

# Title VI Program And Environmental Justice Assessment



**2018-2020**



**Rockford Mass  
Transit District**

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Rockford Metropolitan Agency for Planning  
The Federally-Designated Metropolitan Planning Organization  
Rockford, Illinois Urbanized Area

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In Accordance with:  
FAST Act, MAP-21, FTA C 4702.1B and FTA C 4703.1

This Report was Prepared in Cooperation  
With the Following:

U.S. Department of Transportation  
Federal Highway Administration  
Federal Transit Administration  
Illinois Department of Transportation

The Contents, Views, Policies and Conclusions Expressed in This  
Report Are Not Necessarily Those of the Above Agencies

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# OVERVIEW

## PURPOSE

Section 601 of Title VI of the Civil Rights Act of 1964 requires that:

No person in the United States shall, on the ground 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.

All programs which receive funding from the Federal Transit Administration (FTA) are required to follow the U.S. Department of Transportation's Title VI regulations of 49 CFR Part 21. As a recipient of FTA financial assistance, the Rockford Mass Transit District is required to prepare a Title VI Program as stipulated in the FTA Circular 4702.1B, released October 1, 2012. The objectives of Circular 4702.1B are to provide FTA recipients with the direction, guidance and procedures to: ensure that the level and quality of public transportation service is provided in a nondiscriminatory manner; promote full and fair participation in public transportation decision-making without regard to race, color, or national origin; and ensure meaningful access to transit-related programs and activities by person with limited English proficiency.

Following the requirements laid out in Circular 4702.1B, the Rockford Mass Transit District (RMTD) is required to prepare a Title VI Program comprised of a public notice of protection against discrimination, procedures to filing a Title VI discrimination complaint, public participation plan, language assistance plan, racial composition of membership on non-elected transit related boards or committees, equity analysis related to determination of the site of location of any new transit facilities, and establish system-wide service standards and policies. The Title VI program must be approved by the RMTD Board of Directors and submitted every three years.

## DEFINITIONS

The following are a selection of definitions applicable to this Title VI Program, which can be found in Chapter I of FTA Circular 4702.1B.

*Demand Response System-* Any non-fixed route system of transporting individuals that requires advanced scheduling including services provided by public entities, non-profits, and private providers.

*Discrimination-* Refers to any action or inaction, whether intentional or unintentional, in any program or activity of a Federal aid recipient, Subrecipient, or contractor that results in disparate treatment, disparate impact, or perpetuating the effects of prior discrimination based on race, color, or national origin.

*Fixed Route-* Refers to public transportation service provided in vehicles operated along pre-determined routes according to a fixed schedule.

*Limited English Proficiency (LEP) Person-* Refers to persons for whom English is not their primary language and who have a limited ability to read, write, speak, or understand English. It includes people who reported to the U.S. Census that they speak English less than very well, not well, or not at all.

*Low-Income Person*- Means a person whose median household income is at or below the U.S. Department of Health and Human Services poverty guidelines.

*Metropolitan Planning Organization (MPO)*- The policy board of an organization created and designated to carry out the metropolitan transportation planning process.

*Minority Person*- Includes the following:

1. American Indian and Alaska Native, which refers to people having origins in any of the original peoples of North and South America (including Central America), and who maintain tribal affiliation or community attachment.
2. Asian, which refers to people having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.
3. Black or African American, which refers to people having origins in any of the Black racial groups of Africa.
4. Hispanic or Latino, which includes persons of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.
5. Native Hawaiian or Other Pacific Islander, which refers to people having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.

*Primary Recipient*- Means any FTA recipient that extends Federal financial assistance to a subrecipient.

*Subrecipient*- Means an entity that receives Federal financial assistance from FTA through a primary recipient.

## TITLE VI AND ENVIRONMENTAL JUSTICE

On February 11<sup>th</sup>, 1994 President Clinton issued Executive Order 12898 “Federal Actions to Address Environmental Justice in Minority Population and Low-Income Populations.” Environmental Justice (EJ) builds on to Title VI activities by including the consideration of the impacts to low-income populations in addition to minority populations into transportation planning and decision-making processes. The guiding principles of Environmental Justice are:

