shall listen to all complaints or comments. Information staff will ask follow-up questions about the concerns to make sure they understand the concern fully. If possible, staff shall describe alternative scenarios. All comments shall be documented in writing for future evaluation and follow-up.
- Participants who have not already submitted a written comment are encouraged to submit a written comment and include an address or telephone number before they leave.

#### 5. Materials and equipment

Metro shall bring materials to each public information session sufficient to educate participants about the proposed change. These materials shall include, at a minimum, the following:

- Maps of proposed route changes
- Draft timetables
- Current maps
- Current timetables
- Description and rationale for the changes.

#### 6. Follow-up process

The public information process is designed as a formal component of the planning process. Customer and community input obtained during the process is used as a central component in formulating the final recommendation and Board decision. The process used to summarize input includes:

- Registration forms sorted by concern and maintained as a permanent record.
- Follow-up meetings are scheduled with all involved staff to discuss public comments.
- Alternatives are discussed to address problems identified during the process.

- A written, modified plan is prepared for presentation to the Metro Board of Commissioners if required by the scope of changes.
- A final plan description is mailed, emailed, posted on the Internet, or otherwise made available to the general public and those attending the public meetings.
- Notices of Board meetings are posted on the Agency's website, and are open to the public.

In every case, Metro seeks to involve the broadest possible cross-section of the community, particularly those neighborhoods and populations that have experienced a historic pattern of disenfranchisement. The Agency actively reaches out to community leaders, institutions, and community organizations to co-sponsor meetings and to encourage participation by their constituents, members, and social networks. Metro also adopted a formal process for disseminating information and notifying the public about upcoming meetings.

## **Chapter 5:**

# **Construction Projects and Environmental Justice**

## Chapter 5: Construction Projects and Environmental Justice

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### 5.1 Summary narrative of construction projects, September 2012 – September 2015

Since the last submittal in 2012, Metro initiated several construction and infrastructure rehabilitation projects. Each of these projects required completion of a Categorical Exclusion environmental review checklist, pursuant to NEPA regulations.

#### *North County Transit Center*

In 2011, Metro successfully competed for Federal CMAQ funds to support planning and construction of a new MetroBus Transit Center in North St. Louis County. Over the past decade, Metro has been shifting its transit service strategy from the more traditional radial model to a hub-and-spoke system, which requires dedicated facilities for multimodal and multi-route connections. North St. Louis County hosts approximately 20% of the MetroBus System's ridership base, but Metro does not currently own a dedicated facility capable of acting as a sub-regional transfer point for North County bus routes. Phase I, which is fully funded, will support the conversion of a vacant automobile dealership into a new bus transfer center, including customer parking, passenger amenities, and light vehicle storage and maintenance. Phase II, which is not currently funded, would expand the transit center to include a bus storage garage and distribution point, in order to reduce deadhead travel costs and realize other operating efficiencies.

#### *Downtown Transit Center*

The transition to the hub-and-spoke system required a major transfer point in Downtown St. Louis, which still functions as the St. Louis region's primary employment, administrative, cultural, and entertainment hub. Downtown St. Louis contains six MetroLink Stations and is served by 19 MetroBus routes, including a Downtown circulator and five commuter express lines. It is also served by Madison County Transit. Most of these bus routes converge at the Civic Center Transit Center, which provides connections to other bus routes and MetroLink. In 2009, Metro truncated its local bus service through Downtown St. Louis in order to reduce service miles and operating costs, instead relying on MetroLink, the #99 Downtown Trolley, and the #40 Broadway for local service through Downtown. This change also heightened reliance on the Civic Center as the primary connection point in Downtown, but the current Transit Center lacks sufficient capacity to handle this increased demand. This capacity problem will be exacerbated if Metro's long-range plans for Bus Rapid Transit (BRT) service and light rail expansions successfully compete for Federal support. The Agency plans to expand the existing Civic Center Transit Center with additional bus bays and circulation space, in order to accommodate a "pulse" service strategy.

#### *Eads Bridge Rehabilitation*

In 2009, Metro was awarded Federal funding under the American Recovery and Reinvestment Act (ARRA) to support complete rehabilitation and repair of the Eads Bridge, which carries MetroLink and vehicular traffic over the Mississippi River between St. Louis, MO and St. Clair County, IL. The bridge was completed in 1874 and started carrying MetroLink in 1993, but the entire rail bed, track system, and various parts of the structure are outdated and need extensive repairs. This project will completely replace the rail track, ties, and track floor; install new crossover tracks on the east side of the bridge; thoroughly blast-clean the entire structure and apply a new coating of rust- and corrosion-proof paint; and support a range of other repairs.

*See Appendices 3-6 for Documented Categorical Exclusions for the above projects.*

## **Chapter 6:**

# **Service Standards**

## Chapter 6: Service Standards

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Metro's Board of Commissioners formally adopted service standards in December 2003. These service standards provide a policy framework for guiding decisions on the quality, quantity, and geographic distribution of existing and proposed transportation service. Metro's service standards have not been updated since its last Title VI Program (February 2009). However, the Agency intends to update its service standards over the next year.

Metro's service standards were established to provide a framework for consistent and fair evaluations of both existing and proposed services in all three of Metro's funding jurisdictions. They are intended to ensure equitable distribution of services, infrastructure, and amenities based on objective, data-driven performance measures such as ridership, population density, travel patterns, and cost-effectiveness. The service standards are also intended to provide a rationale for service planning, and to provide a basis for dialogue centered around meeting the needs of the Agency's customers and funding partners. The expectations of customers and partners shift with changes in market dynamics and transit customer travel needs. Metro must be responsive to changing expectations in order to retain riders, attract new riders, and sustain ridership growth. Unfortunately, these expectations often are not supported by public funding adequate to meet demand and provide new services.

Metro's service standards and its budget are intertwined. Metro's service standards set the quality and amount of transit service provided, which are decisive factors in determining how attractive the service is to consumers. In turn, the level of service provided and the resultant ridership levels directly affect its operating and capital budgets. Balancing customer expectations and budget constraints are difficult challenges. Metro's existing services must be continually monitored and modified to match service levels to demand and respond to opportunities for new or improved services.

Metro hopes to attain three broad goals through its pursuit of these service standards and implementation of associated objectives:

*Goal 1: Ensure the design of effective, efficient, and equitable transit service.*

- Design cost-effective service that supports existing and emergent origin-destination travel patterns.
- Enhance the principal bus and rail network to ensure critical regional mobility and ensure that all neighborhoods have appropriate access to Metro Services.
- Apply a cost-effectiveness standard while recognizing the special needs of various customer groups.
- Distribute services and amenities based on ridership, equity, and geographic balance.

*Goal 2: Provide a uniform and consistent methodology for planning, designing, and evaluating transit services and proposals within applicable laws and regulations.*

- Develop a consistent process for improving service in those areas with demonstrated or potential demand.
- Address customer and community requests and concerns in a consistent, fair and thorough manner by engaging local communities in the planning process.

- Formulate a defined service evaluation process that includes receiving, reviewing, screening, proposing, evaluating, recommending, and approving service changes.
- Evaluate and implement services and fares consistent with Title VI and the Americans with Disabilities Act (ADA) requirements.

*Goal 3: Provide mobility to our customers by responding to changing travel patterns and new market opportunities.*

- Encourage intermodal services and connections that maximize the trip-making options available to customers through an expanded, multi-centered transit network and regional expansion of the light rail network.
- Maximize trip-making options available to customers by promoting multi-operator coordination of service.
- Monitor the results of customer service and satisfaction surveys to support service changes that will improve Metro's overall performance.
- Develop sustainable service that supports the region's development plans and initiatives.

Many of Metro's service standards are determined by the type of service and the function each route plays as part of the larger Metro System. For both system-level and route-level planning and implementation of service standards, Metro assigns routes and services to one of several categories:

#### *Transit service types*

##### **MetroLink**

The MetroLink System consists of two light rail alignments, the Red Line and the Blue Line. The Red Line runs between Lambert International Airport in North St. Louis County and Scott Air Force Base in St. Clair County, passing through inner-ring suburban areas of Mid- and North-St. Louis County; the "Central Corridor" in St. Louis City; Downtown St. Louis; East St. Louis; and the Bellville-Swansea areas of St. Clair County. The Blue Line extends that system through inner-ring suburban neighborhoods of Mid- and near-South St. Louis County including Clayton, the region's second Central Business District. Together, these two alignments serve 37 stations along 46 miles of track, and form the primary east-west transit corridor in St. Louis. MetroLink Stations also serve as intermodal transit hubs for the MetroBus System. Most of Metro's customers use both rail and bus services.

##### **MetroBus**

The MetroBus System generally consists of three route types: "principal," "support," and "express" routes.

- Principal routes are the backbone of the MetroBus System, and tend to operate along major travel corridors in mixed-use neighborhoods. They include the most productive bus routes and provide the most extensive geographic and span of day coverage. Three-quarters of all trips in the Metro System include bus travel, and principal bus routes provide more than half of all MetroBus rides.
- Support routes supplement the rail and principal bus network by providing a variety of specialized functions that enhance the quality of service and improve market share. Support routes often provide neighborhood feeder services for principal routes and MetroLink Stations.
- Express routes provide one-way, peak-hour commuter service in areas lacking convenient MetroLink service.



## Paratransit

Metro's Call-A-Ride (CAR) paratransit program was initiated in 1987 to serve the lowest-density suburban communities of St. Louis County where fixed route service was very limited or non-existent. Call-A-Ride service is available for ADA-eligible individuals making ADA-approved trips within three-quarters of a mile of a MetroBus route or MetroLink Station. CAR service is also available to the general public in St. Louis City and St. Louis County, but only at a much higher, market-based fare.

## Special event services

Metro provides additional bus and/or rail service on regularly scheduled routes for some of the region's many special events in order to help reduce traffic congestion. These services are temporary, and have atypical operating characteristics; they may not follow regular service guidelines. Examples of special services include Mardi Gras Shuttle, Fair St. Louis Shuttles, and the Red Bird Express.

## Niche market services

Niche market services have been tied more to special events in the past, but due to financial constraints, this service will become more prevalent in other markets. The relocation of employment centers to the far reaches of Metro's Service Area will require Metro to develop a response to demonstrated needs for specialized transit services. These services will be open to the public and may include modifications to existing bus routes, or new routes for shift changes and other work purposes. Services may also be tailored for large employment centers, universities, high schools, medical centers, sports venues, industrial parks, and other large traffic generators.

In some instances, Metro will enter into a financial partnership with organizations, such as museums, not-for-profit agencies, local governments, and businesses to provide these niche market services. In these agreements, the partnering organization provides a subsidy that, in combination with the projected customer revenue, will meet marginal or fully-loaded costs for a particular service.

## Productivity standards

Classification of route and service types also depends upon ridership and route productivity, particularly when distinguishing between Principal and Support bus routes. Transit service productivity is normally evaluated in terms of passengers per mile, passengers per hour, passengers per trip, and cost or deficit per passenger. Routes that rank below the productivity standard for the particular type of service are candidates for modification or restructuring. Routes that rank only 75% of the minimum standard are candidates for elimination. The table below summarizes route productivity standards.

**Table 7: Minimum Performance Standards**

Type Of Service	Minimum Standard	75% of Minimum Standard
Principal Routes	30 Passengers per Hour	22.5
Support Routes	20 Passengers Per Hour	15.0
Express Routes	18 Passengers Per Trip	13.5

Paratransit	2.0 passengers per Hour	1.5
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Metro's performance standards apply to all established routes. New or significantly restructured routes are permitted a development period of at least 24 months to achieve projected ridership and performance standard.

If the minimum standard on a new or restructured route is not achieved within 18 months, service should be reviewed and corrective action should be taken on the route. A route should reach its potential after 24 months. At that point, if a route fails to achieve the expected level of development, corrective action should be considered. However, it is important that such factors as transit need and general trends in ridership must be considered in conjunction with performance measures when route discontinuance appears necessary.

Metro's funding partners may request that Metro continue the operation of any route that fails to meet the Agency's performance standard. However, the requesting funding jurisdiction will need to provide special funding for such service in the event there is insufficient public subsidy to continue operating the route in a cost-effective manner. More information on this subject is provided in Chapter 7: Service Policies.

#### *Service Area coverage and route spacing*

Metro's standard for service area coverage stipulates that at least 90% of residents in a community reside within a prescribed walking distance to bus or rail service. Neighborhoods with a high transit need justify closer route spacing or shorter walking distances between bus routes than neighborhoods with a lower transit need. Transit need is determined by a calculated index that represents a neighborhood's relative need for transit based upon demographic characteristics including population density, minority population, median household income, automobile availability, and population over 65. See Chapter 2: Service Area Demographic Profile for more information about the TNI.

There is no specified route spacing standard for areas of low transit need. These neighborhoods are considered to have transit service if at least 90% of the residents have access to an automobile in order to access a Metro Park-Ride Lot or Metrolink Station.

**Table 8: Route Spacing Standards for Transit Need Index Categories**

Transit Need Index Category	Route Spacing for 90 % of Population
Very High	1/2 mile spacing (1/4 mile walking distance)
High	1/2 mile spacing (1/4 mile walking distance)
Moderate	1 mile spacing (1/2 mile walking distance)
Low	No Standard

There are certain instances when the coverage standard cannot be rigidly followed. These include the following:

- Topographical and street network restrictions that cause gaps in service.

- MetroBus service may be shared with Call-A-Ride service due to low density and inconsistent route spacing.
- Land use policies are inconsistent with the road system, or topography will not allow restructuring of existing bus service without disenfranchising current customers.

Metro shall conduct a route coverage analysis as an integral component when planning and analyzing proposed route changes to ensure consistent and equitable treatment between low- and high-transit need communities.

#### *Span of service hours*

Metro established standards for the span of hours each day that the system will operate passenger service. These standards are driven by need, customer demand, and budgetary considerations, as well as the primary objective of each service or route. For example, Metro may design its system-wide schedule to accommodate work shifts starting at 6:00am, or lasting until 11:00pm. This policy objective would require MetroLink and principal MetroBus routes to being operating as early as 4:45am and to run as late as 1:00am.

Metro determines span of service by service and route type to further aid in evaluations of service quality and equitability. While some exceptions may be justified based upon local context, the service hours by route type are designed to meet the following objectives:

- MetroLink:
  - Weekday schedules are designed so the first and last end-to-end trip will serve work shifts beginning no earlier than 6:00 am and end no later than 11:00 pm. Service as late as midnight serving Lambert Airport is permissible to serve flights arriving as late as 11:00 pm. This standard generally requires some trains start service as early as 4:15 am and end as late at 1:30 am.
  - Weekend MetroLink (Saturday, Sunday and Holiday) service is designed so that the first and last end to end trips will serve work shifts beginning no earlier than 7:00 am and end no later than 11:00 pm. Service to Lambert Airport may operate as late as midnight.
- Principal MetroBus routes: Similar to MetroLink, weekday transit schedules are designed to serve work shifts no earlier than 6:00 am and ending no later than 11:00 pm. This objective may necessitate bus trips as early as 4:30 am and ending as late as 1:30 pm to make connections with MetroLink or other principal MetroBus routes. The policy hours for weekend service are designed to serve shifts beginning no earlier than 7:00am and ending no later than 11:00pm.
- Support MetroBus routes: Weekday service will generally operate between 5:00am and 6:30pm. Night and weekend service is not required on support routes, but may be permissible based upon demand or operating support from funding jurisdictions or community partners.
- Express MetroBus routes: Express routes are designed to serve work shifts beginning no earlier than 7:00am and no later than 9:00am. Return trips will start no earlier than 3:30pm and operate no later than 6:00pm on weekdays only. Night and weekend service are not required. The minimum service that Metro will operate on any express route is three morning trips and three evening trips per weekday.

- Paratransit: ADA Call-A-Ride service must be provided during the same hours, days, and areas operated by MetroBus or MetroLink. Non-ADA paratransit service is available from 4:00am until midnight on weekdays and 6:00am to 10:00pm on weekends.

Metro shall operate its services as specified by the span of hour's policy unless the productivity of a route is substantially below standard for the hours of service. When productivity is below standard, Metro will consider service elimination or modification.

Extension of service beyond the designated span of service policy is considered when:

- The hour immediately before the end of the current service or after the beginning of the current service shows productivity levels greater than the average system productivity (bus or rail).
- New or revised employee shift changes or extension of business hours create a substantial demand for service.

### *Frequency of service*

Service frequency (or headways) refers to the scheduled amount of time between consecutive trips on a transit route. Establishing minimum headways ensures that individual routes operate at frequencies that are appropriate to the type of service offered and known ridership demand.

Metro transit service should operate no more frequently than the policy headway unless the frequency is insufficient to prevent violation of the passenger load standard (described below). As an example, Metro would operate MetroLink in the peak period no more frequently than every 15 minutes, unless that frequency would be insufficient to prevent significant overloading of the rail vehicles during that peak period.

**Table 9: Minimum Policy Headways**

	Weekday	Weekday	Weekday	Saturday	Saturday	Sunday	Sunday
Route type	Peak	Off Peak	Evening	Day	Evening	Day	Evening
MetroLink	15	20	30	30	30	30	30
Principal Route	30	30	60	30	60	30	60
Support Route	30	60	None	None	None	None	None
Express/shuttle	30	None	None	None	None	None	None
Call-A-Ride	Demand	Demand	Demand	Demand	Demand	Demand	Demand

### *Passenger loads*

The passenger load standard specifies the maximum load the agency is willing to accept on its vehicles during a particular time of day. The passenger load ratio is calculated by totaling the number of passengers on board a vehicle during a specified period of time at the maximum load location, divided by the total seating capacity of that particular bus or train. The maximum load location is the bus stop or rail station at which the vehicle is carrying the highest number of riders on each trip. The maximum load standards

and vehicle capacity determine the size and number of vehicles scheduled on each route at a particular time of day, in order to ensure that the maximum passenger load ratio is not exceeded.

The passenger load standards are designed to balance passenger comfort and economic efficiency. Extreme overcrowding can be a very negative factor in retaining or expanding ridership, but providing a seat for every person at all times of the day is not economically feasible for any transit system. The table below summarizes Metro's passenger load standards by type of service and time of day:

**Table 10: Percentage of Seated Capacity of Vehicles**

Time Period	Flex	Express/Shuttle	MetroBus	MetroLink	ML Special
Peak Hour	100 %	100 %	125 %	150 %	200 %
Midday	100 %	100 %	100 %	100 %	200 %
Evening	100 %	100 %	100 %	100 %	200 %

#### *On-time performance standard*

For fixed-schedule services like MetroBus and MetroLink, service is considered to be "on time" as long as the vehicle arrives at an established time point less than five minutes later than the scheduled arrival time, and leaves 59 seconds or less ahead of the scheduled departure time. Trips arriving at a time point five minutes late or more are classified as "late," and trips leaving a time point a minute or more ahead of schedule are classified as "early." Vehicles may arrive at a time point up to three minutes before the scheduled departure time and still be considered "on time" so long as the vehicle does not depart early. Call-A-Ride service is defined as "on time" so long as the vehicle arrives within 20 minutes of the scheduled arrival time.

The table below summarizes the target standards for on-time performance by service type:

**Table 11: On-Time Performance Standard by Transit Service Type**

Route Type	On Time Performance Percentage Standard
MetroBus	90%
MetroLink	95%
Paratransit	90%

Metro shall prepare a detailed running time analysis of each route a minimum of once per year. As additional Automatic Passenger Counter (APC) equipment is acquired, Metro will conduct this evaluation twice each year. In order to maintain driver and supervisor participation and engage their specific, contextual knowledge, on-time performance studies for each route should be made available at the operating facilities. Quarterly meetings should be scheduled to obtain driver and supervisor input on schedule difficulties. Adjustments to schedules based upon special studies or driver and supervisor suggestions should be implemented through the Agency's scheduled quarterly service changes.

The table on the following page displays on-time performance for all MetroBus and MetroLink fixed routes with minority routes highlighted in red and non-minority routes displayed in grey. Compared to the target standards for on-time performance for MetroBus and MetroLink on-time performance is generally high.

**Table 12: On-Time Performance for Minority and Non-Minority Routes for Fiscal Year 2015**

Minority Routes: Fiscal Year 2015 On-Time Performance					
Route Name	OTP	Minority Route	Route Name	OTP	Minority Route
#1 Gold	91%	Yes	#74 Florissant	93%	Yes
#2 Red	91%	Yes	#75 Lilac Hanley	90%	Yes
#3 Forest Park Trolley	92%	No	#80 Park Shaw	98%	Yes
#4 Natural Bridge	94%	Yes	#90 Hampton	88%	Yes
#8 Bates Morganford	97%	Yes	#91 Olive	91%	Yes
#10 Gravois Lindell	91%	Yes	#94 Page	92%	Yes
#11 Chippewa	91%	Yes	#95 Kingshighway	89%	Yes
#13 Union	93%	Yes	#97 Delmar	89%	Yes
#14 Botanical Garden	95%	Yes	#98 Chesterfield-Hanley	90%	No
#16 City Limits	87%	Yes	#99 Downtown Trolley	94%	Yes
#17 Oakville	91%	No	#1 Main Street - State Street	92%	Yes
#18 Taylor	94%	Yes	#2 Cahokia	90%	Yes
#21 Watson Rd.	96%	No	#4 19th & Central - ML King	98%	Yes
#27 North County Shuttle	94%	Yes	#6 Rosemont - Fairmont City	97%	Yes
#30 Soulard	90%	Yes	#8 Alta Sita	98%	Yes
#32 M L King Chouteau	92%	Yes	#9 Washington Park	98%	Yes
#33 Dorsett-Lackland	91%	Yes	#12 O'Fallon - Fairview Heights	94%	No
#34 Earth City	94%	No	#13 Caseyville - Marybelle	98%	Yes
#35 Rock Road	89%	Yes	#14 Memorial Hosp - Westfield Plaza	95%	Yes
#36 Spanish Lake	96%	Yes	#15 Belleville - Shiloh Scott	97%	No
#40 Broadway	89%	Yes	#16 St Clair Square	92%	Yes
#41 Lee	93%	Yes	#17 Carlyle Plaza - 17th Street	94%	Yes
#42 Sarah	89%	Yes	#21 Scott AFB - Main Base Shuttle	95%	No
#44 Hazelwood	91%	Yes	MetroLink	97%	Yes
#45 Ferguson-Florissant	89%	Yes	#36X Bissell Hills Express	93%	Yes
#46 Tesson Ferry	95%	No	#40X I-55 Express	95%	No
#47 North Hanley	89%	Yes	#57X Clayton Rd	84%	No
#48 South Lindbergh	92%	No	#58X Twin Oaks Express	93%	No
#49 North Lindbergh	91%	Yes	#110 Affton	98%	No
#56 Kirkwood-Webster	96%	No	#158 Ballas-West County	95%	No
#57 Maplewood-Wildwood	91%	No	#174X Halls Ferry Express	94%	Yes
#58 Clayton-Ballas	93%	No	#210 Fenton Gravois Bluffs	92%	No
#59 Dogtown	96%	Yes	#258 Clayton-Chesterfield	93%	No
#61 Chambers Road	90%	Yes	#410X Eureka Express	94%	No
#64 Lucas Hunt	90%	Yes	#2X Waterloo - Columbia	95%	No
#66 Clayton Airport	95%	Yes	#17X Lebanon - Mascoutah	93%	No
#68 Big Bend	97%	No	#21X Scott AFB - East Base Shuttle	N/A	No
#70 Grand	88%	Yes	Green Line	N/A	Yes
#73 Carondelet	92%	Yes			

DEFINITIONS: Predominately Minority Areas = Block groups where the minority population exceeds the minority population ratios for the (3) County Transit Service Area at 37.6%. Predominately Minority Transit Routes = Transit routes where 33% of geographic route miles travel within 1/8 mile of minority areas. Minority routes are highlighted in red in the table above.

SOURCES: 2008-2013 (5) Year American Community Survey Estimates, US Census Bureau; Metro.

### Farebox recovery

It is recommended that Metro adjust its fares on a regular basis in order to maintain a farebox recovery rate of no less than 20% of system-wide operating costs. If farebox recovery is projected to drop below

22% of operating costs for the upcoming fiscal year, Metro should consider a fare increase that will ensure maintenance of this standard.

If the Agency is able to increase its average annual percentage of farebox recovery through increased ridership or increased fares, the minimum standard for farebox recovery could be increased to the higher level. For example, if a new MetroLink alignment or other high-capacity transit service were to increase system-wide farebox recovery to 25% that increased recovery ratio would become the new system-wide standard.

The farebox recovery standard should be reconsidered on an annual basis as part of the budget process. This evaluation shall consider all fare policy options that are necessary to maintain the preceding year's fare box recovery ratio with a preference toward those strategy that minimize lost ridership.

For fiscal year 2015 the farebox recovery for the system was approximately 20% with MetroBus at 20% and MetroLink at 24%. Since farebox recovery has dropped below the standard policy, a fare increase is projected in the upcoming year.

#### *Connectivity standard*

In 2000 and 2001, Metro adopted a new 'hub-and-spoke' strategy for planning a more effective multimodal transit system. This strategy emphasizes moving away from very long, corridor-based bus routes to a system of shorter, neighborhood-serving collector routes converging on MetroLink Stations and MetroBus Transit Centers, where customers can then transfer to direct, high-frequency connections to regional employment centers and other high-demand destinations. Now, most customers use both bus and rail for their daily commute, which has increased the importance of connectivity as a system-wide service standard. For passengers making single trips on MetroLink or a MetroBus route, on-time performance will generally be the single most importation performance measure impacting the customer's perception of service quality. For the many customers who make transfers, however, scheduled connectivity may be even more important than on-time performance. Connectivity is best measured quantitatively as the amount of wait time between vehicle trips.

The following table summarizes connectivity standards for intermodal transfers and bus-to-bus transfers, depending on the frequency of service:

**Table 13: Connectivity Standards**

From Service	To Service	Frequency of service	Connectivity Standard
MetroBus	MetroBus	45 to 60 minutes	Minimum standard-- No Wait Timed Connection
MetroBus	MetroBus	30 minutes	Optimal standard-- No wait, timed connection
MetroBus	MetroBus	30 minutes	Minimum standard-- No more than ½ headway wait
MetroBus	MetroBus	More frequent than 30 minutes	Minimum standard -- ½ half the headway
MetroBus	MetroLink	30 minute bus frequency	Optimal Standard – No wait, timed transfer
MetroLink	MetroBus	45 to 60 minute bus frequency	Minimum standard – No wait, timed connection
MetroLink	MetroBus	30 Minute bus Frequency	Minimum Standard – No more than ½ headway



MetroLink	MetroBus	More frequent than 30 minutes	Minimum Standard – No more than ½ headway
MetroLink	MetroLink	All frequencies	Minimum Standard – No more than ½ headway

For non-terminating routes or routes where there is no mid-route wait time, Metro will design the MetroBus schedule to meet the predominant flow of passengers. For example, if the primary flow of passengers for morning peak trips is toward Downtown St. Louis, the bus arrival will be scheduled to ensure that morning trips arrive prior to the departure of the train operating toward downtown. Less priority will be placed on designing a schedule to meet the schedule for trains departing downtown in the morning. The first and last of each day's MetroBus trips serving MetroLink Stations should be scheduled to meet both directions of travel on the train if at all possible.

Metro's ultimate objective will be to schedule 90% of all connections at MetroLink Stations and MetroBus transfers to meet the standards displayed above.

Metro's Service Standards are data-driven, quantitative measurements that help ensure Metro's service planning decisions are neutral to race and socioeconomic class. However, routes that serve predominantly minority or low-income areas, or that have high minority and/or low-income ridership, may qualify for additional protection from elimination; see the section on "Safety Net" rating in Chapter

7: Service Policies.

# **Chapter 7:**

## **Service Policies**

## Chapter 7: Service Policies

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Metro's system-wide service policies on the equitable distribution of transit infrastructure, vehicles, and passenger amenities have not changed since submission of its last Title VI Program (October 2015). However, the Agency does intend to update its service standards and service policies over the next year.

### 7.1 System planning and monitoring

Metro's Planning and System Development Division will monitor a subset of routes every year to assess attainment of service standards. Planners will use the tools listed below to identify candidate routes for modification, elimination, or restructuring. These modifications may include changes to routes, schedules, or both. Routes modified under this process should be monitored six months later to determine attainment of service standards and assess the need for further adjustments.

Standard planning and research tools:

- Farebox passenger count summary
- Average daily ridership by route
- Performance evaluation summary
- APC passenger count summaries

#### *"Safety Net" service rating*

Metro's goals for efficient use of limited resources cannot avoid social or political realities.

Considerations of fiscal responsibility and the need for operational efficiency must be balanced with Metro's regional mission to provide mobility for the elderly and transit dependent. By maintaining and adhering to performance standards, Metro will be able to demonstrate community needs in order to justify Agency decisions or to request additional resources from regional civic and political leadership.

"Safety net"-rated service is connected to the concept of service equity. A route is considered for "safety net" rating status only when it serves neighborhoods rating very high on the Transit Need Index, but demonstrates poor performance relative to peer routes. Routes classified as "safety net" may receive an additional 12 months to reach full potential before being considered for corrective actions, which may include elimination.

### 7.2 Distribution of transit infrastructure, vehicles, and passenger amenities

The Agency plans the equitable distribution of transit facilities and passenger amenities according to the following guidelines for each resource type:

*MetroLink alignments:* Rail alignments are determined by lengthy Alternatives Analyses pursuant to NEPA requirements. Potential future alignments have been identified by Metro's Moving Transit Forward Long-Range Plan and Major Transportation Investment Analyses previously undertaken by the St. Louis region's Metropolitan Planning Organization.

*MetroLink Stations:* The distribution of existing stations is equitable. The MetroLink System consists of two alignments serving 37 stations along 46 miles of track. Only 12 of the 37 stations serve predominantly non-minority neighborhoods. Four of these stations in St. Clair County primarily serve significant employment centers, including one US Air Force Base and a large community college. Eight of the stations along the Red Line in St. Louis County serve mostly non-minority neighborhoods, but they

also provide access to educational facilities and large employment centers for reverse commuters, including minority and low-income residents.

*Light rail vehicles:* Metro distributes its light rail vehicles equally on both alignments throughout the MetroLink System. All light rail vehicles are stored, maintained, and dispatched from the same garage, so there is no difference in the provision of vehicles by age, features, amenities, or overall quality. All MetroLink Stations and light rail vehicles are ADA-accessible.

*Lift-equipped buses* are used in fixed-route service during all periods and are 100% accessible. All of Metro's current bus fleet and paratransit vans are equipped with lifts.

*Automatic Vehicle Locators (AVL) and Automatic Passenger Counters (APC):* Metro installed automatic passenger counting equipment on all 87 MetroLink light rail vehicles to monitor peak loads and calculate total passenger boarding.

The current MetroBus fleet consists of 391 vehicles. This fleet is housed, maintained, and dispatched from three facilities: the DeBaliviere Garage in St. Louis City, MO; Brentwood Garage in St. Louis County, MO; and the Illinois Bus Garage in East St. Louis, IL. All of the regular revenue vehicle fleet is currently equipped with Automatic Vehicle Locating (AVL) equipment that allows Metro to track their location and on-time performance in real time.

Since each bus in the regular revenue vehicle fleet is equipped with AVL, there is no disparate treatment of minority or low-income populations. Metro uses AVL data to push real-time bus arrival information to customers with the Metro On the Go application, which is a smart phone application. The Trip Planner section of the Metro website also allows a passenger to examine when to expect a bus using the Real Time Map option.

*Vehicle Assignment:* Vehicle assignment refers to the allocation of transit vehicles to ensure that all communities receive the same quality of rolling stock benefits. These benefits include the vehicle age and on-board amenities. Metro buses differ primarily by length of vehicle and age. Amenities such as air conditioning and upholstery are standard. The length of the vehicle is determined by the ridership load and type of service, leaving age as the primary variable to consider in equitable vehicle assignments. Metro's average fleet age at the time of this submission is 8.17 years. The age of the fleet varies by garage with the average age of Illinois bus garage vehicles at 9.75 years, Brentwood bus garage at 8.83, and DeBaliviere bus garage at 7.11 years; the DeBaliviere bus garage is home to 47% of the MetroBus fleet. In order to ensure equitable distribution of vehicles based on vehicle age, each route is randomly assigned buses without regard to vehicle age, as maintenance and repair needs permit. The one exception is for Route #70 Grand which features 60-foot articulated, refurbished buses for higher ridership trips.

While it is Metro's policy to consistently monitor and enforce the Board policy on vehicle loads, Metro uses AVL and field testing to conduct special analyses comparing peak loads to ensure there is no systematic "overloading" of minority routes compared to routes that are non-minority.

*Bus benches and shelters:* The Metro System contains two types of shelters. Metro owns non-advertising shelters and distributes them throughout its Service Area according to ridership demand; route transfer activity; and proximity to activity centers such as jobs, higher-density apartment buildings, hospitals, nursing homes, and other health and social services. Metro also distributes bus

shelters at major hubs, transit centers, and rail stations. However, Metro's internal bus shelter program has been limited for years due to funding constraints.

Metro also contracts with a private bus shelter company that installs revenue shelters throughout the system. This company targets locations with high pedestrian and vehicular traffic, and works with Metro Service Planners to locate shelters. Shelter distribution was assessed by plotting bus shelter locations on maps of Missouri and Illinois, then comparing their locations with the distribution of minority population by census block group. Bus shelter distribution is in compliance with the goals of Title VI.

Over the past three years, Metro has continued to implement a bus stop upgrade program with funds received from two Federal grant programs, New Freedom grant from 2011 and Surface Transportation Program's Transportation Enhancement (STP-E) grant from 2010. The two Federal grant programs have been used to bring approximately 162 bus stops into ADA compliance, including concrete pads, minimum circulation space, and benches. One of those grant programs will also support shelters at approximately 20 major stops. The planning process used to identify bus stops for improvement is similar to the process for choosing shelter locations; bus bench distribution is in compliance with the goals of Title VI.

Three maps are included in the attachment section to the chapter. One map displays the current distribution of amenities from the most recent August 31<sup>st</sup>, 2015 service change. Several other maps document the progress with implementing bus stop improvements funded by the Surface Transportation Program's Transportation Enhancement grant from 2010 and the New Freedom Grant application from 2011. A total of 110 bus stops were enhanced with the Surface Transportation Program funds on route #74 Florissant, which ranked as the fourth highest MetroBus ridership route for fiscal year 2015. Route #74 Florissant is classified as a minority route with 99% of route miles located within "predominantly minority areas." A total of 52 bus stops were enhanced with the New Freedom Grant on route #70 Grand, which ranks continuously as the highest ridership MetroBus route. Route #70 is also classified as a minority route with 98% of route miles located within "predominantly minority areas." The bus stop improvements funded by the New Freedom and STP-E grants are not limited to the #70 Grand and #74 Florissant MetroBus routes since stops are shared with other routes.

The New Freedom funded bus stop improvements along Route #70 Grand have also benefited the following routes: #4 Natural Bridge (1 stop), #8 Bates-Morganford (2 stops), #40 Broadway (4 stops), #41 Lee (2), #73 Carondelet (7 stops), #80 Park-Shaw (1 stop), #58X Twin Oaks Express (3 stops), #410X Eureka Express (3 stops).

The STP-E funded bus stop improvements along Route #74 Florissant have also benefited the following routes: #13 Union (2 stops), #18 Taylor (2 stops), #36 Spanish Lake (2 stops), #42 Sarah (5 stops), #44 Hazelwood (2 stops), #45 Ferguson-Florissant (2 stops), #75 Lilac-Hanley (2 stops), and #95 Kingshighway (6 stops). In Downtown St. Louis the #74 shares improved bus stops with the following routes: #32 MLK – Chouteau (7 stops), #41 Lee (5 stops), #94 Page (1 stops), and #97 Delmar (1 stops).

Table 14 and Table 15 are provided in the attachments with the name of each bus stop improved by both Federal grants.

When Metro engaged the regional community in shaping the Moving Transit Forward Long-Range Plan, one of the strategies identified as a priority by participants was upgrading the Metro's System's

passenger amenities, in order to make the system more accessible, comfortable, and easier to navigate. Over the next year, Metro will establish a formal passenger amenities program that includes evaluation criteria to match existing conditions with the appropriate package of investments, and to ensure equitable distribution of amenities throughout the Service Area.

#### Attachments

The following pages contain copies of Metro's long-range planning for improved passenger amenities; implemented projects; and a summary of the process the Agency uses to ensure fair distribution of amenities throughout the Metro System.

Figure 11: Metro Facilities Map

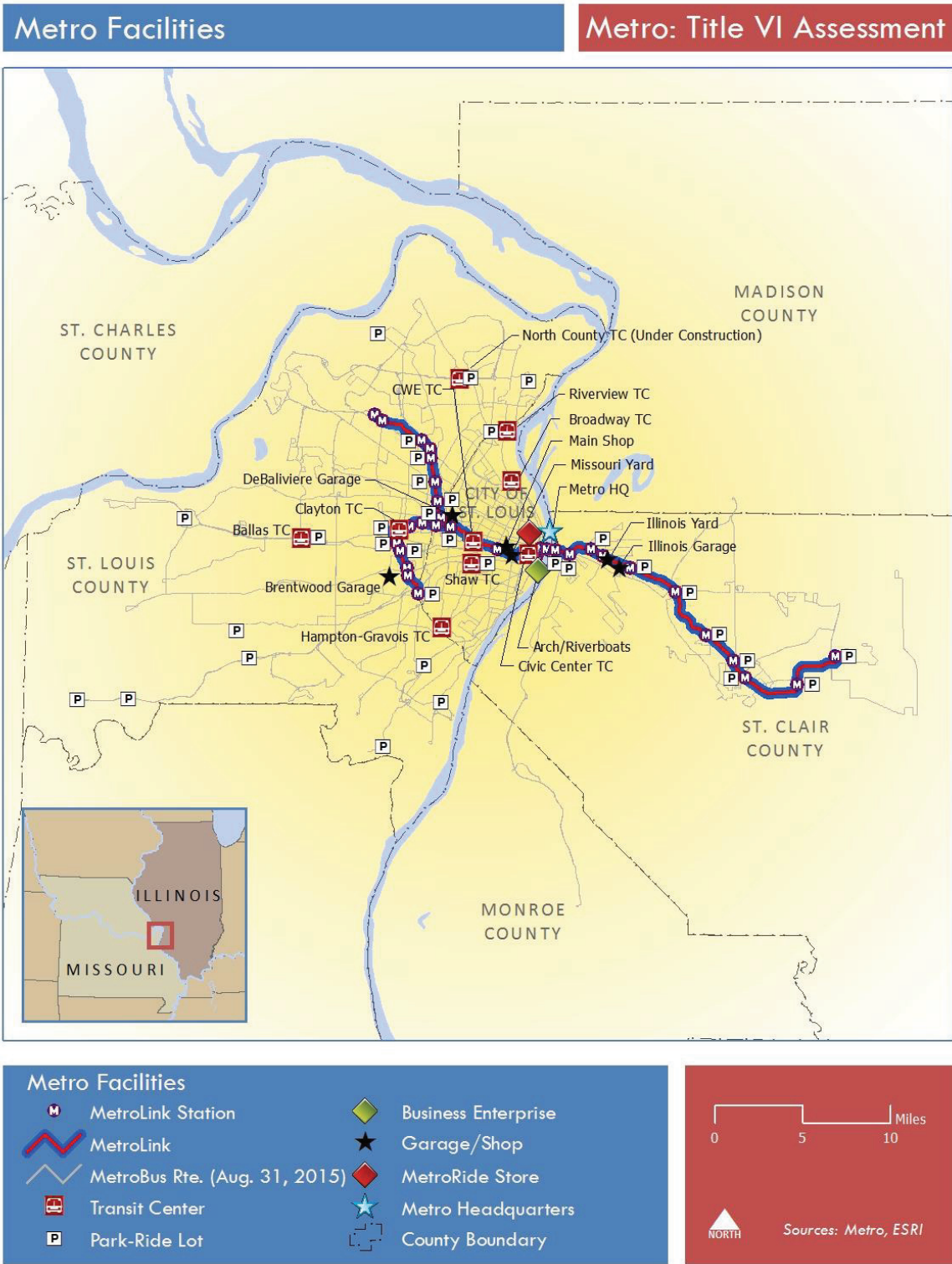


Figure 12: All Improved MetroBus Stops (2013-2015) Map

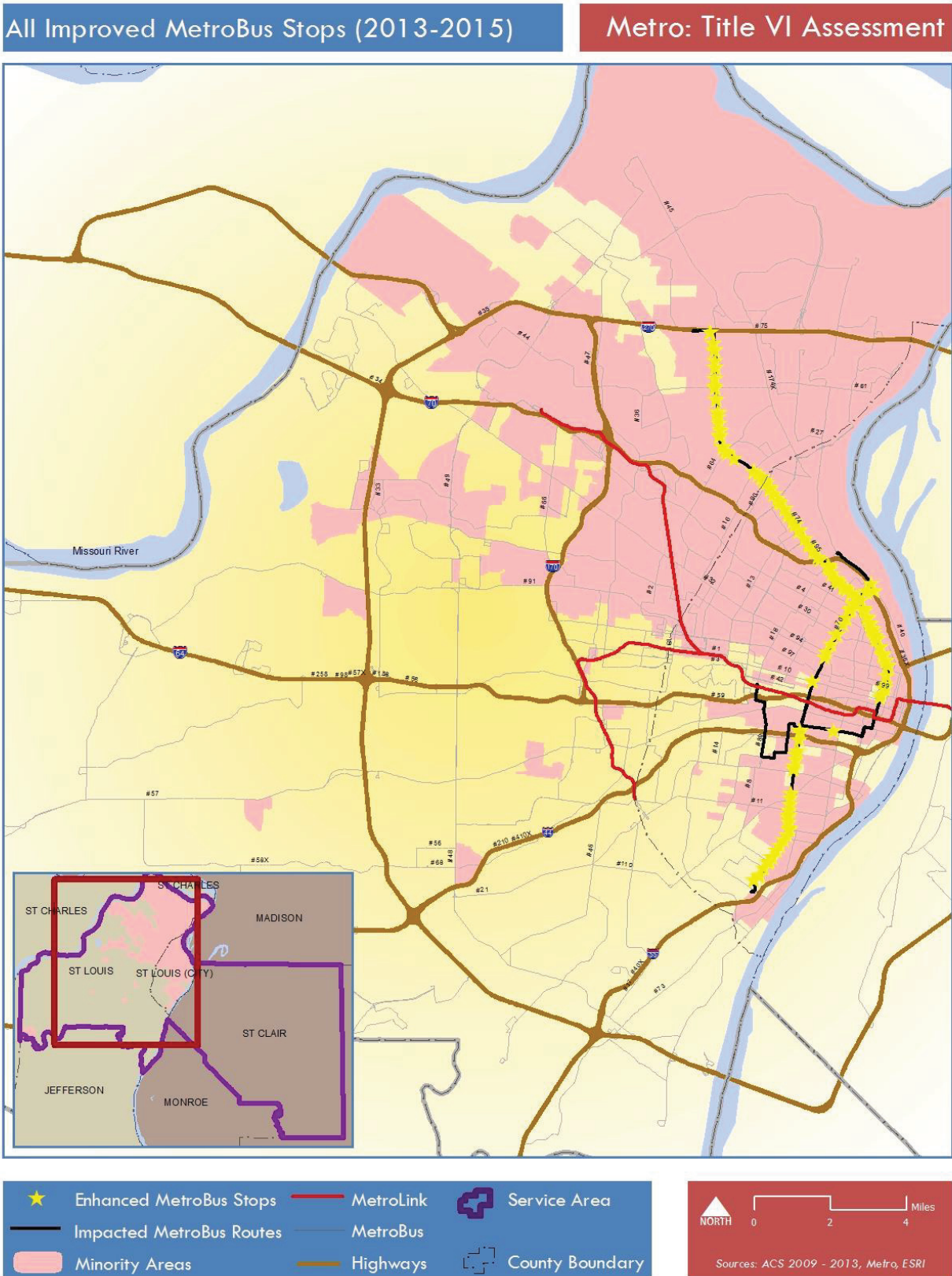




Table 14: New Freedom Improved MetroBus Stops (2013-2015)

New Freedom Improved MetroBus Stops (2013 - 2015)			
Stopid	MetroBus Stop Name	Stopid	MetroBus Stop Name
6426	BROADWAY @ GRAND SB-FS	9022	GRAND @ KLOCKE NB-NS
4167	BROADWAY @ JOHN NB-FS	4159	GRAND @ KOSSUTH NB-NS
15524	GRAND @ ALBERTA SB-NS	4050	GRAND @ KOSSUTH SB-NS
9013	GRAND @ BATES NB-FS	4070	GRAND @ LINDELL SB-NS
8884	GRAND @ BATES SB-FS	4124	GRAND @ LONGFELLOW NB-NS
4080	GRAND @ BLAINE SB-FS	4128	GRAND @ MCREE NB-NS
4166	GRAND @ BLAIR NB-NS	4097	GRAND @ MERAMEC SB-FS
4045	GRAND @ BLAIR SB-FS	9023	GRAND @ MONTANA NB-NS
4061	GRAND @ CASS SB-NS	8874	GRAND @ MONTANA SB-NS
9027	GRAND @ CHIPPEWA SB-FS	4157	GRAND @ NATURAL BRIDGE NB-FS
4089	GRAND @ CRITTENDEN SB-NS	4053	GRAND @ NATURAL BRIDGE SB-NS
9017	GRAND @ DELOR NB-FS	4163	GRAND @ NORTH FLORISSANT NB-FS
8881	GRAND @ DELOR SB-NS	4149	GRAND @ NORTH MARKET NB-FS
4146	GRAND @ DR ML KING NB-NS	9020	GRAND @ OSCEOLA NB-MB
9015	GRAND @ EICHELBERGER NB-NS	4161	GRAND @ PENROSE NB-NS
8883	GRAND @ EICHELBERGER SB-NS	4049	GRAND @ PENROSE SB-NS
4094	GRAND @ FAIRVIEW SB-FS	4127	GRAND @ SHAW NB-NS
4096	GRAND @ GRAVOIS SB-NS	4086	GRAND @ SHENANDOAH SB-FS
4120	GRAND @ HALLIDAY NB-NS	4121	GRAND @ SIDNEY NB-NS
4156	GRAND @ HEBERT NB-NS	4151	GRAND @ ST LOUIS NB-NS
8856	GRAND @ HOLLY HILLS NB-NS	4057	GRAND @ ST LOUIS SB-NS
8889	GRAND @ HOLLY HILLS SB-FS	9019	GRAND @ TAFT NB-FS
9082	GRAND @ IRON NB-NS	8886	GRAND @ WILMINGTON SB-NS
8888	GRAND @ IRON SB-MB	9028	GRAND @ WINNEBAGO NB-FS
8880	GRAND @ ITASKA SB-NS	9109	NATURAL BRIDGE @ GRAND WB-FS
9026	GRAND @ KEOKUK NB-NS	3487	PARK @ OHIO EB-NS



Table 15: STP-E Improved MetroBus Stops (2013-2015)

STP-E Improved MetroBus Stops (2013 - 2015)			
Stopid	MetroBus Stop Name	Stopid	MetroBus Stop Name
7010	14TH STREET @ COLE NB-NS	3705	WEST FLORISSANT @ FERGUSON SB-NS
8528	14TH STREET @ COLE SB-NS	3531	WEST FLORISSANT @ GAND NB-NS
14824	14TH STREET @ DR ML KING NB-NS	3786	WEST FLORISSANT @ GAND SB-NS
14825	14TH STREET @ DR ML KING SB-FS	3560	WEST FLORISSANT @ GOODFELLOW NB-NS
1579	14TH STREET @ LOCUST SB-NS	3754	WEST FLORISSANT @ GOODFELLOW SB-FS
15867	14TH STREET @ OFALLON NB-FS	3529	WEST FLORISSANT @ GRAND NB-NS
14823	14TH STREET @ WASHINGTON NB-FS	3788	WEST FLORISSANT @ GRAND SB-NS
13335	3344 PERSHALL EB-MB	3563	WEST FLORISSANT @ HAMILTON NB-FS
3807	NORTH FLORISSANT @ 15TH STREET EB-NS	3752	WEST FLORISSANT @ HAMILTON SB-FS
3799	NORTH FLORISSANT @ 20TH STREET SB-FS	3538	WEST FLORISSANT @ HARRIS NB-NS
3526	NORTH FLORISSANT @ ANGELICA NB-FS	3751	WEST FLORISSANT @ HELEN SB-FS
3511	NORTH FLORISSANT @ BLAIR NB-FS	16191	WEST FLORISSANT @ I-70 EXIT 245B NB-FS
3521	NORTH FLORISSANT @ BRANCH NB-NS	2269	WEST FLORISSANT @ I-70 EXIT 245B SB-NS
3797	NORTH FLORISSANT @ BRANCH SB-NS	3565	WEST FLORISSANT @ JENNINGS STATION ROAD NB-NS
3524	NORTH FLORISSANT @ BREMEN NB-NS	3750	WEST FLORISSANT @ JENNINGS STATION ROAD SB-FS
3794	NORTH FLORISSANT @ BREMEN SB-NS	3581	WEST FLORISSANT @ KAPPEL NB-NS
3519	NORTH FLORISSANT @ HEBERT NB-NS	3701	WEST FLORISSANT @ KAPPEL SB-FS
3512	NORTH FLORISSANT @ MADISON NB-NS	3588	WEST FLORISSANT @ KEELAN NB-NS
3806	NORTH FLORISSANT @ MADISON SB-NS	3696	WEST FLORISSANT @ KEELAN SB-FS
3514	NORTH FLORISSANT @ NORTH MARKET NB-FS	3543	WEST FLORISSANT @ KINGSHIGHWAY NB-FS
3804	NORTH FLORISSANT @ NORTH MARKET SB-FS	3774	WEST FLORISSANT @ KINGSHIGHWAY SB-NS
3520	NORTH FLORISSANT @ PALM NB-NS	3703	WEST FLORISSANT @ LANG SB-NS
3798	NORTH FLORISSANT @ PALM SB-FS	3533	WEST FLORISSANT @ LINTON NB-NS
3791	NORTH FLORISSANT @ PENROSE SB-NS	3784	WEST FLORISSANT @ LINTON SB-FS
3528	NORTH FLORISSANT @ PLEASANT NB-FS	15013	WEST FLORISSANT @ LUCAS-HUNT SB-FS
3789	NORTH FLORISSANT @ PLEASANT SB-NS	3744	WEST FLORISSANT @ MCCLARAN SB-FS
3522	NORTH FLORISSANT @ SALISBURY NB-NS	3558	WEST FLORISSANT @ MIMIKA NB-FS
3796	NORTH FLORISSANT @ SALISBURY SB-NS	3756	WEST FLORISSANT @ MIMIKA SB-FS
3516	NORTH FLORISSANT @ ST LOUIS NB-NS	3579	WEST FLORISSANT @ NORTHWIND ESTATES NB-FS
3801	NORTH FLORISSANT @ ST LOUIS SB-FS	3572	WEST FLORISSANT @ OSBORN NB-NS
3518	NORTH FLORISSANT @ SULLIVAN NB-NS	3556	WEST FLORISSANT @ PARK NB-NS
269	PERSHALL @ NORTH COUNTY FESTIVAL CENTER WB-FS	3758	WEST FLORISSANT @ PARK SB-NS
3776	WEST FLORISSANT @ POPE SB-FS	3583	WEST FLORISSANT @ PARNELLO NB-FS
3561	WEST FLORISSANT @ ACME NB-FS	3699	WEST FLORISSANT @ PARNELLO SB-NS
3753	WEST FLORISSANT @ ACME SB-NS	3554	WEST FLORISSANT @ PARTRIDGE NB-NS
3537	WEST FLORISSANT @ ADELAIDE NB-FS	3760	WEST FLORISSANT @ PARTRIDGE SB-NS
3781	WEST FLORISSANT @ ADELAIDE SB-FS	3542	WEST FLORISSANT @ POPE NB-FS
3778	WEST FLORISSANT @ ATHLONE SB-NS	3555	WEST FLORISSANT @ RIVERVIEW NB-FS
731	WEST FLORISSANT @ BUZZ WESTFALL PLAZA NB-NS	3759	WEST FLORISSANT @ RIVERVIEW SB-NS
166	WEST FLORISSANT @ BUZZ WESTFALL SB-NS	3552	WEST FLORISSANT @ ROBIN NB-NS
3578	WEST FLORISSANT @ CANFIELD NB-NS	3763	WEST FLORISSANT @ ROBIN SB-FS
3775	WEST FLORISSANT @ CARRIE SB-FS	2385	WEST FLORISSANT @ SHREVE NB-FS
3582	WEST FLORISSANT @ CHAMBERS NB-FS	2270	WEST FLORISSANT @ SHREVE SB-FS
3700	WEST FLORISSANT @ CHAMBERS SB-FS	3575	WEST FLORISSANT @ SOLWAY NB-NS
3697	WEST FLORISSANT @ CHAMPLIN SB-NS	15973	WEST FLORISSANT @ SOLWAY SB-NS
3541	WEST FLORISSANT @ CLARENCE NB-NS	3590	WEST FLORISSANT @ SOMERSET TERRACE NB-FS
3548	WEST FLORISSANT @ DAVISON NB-FS	3695	WEST FLORISSANT @ SOMERSET TERRACE SB-NS
3768	WEST FLORISSANT @ DAVISON SB-FS	3698	WEST FLORISSANT @ STEIN SB-NS
3574	WEST FLORISSANT @ EMERSON ELECTRIC NB-MB	3550	WEST FLORISSANT @ THRUSH NB-NS
3707	WEST FLORISSANT @ EMERSON ELECTRIC SB-NS	3765	WEST FLORISSANT @ THRUSH SB-NS
3547	WEST FLORISSANT @ EMERSON NB-NS	3545	WEST FLORISSANT @ UNION NB-NS
3770	WEST FLORISSANT @ EMERSON SB-NS	3772	WEST FLORISSANT @ UNION SB-FS
2384	WEST FLORISSANT @ EUCLID NB-NS	3535	WEST FLORISSANT @ WARNE NB-NS
2271	WEST FLORISSANT @ EUCLID SB-FS	3783	WEST FLORISSANT @ WARNE SB-FS
3780	WEST FLORISSANT @ FAIR SB-NS	3585	WEST FLORISSANT @ YARWOOD COURT NB-NS



**New Freedom Improved MetroBus Stops (2013-2015)**

**Metro: Title VI Assessment**

★ Enhanced MetroBus Stops  
n = 52

— Impacted MetroBus Routes

Minority Areas

MetroLink

MetroBus

Highways

Service Area

County Boundary

ST CHARLES  
ST LOUIS  
JEFFERSON  
MONROE  
MADISON  
ST CLAIR

0 0.5 1 Miles

Sources: 2009 - 2013 ACS, Metro, ESRI

Figure 14: STP-E Improved MetroBus Stops (2013-2015) Map

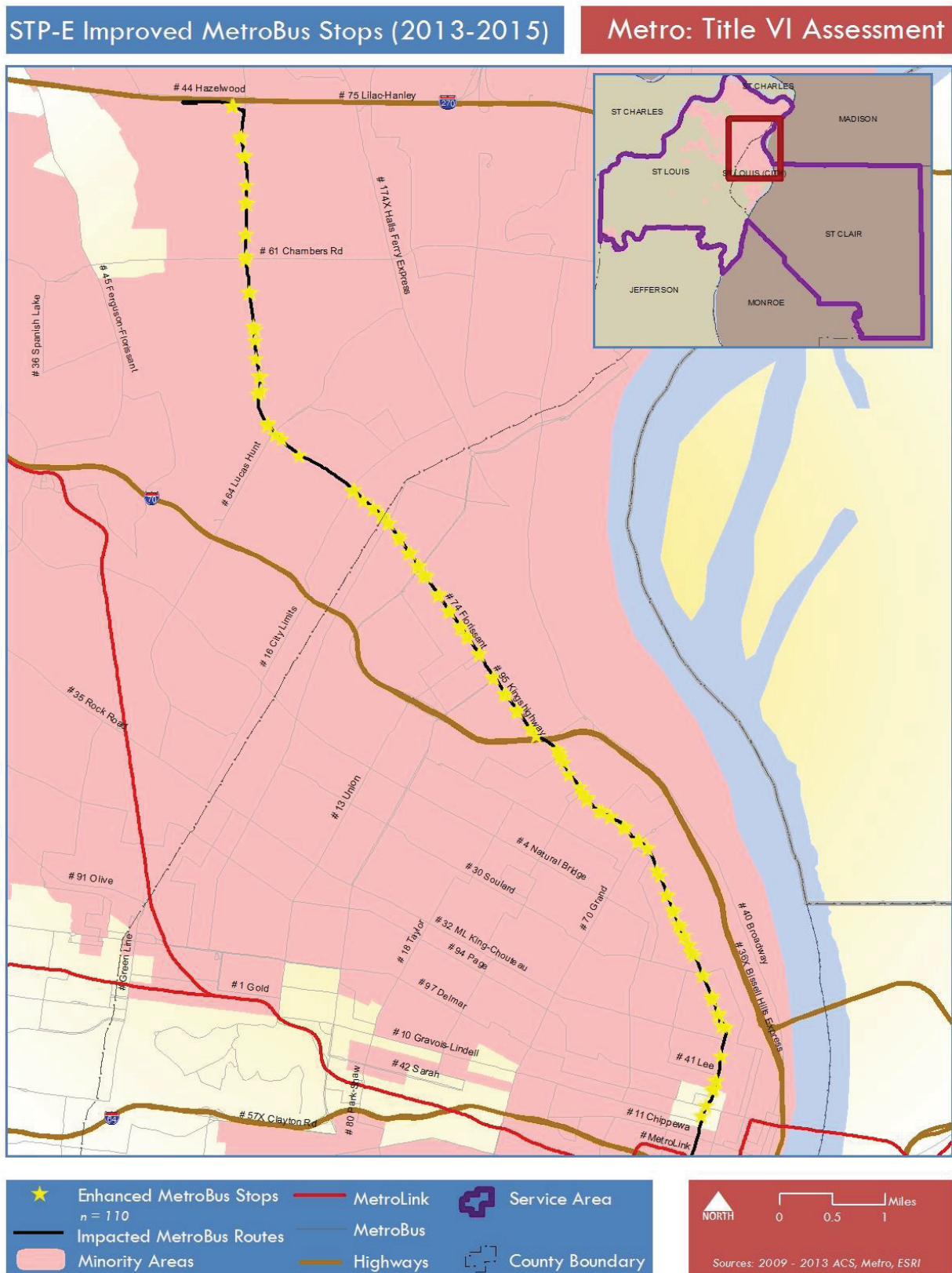




Figure 15: Missouri Shelter Locations (August 2015) Map

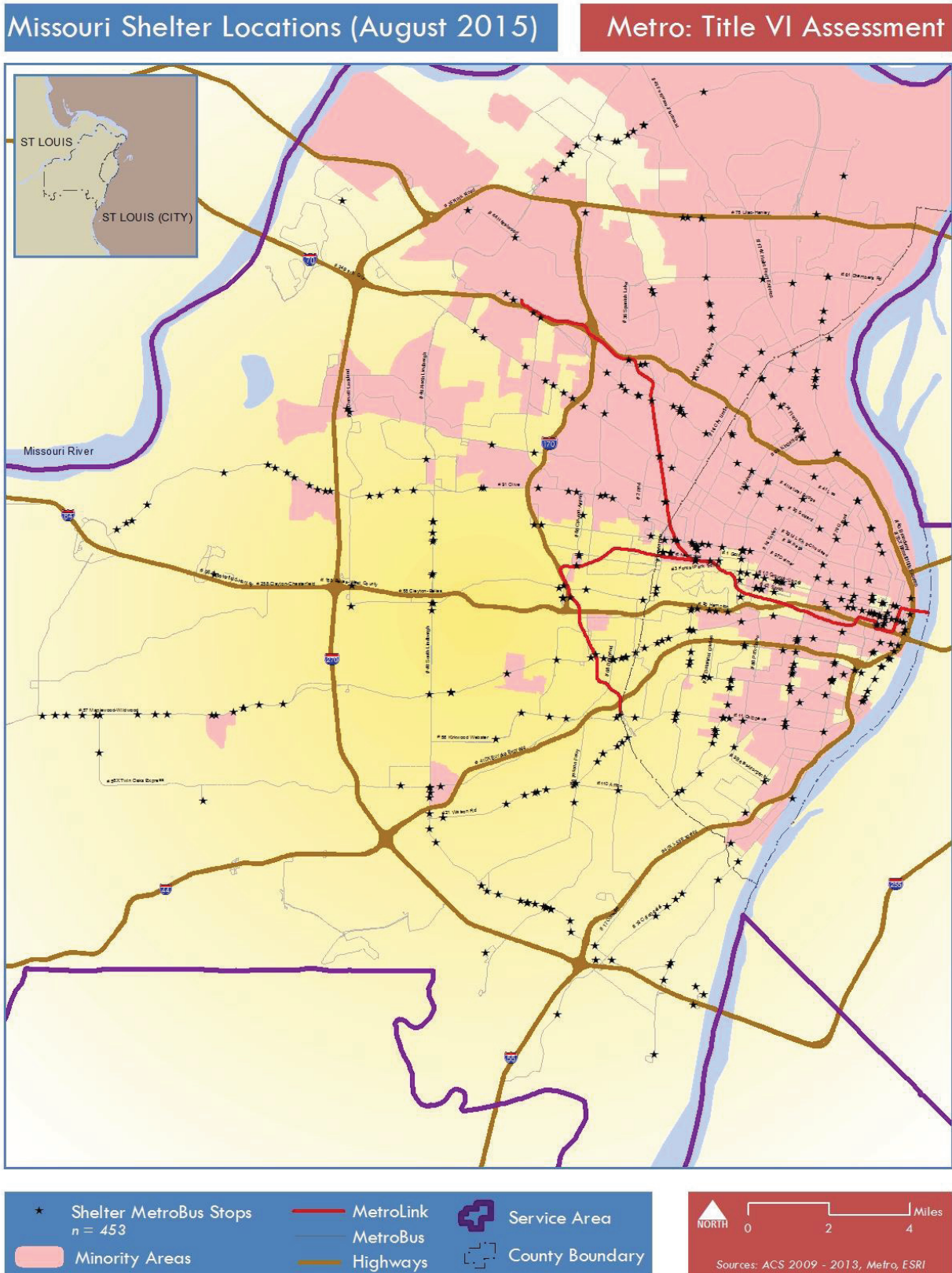


Figure 16: Illinois Shelter Locations (August 2015) Map

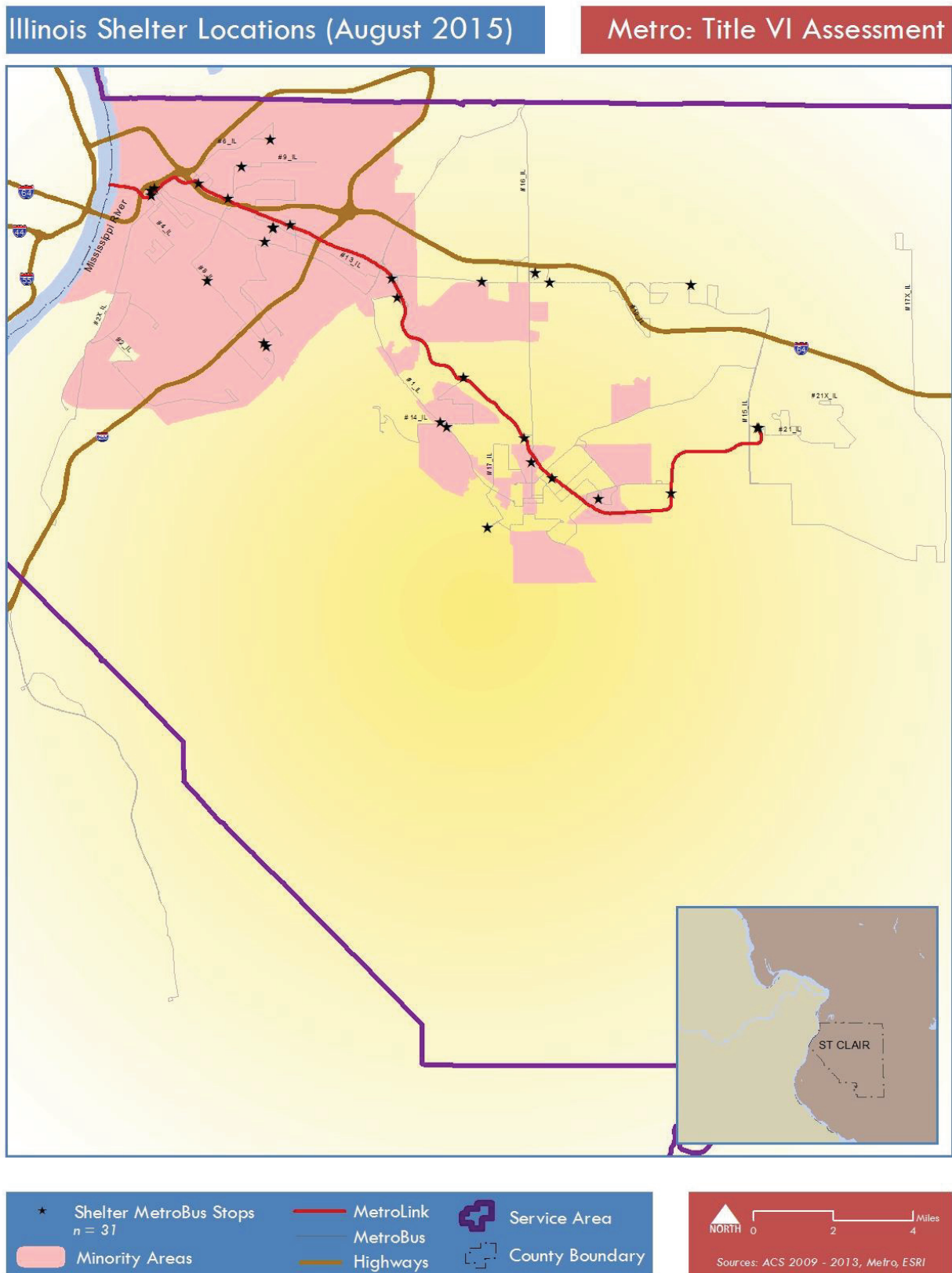
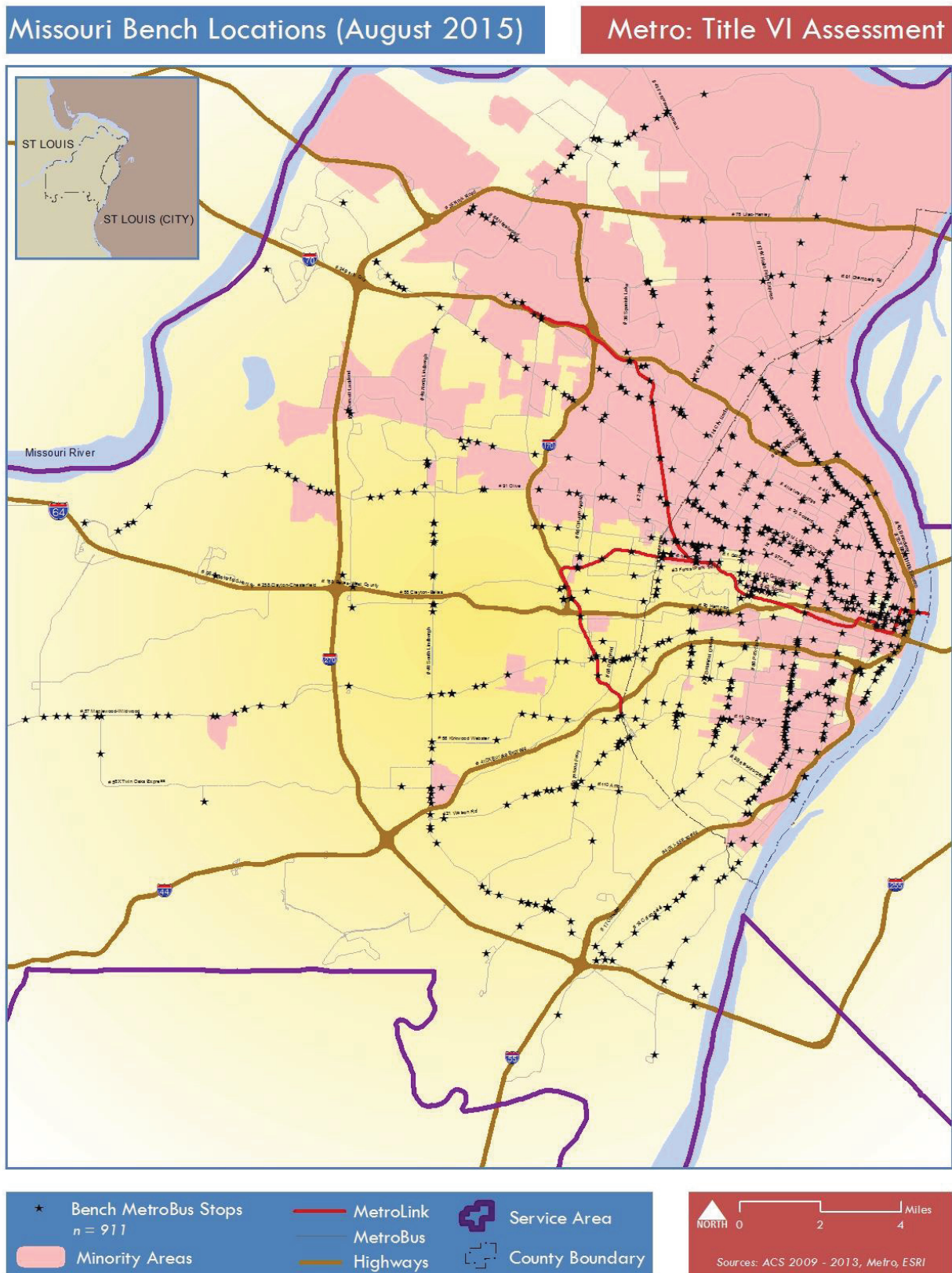




Figure 17: Missouri Bench Locations (August 2015) Map



**Illinois Bench Locations (August 2015)**

**Metro: Title VI Assessment**

★ Bench MetroBus Stops  
n = 46

Minority Areas

MetroLink

MetroBus

Highways

Service Area

County Boundary

ST CLAIR

0 2 4 Miles

Sources: ACS 2009 - 2013, Metro, ESRI



# **Chapter 8:**

## **Service Changes**

## Chapter 8: Service Changes

Metro analyzes the potential impacts of service and fare changes on protected groups, including minority and low-income customers. The nature and depth of the analysis is dependent on the scope of the proposed change, but may include an analysis of fare media usage by income, demographic analysis of route-level patronage, analysis of travel patterns, and special analysis of proposed changes to the Metro Service Area.

### 8.1 Service change policy

Metro has a policy of implementing quarterly service changes. In more typical years, under more stable economic circumstances, the vast majority of these service changes are minor time adjustments and slight re-routes. However, over the past few years Metro has needed to implement a number of larger service changes following the opening of large capital projects or to respond to changing economic situations.

Metro generally defines a “major service change” as those affecting 25% or more of a route’s operating miles, vehicle hours, service frequencies, or ridership. The different types of service change are summarized in the table below:

**Table 16: Service Change Types**

Type	Service Change Types	Examples
Minor	<ul style="list-style-type: none"><li>• Routine or small changes to better align services with demand. Less than 25% change in frequency or coverage.</li><li>• Does not require formal public participation or Board of Commissioner notification.</li></ul>	<ul style="list-style-type: none"><li>• Running time adjustments</li><li>• Departure time adjustments</li><li>• Span of service changes of 1/2 hour or less.</li><li>• Bus reroutes due to street or bridge detours.</li><li>• Service interval changes to match service levels with ridership. Changes to bus stop</li></ul>
Moderate	<ul style="list-style-type: none"><li>• Limited customer and cost impact. Less than 25% change in frequency or coverage.</li></ul>	<ul style="list-style-type: none"><li>• Bus reroutes of less than one mile. Route extensions of one mile or less. Service changes to reflect changes in street patterns.</li></ul>
Major Changes affecting less than 5% system hours	<ul style="list-style-type: none"><li>• Significant impact on customers and resources.</li><li>• Requires community involvement.</li><li>• Requires Board of Commissioners Operations committee notification prior to service implementation.</li></ul>	<ul style="list-style-type: none"><li>• Changes that affect 25% of a route’s miles, passengers, or vehicle hours but all changes cumulatively affect less than 5% of system hours.</li></ul>
Major Changes affecting 5% or more of system hours	<ul style="list-style-type: none"><li>• Significant impact on customers and resources.</li><li>• Requires community involvement. Board of Commissioner Approval required.</li></ul>	<ul style="list-style-type: none"><li>• Changes that affect 25% of a route’s miles, passengers, or vehicles hours and all changes cumulatively affect 5% or more of system hours.</li><li>• Changes requiring new facilities and/or capital expenditure at a cost level that requires Board approval.</li></ul>

Metro's service standards require formal public hearings and a meaningful community engagement process prior to any fare increase or major service change. More detailed information about that process is available in Chapter 4: Public Participation.

## 8.2 Three-year service change history

The table below summarizes all of the quarterly service changes within the time frame of this Title VI Program, July 2012 – October 2015. There were no major service changes during this period.

**Table 17: Service Change History**

Service Change Date	Type of Change
09/03/2012	Minor
11/26/2012	Minor
03/11/2013	Minor
06/10/2013	Minor
08/26/2013	Minor
12/02/2013	Minor
03/10/2013	Minor
06/09/2014	Minor
08/25/2013	Minor
11/03/2014	Minor
12/01/2014	Minor
03/16/2015	Minor
06/15/2013	Minor
08/31/2015	Minor

## **Chapter 9:**

# **Fare Changes**

## Chapter 9: Fare Changes

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### 9.1 Fare change equity analysis: Fare Increase 2015

In the period since Metro's last Title VI submittal in 2012, Metro initiated one fare increase, effective July 1, 2015. Metro conducted a series of public hearings and a thorough analysis of fare media usage in advance of the 2012 fare increase. A summary of the fare change analysis follows, and more detailed information on the public engagement process may be found in Chapter 4: Public Participation.

#### *Background*

With the adoption of the Moving Transit Forward Long-Range Plan in February 2010, the Board of Commissioners approved a policy to incrementally increase passenger fares every two years, in order to maintain the established threshold of 20% farebox recovery while avoiding less frequent but larger, more dramatic fare increases that would severely impact the system's customer base. However, after approval of the Proposition A sales tax referendum in St. Louis County, the Board decided not to implement an approved fare increase in 2010 to allow ridership to stabilize after the 2009 service reduction. Ridership growth was initially slow following Restoration2010, but escalated relatively quickly during FY 2012 – FY2014. Metro's Board elected to implement a 2015 fare increase to continue to grow passenger revenue to keep pace with operating costs. Specific goals for the fare increase were to:

- Generate a \$2.25 million increase in passenger revenue over FY2014
- Minimize the impact of a fare increase on ridership
- Provide no disproportionate impact to protected groups including low-income, minority, and disabled customers
- Provide sufficient passenger revenue over FY2014 sufficient to maintain service levels and provide operating support to near-term projects outlined in the *Moving Transit Forward Long-Range Transit Plan*
- Allow for transitions in prices and available fare media during the FY2017 fare increase, at which time smart cards will be fully deployed

#### *Management staff*

All final decisions on fare increases are made by Metro's Board of Commissioners. These decisions are informed by formal staff recommendations submitted to the Board. The personnel responsible for drafting the fare increase options, analyzing possible impacts, and approving the final recommendation were:

**Table 18: Management Staff**

Name	Title
John Nations	Chief Executive Officer
Ray Friem	Chief Operating Officer
Jessica Mefford-Miller	Chief of Planning & System Development
Bernadette Marion	Director of Research & Development

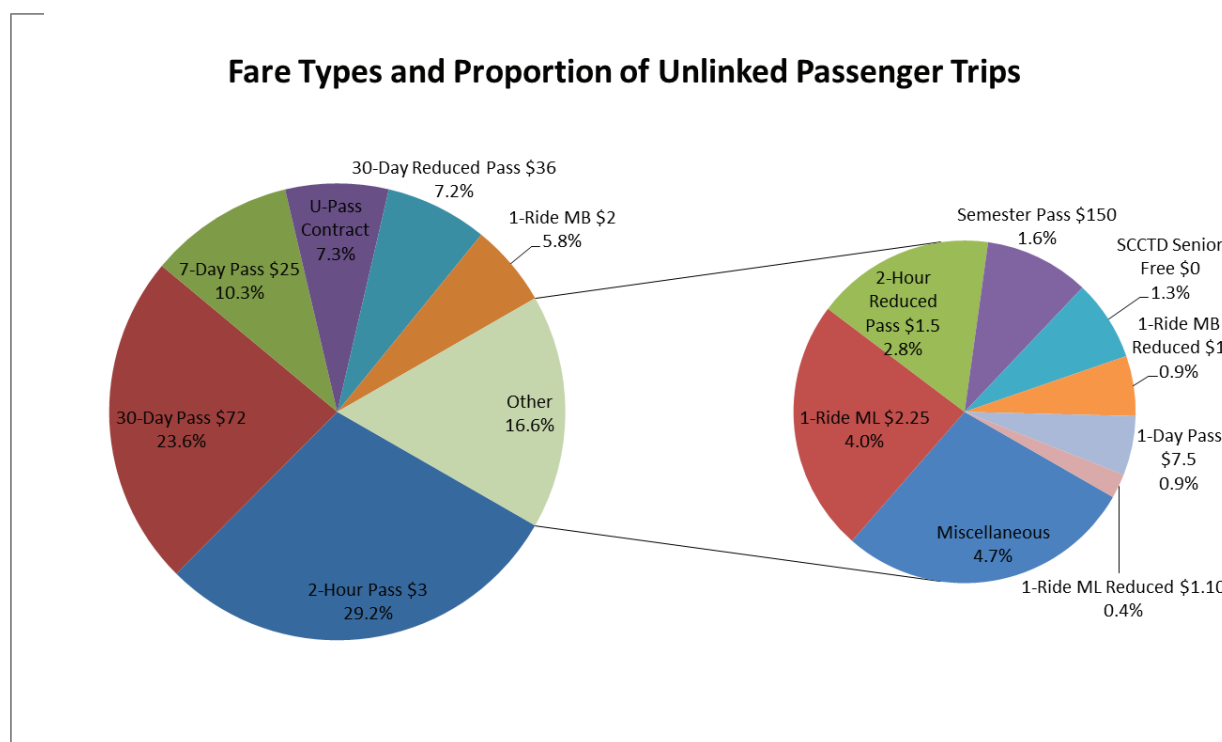
#### *Fare increase options*

Prior to each fare adjustment, staff analyzes current trends in ridership, fare media utilization, and passenger revenue. A fare increase plan must be structured in such a way so that passenger revenue goals are realized but ridership impacts are mitigated. Fare increase options are also analyzed to make

sure they would not violate Title VI regulations by disproportionately penalizing protected groups, particularly low-income and minority customers.

n adequate fare pricing strategy must be developed based on fare media usage rates, current average fare per boarding, historical comparison of fare pricing, and peer fare pricing. Analysis of these indicators, as well as the need to plan for implementation of an Automatic Fare Collection (SmartCard) System, prompted staff to focus on weekly and monthly passes for two of the three FY15 fare increase options. Passes have historically produced lower average fares than the base fare; pass holders may choose to ride Metro more frequently than customers paying cash fares because there is no additional charge for boardings once the fare media is purchased. This economic incentive, combined with a transit system that encourages transfers at multimodal hubs, contributes to higher pass usage rates but lower average fares per customer. Monthly, weekly, and college semester passes currently comprise approximately half of all transactions aboard MetroBus and MetroLink:

**Figure 19: Fiscal Year 2014 Fixed-Route Fare Media Utilization**



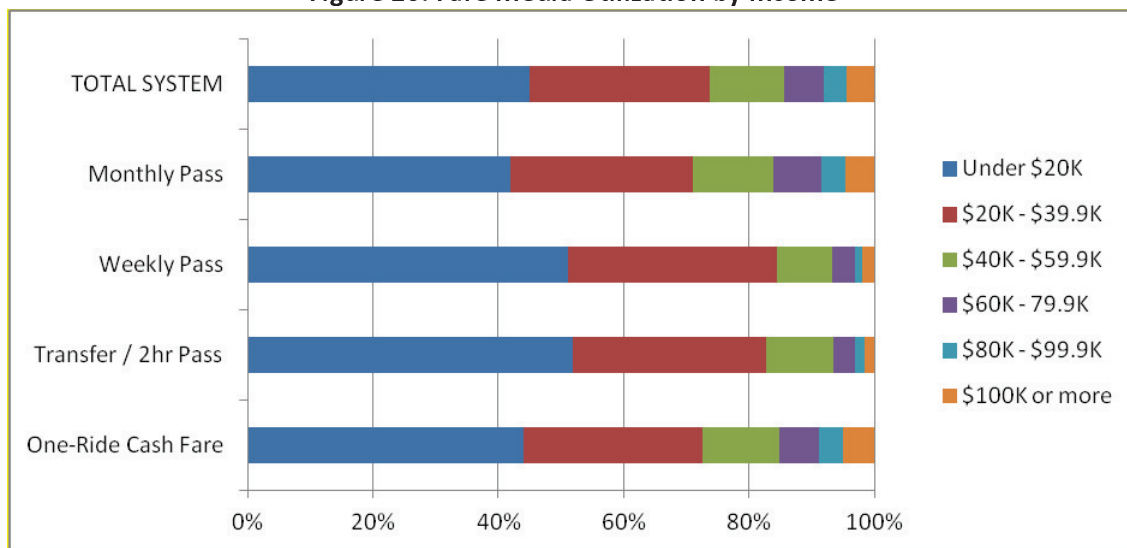
Staff developed three potential fare increase options in response to the goals above and in consideration of Title VI. These fare pricing options were developed based on fare media usage rates, current average fare per boarding for fare media types, and historical comparison of fare pricing.

Since the implementation of the FY13 fare increase, there has been little movement between fare media, and ridership has been resilient. This suggests there is further room to increase pass prices at this time. The next fare increase would be planned for FY17. At that time the Agency anticipates having smart cards fully deployed. Goals of the smart card project include maximizing penetration of the smart

card fare media; minimizing use of cash to speed the boarding process; and minimizing fraud and abuse of paper transfers. To meet these goals, it will be beneficial to have favorable prices on products including monthly and weekly passes which will then only be available on extended use smart cards, while also discouraging use of cash through some modest increase in the cash fare. These needs, combined with the Agency's ongoing directive to increase passenger revenue 5% every other year, suggest that the next fare increase focus more on limited use fare products like the cash fare.

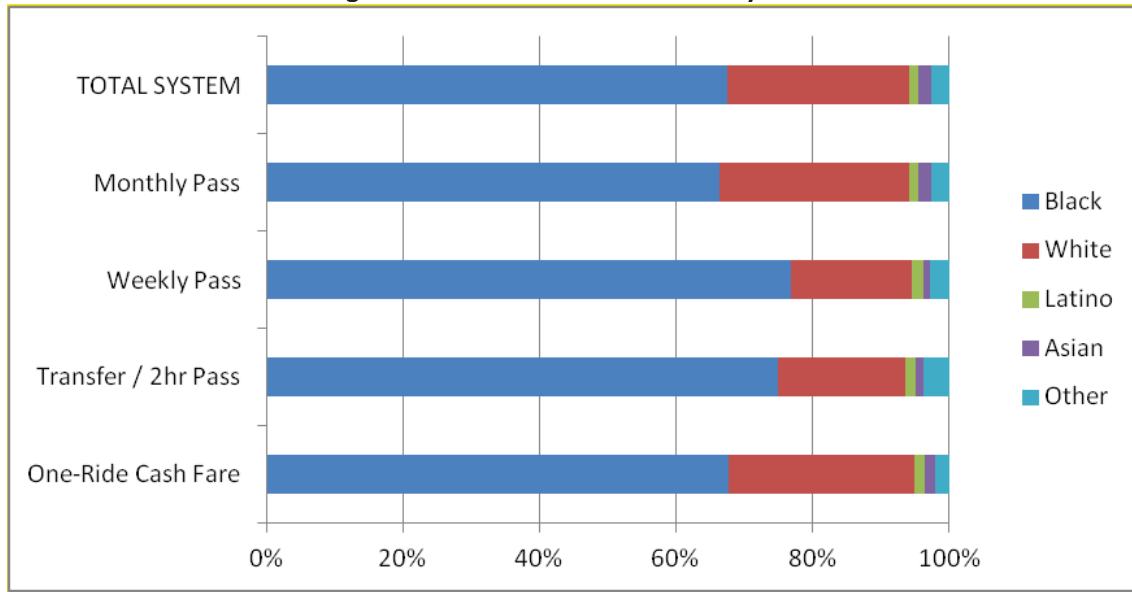
In analyzing fare media utilization across protected groups, namely low-income and minority customers, staff concludes that each of the fare increase proposals outlined below are reasonably equitable. The 7-day pass is utilized more heavily by lower-income and minority customers than other fare media, and as such several of the proposals below include a lower percentage increase in weekly pass than monthly pass.

**Figure 20: Fare Media Utilization by Income**





**Figure 21: Fare Media Utilization by Race**



**Table 19: Fiscal Year 2015 Potential Fare Increase Options**  
**FY15 Potential Fare Increase Options**

Metro Fare Type	Mode	FY14	FY15 Options		
		Current Fare	Option 1	Option 2	Option 3
Cash Base Fare	Bus	\$2.00	\$2.00	\$2.00	\$2.00
Cash Base Fare	Rail	\$2.25	\$2.50	\$2.50	\$2.25
Cash (Reduced Fare)*	Bus	\$1.00	\$1.00	\$1.00	\$1.00
Cash (Reduced Fare)*	Rail	\$1.10	\$1.25	\$1.25	\$1.10
2-Hour Pass/Transfer	System	\$3.00	\$3.00	\$3.00	\$3.00
2-Hour Pass/Transfer (Reduced Fare)*	System	\$1.50	\$1.50	\$1.50	\$1.50
2-Hour Pass (from Lambert Airport)	System	\$4.00	\$4.00	\$4.00	\$4.00
(10) 2-Hour Passes	System	\$30.00	\$30.00	\$30.00	\$30.00
(10) 2-Hour Passes (Student)	System	\$1.90	\$1.90	\$1.90	\$1.90
Day Pass	System	\$7.50	\$7.50	\$7.50	\$7.50
Weekly Pass	System	\$25.00	\$26.00	\$27.00	\$28.00
Monthly Pass	System	\$72.00	\$80.00	\$78.00	\$80.00
Monthly Pass (Reduced Fare)*	System	\$36.00	\$40.00	\$39.00	\$40.00
University Semester Pass	System	\$150.00	\$165.00	\$175.00	\$175.00
Metro Call-A-Ride/ADA	CAR	\$4.00	\$4.00	\$4.00	\$4.00
Estimated System Boardings**	System	46,317,343	46,985,233	46,985,233	46,985,233
Estimated Passenger Revenue**	System	\$50,239,162	\$52,600,819	\$52,852,875	\$52,907,058

\*Reduced fare requires proof of eligibility

\*\*FY14 figures reported are projected budget

These options were presented to the public during March and April through public forums and a public hearing; a print brochure; and web-based information. Metro solicited public comment on the proposed fare increase options at public meetings; through an online survey; via e-mail; via a telephone hotline; and via US Postal Mail. In total, 296 people participated in this public involvement effort. Details of participation method and fare increase scenario preference (if stated) are as follow:

**Table 20: Fare Increase Participation by Data Collection Method**

Venue	Participants*	Option 1	Option 2	Option 3
St. Louis City Hall	50	8	11	5
East St. Louis City Hall	4	2	10	1
St. Louis County Government Center	20	2	5	1
Metro Headquarters Public Hearing	32	3	2	0
Web Survey	107	16	73	18
Telephone Hotline	39	1	5	0
E-mail and Social Media	43	3	2	1
US Postal Mail	1	0	0	0
<b>Total*</b>	<b>296</b>	<b>35</b>	<b>108</b>	<b>26</b>
<b>Percent of Total</b>		<b>21.1%</b>	<b>65.1%</b>	<b>15.7%</b>

\*Number of participants does not equal votes on fare increase options, as not all participants indicated a preferred fare increase option. In some instances participants did not register at the meeting.

Overwhelmingly, public participants expressed opposition to the potential increases proposed in the monthly pass; Options 1 and 3 increased the pass price from \$72 to \$80, Option 2 increased the pass price to \$78. Many monthly pass holders identify themselves as Metro's most loyal market, and expressed frustration in the relatively large increase in this fare product. 31% of Metro fixed-route boardings are made by customers who hold a full or reduced-fare monthly pass. The relatively high utilization rate of the monthly and weekly passes, in addition to the need to hold cash fares constant, prompted staff to focus on passes in this fare increase.

In response to customer comment, staff developed an alternative fare increase option that would increase the monthly pass by \$5, rather than the \$6 or \$8 increase included in the options presented to the public:

**Table 21: Fare Increase by Fare Type**

Metro Fare Type	FY14 Current Fare	Recommended FY15 Fare	Percent Increase
1-Day Pass	\$7.50	\$7.50	0.0%
7-Day Pass	\$25.00	\$27.00	8.0%
30-Day Pass	\$72.00	\$77.00	6.9%
30-Day Reduced Fare Pass	\$36.00	\$38.50	6.9%
Semester Pass	\$150.00	\$175.00	16.7%
1-Ride MetroBus	\$2.00	\$2.00	0.0%
1-Ride MetroBus Reduced	\$1.00	\$1.00	0.0%
2-Hour Pass / Transfer	\$3.00	\$3.00	0.0%
2-Hour Pass / Transfer Reduced	\$1.50	\$1.50	0.0%
1-Ride MetroLink	\$2.25	\$2.50	11.1%
1-Ride MetroLink Reduced	\$1.10	\$1.25	13.6%

This fare increase option is likely to produce the passenger revenue goal. This assumption is made in view of recent system performance. In FY 2014 YTD, passenger boardings have exceeded budget by 2.5%. Metro aims to continue this growth in passenger boardings and is optimistic that a slightly more modest increase in monthly pass pricing will help achieve passenger revenue and passenger boarding goals.

This fare increase option is likely to meet the goals stated above, including generating a \$2.25 million increase in passenger revenue over FY2014.

**Chapter 10:**

**Title VI Analysis of Customer Surveys**

## Chapter 10: Title VI Analysis of Customer Surveys

Metro conducts annual On-Board Passenger Surveys of both bus and rail customers. Findings from these surveys help the Agency identify the proportion of minority and low income riders using the Metro System, and also to determine whether perceptions of service inequity exist between protected groups and non-minority, higher-income riders. Monitoring these perceptions helps Metro identify opportunities for potential service improvement, as well as ensure that service meets reasonable expectations of quality for all types of transit customers.

This Title VI analysis is based on findings from the 2015 Onboard Satisfaction Survey. Staff analyzed customer satisfaction results by mode to more accurately identify systemic concerns and differences between rider groups.

### Rail Rider Segment Characteristics

- Racial Minority /Lower Income Segment Group (65% of sample) – Selection Criteria:
  - Race = Minority (non-White), and/or
  - Annual Household Income <\$20,000
- Non-Racial Minority/Higher Income Segment Group (35% of sample) – Selection Criteria:
  - Race = Non-Minority (White), and
  - Annual Household Income > or = \$20,000

**Table 22: Satisfaction Differences between Minority/Low-Income and Non-Minority/Higher-Income Rail Riders**

Service Factor	Significant Group Difference?	More Satisfied Rider Group
Trains operate on time	Yes	Non-Racial Minority & Higher Income
Ability to make transfer connections	Yes	Non-Racial Minority & Higher Income
Ability to travel when and where desired	No	NA
Personal security at transit centers and train	Yes	Racial Minority &/or Low Income
Personal security while riding	No	NA
Security of cars at park and ride lots	No	NA
Enforcement of fare payment	Yes	Racial Minority &/or Low Income
Availability of benches or shelter at train stations	Yes	Non-Racial Minority & Higher Income
Cleanliness and maintenance of train stations	Yes	Non-Racial Minority & Higher Income
Cleanliness inside trains	No	NA
Availability of seating on trains	No	NA
Ease of reading printed train schedules	No	NA
Helpfulness of Transit Information Call Line	Yes	Racial Minority &/or Low Income
Helpfulness of Metro website information	Yes	Racial Minority &/or Low Income
Communication of service changes or disruptions	No	NA
Driver courtesy	Yes	Non-Racial Minority & Higher Income
Driver clearly announces stops	No	NA
Driver ability to safely operate train	No	NA
Value of train service for fare paid	Yes	Non-Racial Minority & Higher Income

Overall quality of train service	No	NA
Overall satisfaction with train service	No	NA

\* Satisfaction differences determined using One-Way Analysis of Variance (ANOVA) at the  $p < .05$  significance level.

Staff used a One-Way Analysis of Variance (ANOVA) test to determine significant differences between groups in terms of overall satisfaction with Metro's service by mode, as well as individual service factors. The ANOVA test for rail customer responses found no significant difference in terms of overall satisfaction with train service between the Minority and/or Lower Income (ML) rider group and the Non-Minority and Higher Income (NMH) rider group. The same held true for responses regarding the overall quality of train service. However, the analysis did find that the ML rider group reported statistically-significant dissatisfaction with:

- On-time performance
- Ability to make transfer connections
- Availability of benches or shelter at train stations
- Cleanliness and maintenance of train stations
- Driver courtesy
- Value of train service for fare paid

The findings related to on-time performance and connectivity indicate that minority and low-income riders are significantly less satisfied with the rail system's travel effectiveness. Metro plans the transit network as an integrated system of hubs and spokes, and quick, timely transfers between modes and routes are key to making the system work well. Metro's Division of Planning and System Development attempts to improve these connections with every quarterly service change; the addition of new bus transit centers and increased frequencies on high-demand routes should help alleviate issues related to system connectivity and schedule adherence.

The ML group also reported significantly less satisfaction with the availability of amenities and travel environment maintenance. Low income riders are more likely to be transit-dependent than higher income riders. With this in mind, this rider group may be more sensitive to unique aspects of the travel experience. An element of Metro's long-range plan is the installation of high-quality passenger amenities throughout the system, including benches and shelters; work is already proceeding on approximately 450 bus stops under Federal grants.

#### Bus Rider Segment Characteristics

- Racial Minority/Lower Income Segment Group (91% of sample) – Selection Criteria:
  - Race = Minority (non-White), and/or
  - Annual Household Income <\$20,000
- Non-Racial Minority/Higher Income Segment Group (9% of sample) – Selection Criteria:
  - Race = Non-Minority (White), and
  - Annual Household Income > or = \$20,000

**Table 23: Satisfaction Differences between Minority/Low-Income and Non-Minority/Higher-Income Bus Riders**

Service Factor	Significant Group Difference?	More Satisfied Rider Group
Buses operate on time	No	NA
Ability to make transfer connections	No	NA
Ability to travel when and where desired	Yes	Racial Minority &/or Lower Income
Personal security at transit centers and train	No	NA
Personal security while riding	Yes	Non-Racial Minority and Higher Income
Security of cars at park and ride lots	No	NA
Ease of paying fare when boarding	Yes	Non-Racial Minority and Higher Income
Enforcement of paying fare when boarding	No	NA
Availability of benches or shelter at bus stops	No	NA
Cleanliness and maintenance of transit centers	No	NA
Cleanliness inside buses	No	NA
Availability of seating on buses	Yes	Non-Racial Minority and Higher Income
Ease of reading printed route schedules	No	NA
Helpfulness of Transit Information Call Line	Yes	Racial Minority &/or Lower Income
Helpfulness of Metro website information	No	NA
Communication of service changes or disruptions	Yes	Racial Minority &/or Lower Income
Driver courtesy	Yes	Non-Racial Minority and Higher Income
Stops are clearly announced	No	NA
Driver ability to safely operate bus	Yes	Non-Racial Minority and Higher Income
Value of bus service for fare paid	Yes	Non-Racial Minority and Higher Income
Overall quality of bus service	No	NA
Overall satisfaction with bus service	No	NA

\* Satisfaction differences determined using One-Way Analysis of Variance (ANOVA) at the  $p < .05$  significance level.

The ANOVA tests for bus riders also found no significant difference between groups in terms of overall satisfaction and the overall quality of bus service. However, the analysis did find statistically-significant dissatisfaction among the ML group for a range of bus service factors, including:

- Personal security while riding
- Ease of paying fare when boarding
- Availability of seating on buses
- Driver courtesy
- Driver ability to safely operate bus
- Value of bus service for fare paid

While there was no statistically-significant difference between the two groups in terms of overall satisfaction with the bus system, minority and lower-income individuals are a very large majority of the bus system's customer base. Their greater sense of dissatisfaction for many specific service factors is a



cause of concern for the Agency, as well as an opportunity for improvement. Concerns over ease of fare payment should be mitigated by the implementation of a SmartCard automated fare payment system. Also, Metro is aware of customer concerns about safety and security and the Chief of Public Safety is taking active steps to bolster security and improve these perceptions of the transit system. Metro will also consider updating its operator training and customer service program, in order to encourage a more customer-centric orientation in all employees.

# **Chapter 11:**

## **Other Title VI Items**

## Chapter 11: Other Title VI Items

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### Minority representation on decision-making bodies

Metro's ten-member Board of Commissioners provides overall leadership and policy direction for the Agency. The Governors of Missouri and Illinois appoint five Commissioners each, for five-year terms. Commissioners serve without compensation, and must be a resident voter both of their state and the bi-state region. Four of the ten Commissioners are members of a racial or ethnic minority group.

### Proposed changes in service features

Service changes proposed over the next three years include:

- Continue implementation of the *Moving Transit Forward Long-Range Plan*. *Moving Transit Forward* established a set of options for using different transit modes and service strategies to meet the needs of divergent travel markets; improve connections between people and jobs; encourage smarter, more sustainable growth; and catalyze economic development. The authority to select and prioritize specific projects from that set of options lies with the leadership of East-West Gateway Council of Governments, the region's MPO, and is contingent on the region's success in attracting Federal funding. Since approval in February 2010, Metro has been able to implement or initiate four projects identified in the plan: Restoration2010, the North County Transit Center, the Downtown Transit Center, and a bus stop upgrade program. Over the next three years, the Agency plans to pursue planning, funding, and implementation of the following transit system improvements:
  - Implement a SmartCard automatic fare collection system;
  - Initiate preliminary planning for a MetroLink light rail extension;
  - Continue implementation of bus stop upgrades; and
  - Redesign and distribute improved bus stop signage throughout the Metro System.
- Reformulate the MetroBus route network and service strategy in North St. Louis County, following opening of the North County Transit Center.
- Continue transit system improvements via small-scale service changes every quarter.

**Using the planning guidelines described in the Title VI submittal, Metro has reviewed its future proposals and service modifications and believes they comply with Title VI goals.**



**Bi-State Development  
Agenda Item  
Board of Commissioners  
November 20, 2015**

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**From:** John M. Nations, President & CEO  
**Subject:** **Revision to Board Policy, Chapter 30, Section 30.070, Hedging**  
**Disposition:** Approval  
**Presentation:** Kathy S. Klevorn, Sr. Vice President & CFO; Tammy Fulbright, Director,  
Treasury Services

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**Objective:**

To present to the Board of Commissioners for approval a revision to *Board Policy Chapter 30, Section 30.070, Hedging*. The objective of the revision is to update the policy and provide greater clarity (see attached redlined amendment).

**Committee Disposition:**

This item was presented and discussed at the Business Services & Economic Development Committee on October 16, 2015. The Committee voted to recommend that the Chairman of the Board of Commissioners designate that the proposed revision to *Board Policy Chapter 30, Section 30.070, Hedging*, not be tabled pursuant to *Article VI(D)* of the Board Policies, and that it is in the best interests of Bi-State Development (**BSD**) that this revision be approved at the Board Meeting on November 20, 2015.

**Board Policy:**

*Board Policy Chapter 30, Section 30.070, Hedging (effective 2/23/2001)*

A. General. Because of the nature of its responsibilities to the St. Louis Metropolitan region, the Bi-State Development Agency (Agency) manages financial risks attributed to the price variability of diesel, electricity and natural gas usage. This risk can be managed effectively through the use of hedging techniques. The purpose of this policy is to generally outline how the Agency will manage these risks, what techniques will be employed, and the general guidelines to be followed.

**Funding Source:**

No funding source is required to revise the Board Policy.

**Background:**

Bi-State Development requires the use of commodities in the practice of its businesses that have the capability of high price volatility. Those commodities include diesel, electricity, and natural gas. BSD engages in the practice of hedging techniques for the purpose of:

- decreasing cost volatility;
- increasing likelihood that actual net cost will remain below the budgeted cost;
- increasing the certainty of future cost;
- seeking to attain a lower overall cost in the long-term;
- seeking to manage year-over-year changes in fuel and electricity cost.

The main purpose of the hedging program is not to make or lose money, but to manage risk. This program is not an investment and should not be construed as such. Cash flows produced or consumed by the program will be considered as an element of cost.

**Analysis:**

The Board Policy has not been updated since 2001. In a review of the policy, it was determined that the members of the Hedging Committee should be revised, as well as to slightly refine the language related to financial hedge transactions that would be conducted through a financial institution. These changes are minor.

**Board Action Requested:**

It is requested that the Chairman of the Board of Commissioners waive the tabling of this revision to *Board Policy Chapter 30, Section 30.070, Hedging* (see attached final version), and that the Board of Commissioners approve the policy revision at the meeting on November 20, 2015.

**Attachments:**

1. Redlined Version of Policy Change
2. Final Version of Policy Change

**A RESOLUTION OF THE BOARD OF COMMISSIONERS  
OF THE BI-STATE DEVELOPMENT AGENCY OF  
THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT  
AMENDING BOARD POLICY CHAPTER 30; SECTION 30.070,  
HEDGING**

**PREAMBLES:**

*Whereas*, the Bi-State Development Agency of the Missouri-Illinois Metropolitan District (the “Agency”/ “BSD”) is a body corporate and politic, created by an interstate compact between the states of Missouri and Illinois, acting by and through its Board of Commissioners (the “Board of Commissioners”); and

*Whereas* the Agency is authorized by Mo. Rev. Stat. §§ 70.370 et seq. and 45 Ill. Comp. Stat. 100/1 et seq. (jointly referred to herein as the “Compact”); to make suitable rules and regulations consistent with its mission and not inconsistent with the constitution or laws of either state, or any political subdivision thereof; and

*Whereas*, Article VI of the Bylaws – Board Policies of the Agency, provides that any action by the Board establishing policy, administrative, business, or otherwise, shall be known as “Board Policies” and that the Board may adopt, amend or repeal, in whole or in part, the Board Policies at any meeting of the Board, except that unless otherwise designated by the Chair, all Board Policies shall be tabled for a period of one month and shall become effective upon adoption by the Board; and

*Whereas*, Board Policy Chapter 30, Section 30.070, *Hedging*, governs the Agency’s hedging activities in order for the Agency to manage financial risks attributed to the price variability of diesel, electricity and natural gas usage; and

*Whereas*, in a review of Board Policy Chapter 30, Section 30.070, *Hedging*, it was determined that the members of the Hedging Committee should be revised and that certain other provisions should be updated and clarified as referenced in Briefing Paper, Attachments #1 and #2; and

*Whereas*, the amendment to Board Policy Chapter 30, Section 30.070, *Hedging*, was presented to the Business Services and Economic Development Committee on October 16, 2015. The Committee recommended that the matter be referred to the Board of Commissioners for consideration at the November 20, 2015 meeting, and that the Board waive tabling the policy so that it is effective upon Board approval; and

*Whereas*, it is feasible, necessary and in the public interest for the Agency to approve the amendment to Board Policy Chapter 30, Section 30.070, *Hedging*, as referenced in Briefing Paper Attachments #1 and #2, and that the Board waive tabling of the amended policy so that it is effective upon Board approval, in accordance with the terms and conditions described herein.

**NOW, THEREFORE, THE BOARD OF COMMISSIONERS OF THE BI-STATE DEVELOPMENT AGENCY OF THE MISSOURI-ILLINOIS METROPOLITAN DISTRICT DOES HEREBY RESOLVE, DETERMINE AND ORDER AS FOLLOWS:**

Section 1. Findings. The Board of Commissioners hereby finds and determines those matters set forth in the preambles as fully and completely as if set out in full in this Section 1.

Section 2. Approval of Amendment to Board Policy. The Board of Commissioners hereby authorizes and approves the amendment of Board Policy Chapter 30, Section 30.070, *Hedging*, (as provided in Attachments #1 and #2 of the Briefing Paper and made a part hereof), and waives tabling of the amended policy so that it is effective upon Board approval.



Section 3. Actions of Officers Authorized. The officers of the Agency, including without limitation, the President and CEO and the Vice President and Chief Financial Officer, are hereby authorized and directed to execute all necessary changes to Board Policies, and take such actions as they may deem necessary or advisable in order to carry out and perform the purposes of this Resolution; and the execution of such changes and taking of such actions shall be conclusive evidence of such necessity or advisability.

Section 4. Severability. It is hereby declared to be the intention of the Board of Commissioners that each and every part, section and subsection of this Resolution shall be separate and severable from each and every other part, section and subsection hereof and that the Board of Commissioners intends to adopt each said part, section and subsection separately and independently of any other part, section and subsection. In the event that any part, section or subsection of this Resolution shall be determined to be or to have been unlawful or unconstitutional, the remaining parts, sections and subsections shall be and remain in full force and effect, unless the court making such finding shall determine that the valid portions standing alone are incomplete and are incapable of being executed in accordance with the intent of this Resolution.

Section 5. Rights Under Resolution Limited. No rights shall be conferred by this Resolution upon any person or entity other than the Agency, officers and employees.

Section 6. Governing Law. The laws of the State of Missouri shall govern this Resolution.

Section 7. No Personal Liability. No member of the Board of Commissioners, officer, employee or agent of the Agency shall have any personal liability for acts taken in accordance with this Resolution.

Section 8. Implementation. This Resolution shall be in full force and effect from and after its passage and approval.

Section 9. Payment of Expenses. The Senior Vice President and CFO is hereby authorized and directed to pay or cause to be paid all costs, expenses and fees incurred in connection with or incidental to this Resolution and the Policy.

ADOPTED by the Board of Commissioners of The Bi-State Development Agency of the Missouri-Illinois Metropolitan District this 20th day of November, 2015.

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

By \_\_\_\_\_  
Its \_\_\_\_\_

[SEAL]

ATTEST:

By \_\_\_\_\_  
Deputy Secretary to the Board of Commissioners



A. General. Because of the nature of its responsibilities to the St. Louis Metropolitan region, the Bi-State Development Agency (Agency) manages financial risks attributed to the price variability of diesel, electricity and natural gas usage. This risk can be managed effectively through the use of hedging techniques. The purpose of this policy is to generally outline how the Agency will manage these risks, what techniques will be employed, and the general guidelines to be followed.

B. Definition. A hedge is a financial tool used to reduce the risk associated with normal business activities of buying diesel, electricity and natural gas as well as financial lending or borrowing activities. Speculation, on the other hand, does not reduce the risk associated with the Agency's normal business activities, and will not be utilized at any time.

C. Instruments. The financial instruments that are available to be used include over-the-counter (OTC) instruments known as options and swaps and the various combinations of such products caps, collars, cost less collars, futures contracts and weather hedges. Exchange traded futures are permissible under this policy.

D. Risk Management. The Agency will engage only in financial hedge transactions that are consistent with prudent risk management practices related to the Agency's principal business, including the operation of diesel buses and vans, LRV electric propulsion and lighting for its facilities; and natural gas for heating and propulsion. Accordingly, only existing assets and liabilities and foreseeable future purchase requirements will be hedged with financial instruments.

Wherever appropriate, the Agency will modify existing practices or establish new approaches as a means of reducing financial risks. When use of external tools is appropriate, the selection of the appropriate hedging tool to be employed will be determined on a case by case basis.

When executing financial hedge instruments through a financial institution, the counter party must maintain an investment grade rating for hedge instruments with a duration of less than one year. For hedge instruments with a duration of one year or longer, a high grade credit rating of AA or equivalent is required. The Agency will not execute long dated (one year or longer) financial hedge instruments with an institution unless the counter party has at least an AA or equivalent credit rating. BSDA will use investment grade rated counter party (s) in executing hedging instruments of less than one year's duration.

E. Oversight. A Hedge Committee will oversee the activities of this program. Oversight includes monitoring the economic conditions to determine appropriate strategies for risk mitigation through hedge products, ratio hedged, and length of maturity. The Committee shall include the Executive Director of Metro Transit, Chief Financial Officer, ~~Director of Treasury Services, Manager of Cash & Investment and the Procurement Director or designee.~~ And the Vice President of Procurement, Inventory Management & Supplier Diversity.

The role of the Hedge Committee will be to determine whether a proposed transaction is consistent with this Hedge Policy and review the performance of the hedging activity on a periodic basis. The Hedge Committee will meet no less than quarterly. The Manager of Cash and Investments will provide the Board of Commissioners with a summary of its activity through the monthly Treasurer's Report.

## Attachment 2

**Section 30.070****Hedging (effective 2/23/2001)****Final Policy Change**

A. General. Because of the nature of its responsibilities to the St. Louis Metropolitan region, the Bi-State Development Agency (Agency) manages financial risks attributed to the price variability of diesel, electricity and natural gas usage. This risk can be managed effectively through the use of hedging techniques. The purpose of this policy is to generally outline how the Agency will manage these risks, what techniques will be employed, and the general guidelines to be followed.

B. Definition. A hedge is a financial tool used to reduce the risk associated with normal business activities of buying diesel, electricity and natural gas as well as financial lending or borrowing activities. Speculation, on the other hand, does not reduce the risk associated with the Agency's normal business activities, and will not be utilized at any time.

C. Instruments. The financial instruments that are available to be used include over-the-counter (OTC) instruments known as options and swaps and the various combinations of such products caps, collars, cost less collars, futures contracts and weather hedges. Exchange traded futures are permissible under this policy.

D. Risk Management. The Agency will engage only in financial hedge transactions that are consistent with prudent risk management practices related to the Agency's principal business, including the operation of diesel buses and vans, LRV electric propulsion and lighting for its facilities; and natural gas for heating and propulsion. Accordingly, only existing assets and liabilities and foreseeable future purchase requirements will be hedged with financial instruments.

Wherever appropriate, the Agency will modify existing practices or establish new approaches as a means of reducing financial risks. When use of external tools is appropriate, the selection of the appropriate hedging tool to be employed will be determined on a case by case basis.

When executing financial hedge instruments through a financial institution, the counter party must maintain an investment grade rating for hedge instruments with a duration of less than one year. For hedge instruments with a duration of one year or longer, a high grade credit rating of AA or equivalent is required.

E. Oversight. A Hedge Committee will oversee the activities of this program. Oversight includes monitoring the economic conditions to determine appropriate strategies for risk mitigation through hedge products, ratio hedged, and length of maturity. The Committee shall include the Executive Director of Metro Transit, Chief Financial Officer, and the Vice President of Procurement, Inventory Management & Supplier Diversity.

The role of the Hedge Committee will be to determine whether a proposed transaction is consistent with this Hedge Policy and review the performance of the hedging activity on a periodic basis. The Hedge Committee will meet no less than quarterly. The Manager of Cash and Investments will provide the Board of Commissioners with a summary of its activity through the monthly Treasurer's Report.



**Open Session Item**

**12**

**Bi-State Development  
Board of Commissioners  
2016 Board and Committee Meeting Schedule\***

**Tuesday, January 19, 2016 (Tentative)\***  
Operations Committee

**Friday, January 22, 2016 (Tentative)\***  
Audit Committee

**Friday, February 26, 2016**  
Board Meeting

**Friday, March 11, 2016 (Tentative)\***  
Business Services & Economic  
Development Committee

**Tuesday, March 15, 2016 (Tentative) \***  
Operations Committee

**Friday, March 18, 2016 (Tentative)\***  
Finance & Administration Committee/  
Budget Review Meeting

**Friday, April 22, 2016**  
Board Meeting (Budget Approval)

**Friday, May 13, 2016 (Tentative)\***  
Finance & Administration Committee

**Tuesday, May 17, 2016 (Tentative)\***  
Operations Committee

**Friday, May 20, 2016 (Tentative)\***  
Audit Committee

**Friday, June 24, 2016**  
Board Meeting

**Tuesday, August 16, 2016 (Tentative)\***  
Operations Committee

**Friday, August 26, 2016 (Tentative)\***  
Finance & Administration Committee

**Friday, September 23, 2016**  
Board Meeting

**Friday, October 14, 2016 (Tentative)\***  
Business Services & Economic  
Development Committee

**Tuesday, October 18, 2016 (Tentative)\***  
Operations Committee

**Friday, October 21, 2016 (Tentative)\***  
Audit Committee

**Friday, November 18, 2016**  
Board Meeting

\*Committee meeting dates are scheduled tentatively and will be confirmed by the Committee Chair.



**Bi-State Development  
Board of Commissioners  
2016 Committee Assignments**

**Audit**

Constance Gully, Chair  
David Dietzel  
Kelley Farrell  
Vince Schoemehl  
Jeffrey Watson

**Finance & Administration**

Tadas Kicielinski, Chair  
Vernal Brown  
David Dietzel  
Constance Gully  
Aliah Holman

**Business Services & Economic Development**

Aliah Holman, Chair  
Michael Buehlhorn  
Irma Golliday  
Tadas Kicielinski  
Vince Schoemehl

**Operations**

Michael Buehlhorn, Chair  
Vernal Brown  
Kelley Farrell  
Irma Golliday  
Jeffrey Watson

**Planning Committee**

All Commissioners - Committee of the Whole

**Nominating Committee**

David Dietzel  
Constance Gully  
Tadas Kicielinski  
Vince Schoemehl