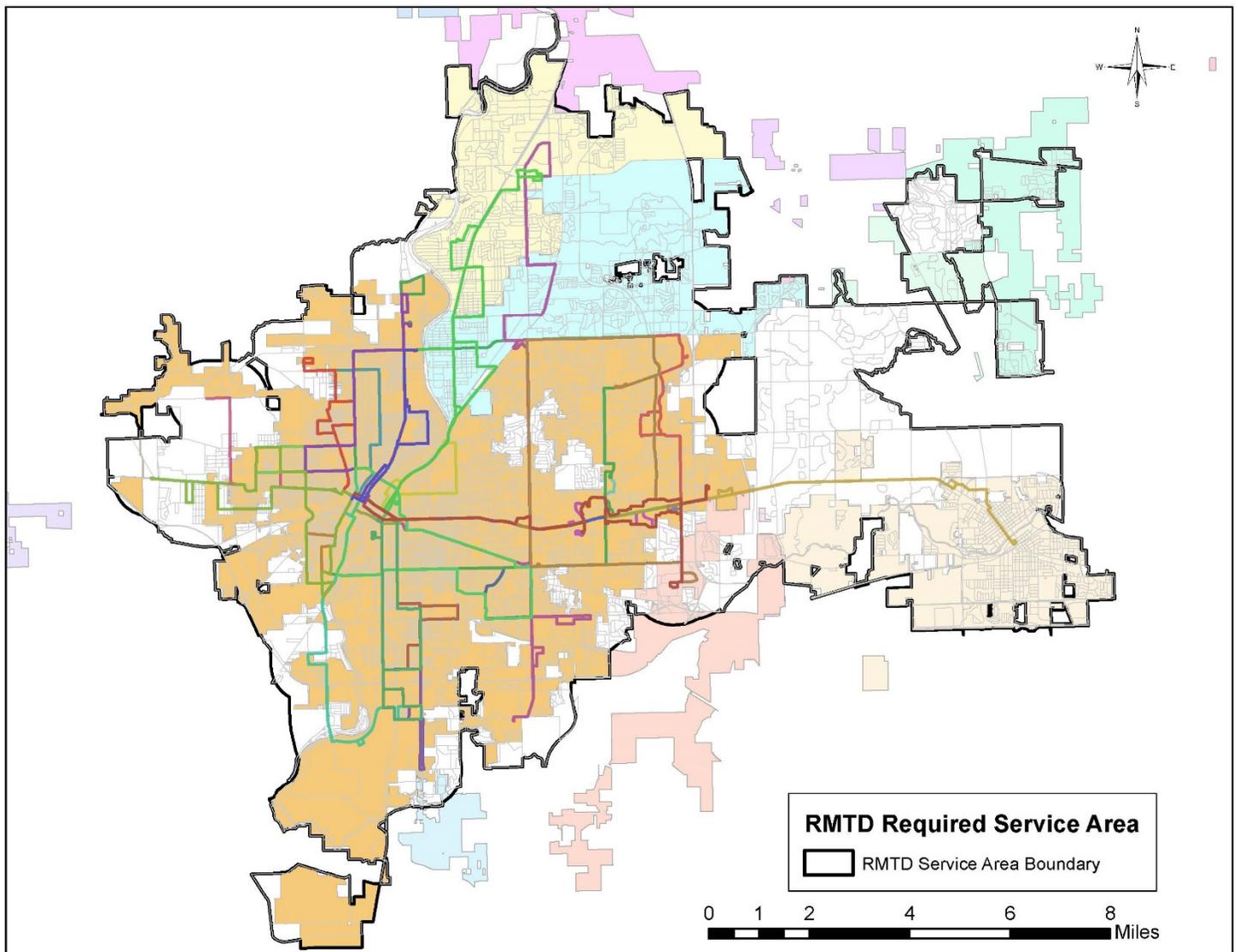
1. To avoid, minimize, or mitigate disproportionately high and adverse human health and environmental effect, including social and economic effect, on minority populations and low-income populations.
2. To ensure the full and fair participation by all potentially affected communities in the transportation decision-making process.
3. To prevent the denial of, reduction in, or significant delay in the receipt of benefits by minority and low-income populations.

Prior to 2012, Title VI and EJ requirements were lumped together under one circular. Given the close relationship between Title VI and EJ, the distinctions between the requirements were often confused. As a result, FTA released two separate Circulars, FTA 4702.1B which outlines Title VI requirements and FTA 4703.1 with EJ requirements in 2012. Title VI is a Federal statute, and as such, in the event of discrimination legal action may be sought. Executive Order 12898 however is not enforceable in court and does not create any legal rights or remedies. While E.O. 12898 does not create a protected class for low-income populations, RMTD recognizes the close relationship between the two and believes it important to include the consideration of effects borne by low-income populations in our Title VI considerations and assessment.

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# ABOUT THE ROCKFORD MASS TRANSIT DISTRICT

The Rockford Mass Transit District is dedicated to providing safe, efficient, affordable, dependable and accessible transportation to the resident of Rockford and the surrounding area. For nearly five decades, RMTD has provided federally-subsidized, coordinated, fixed-route transit services for the Rockford Urbanized Area. The bulk of this service area is comprised within the City of Rockford, as well as service to the City of Loves Park and Village of Machesney Park in Winnebago County, and more recently to the City of Belvidere in Boone County on a contractual basis. RMTD also provides origin-to-destination Paratransit service for persons with disabilities such that their disability limits their ability to ride the fixed route.



## FIXED ROUTE SERVICE

The RMTD fixed route service area encompasses roughly 154 square miles, with a potential service population of just over 265,000 people as based upon the 2010 Decennial Census. Given the long distances to bus routes in the more remote parts of the service area, the actual service population effectively served by fixed-route buses is considerably smaller. In 2011 RMTD began fixed route service to the City of Belvidere in Boone County. The population of the Belvidere/Boone County RMTD service area is 44,216 persons.<sup>1</sup>

### RMTD Stats at a Glance

*Serving the communities of Rockford, Machesney Park, Loves Park, Cherry Valley, Belvidere, and the surrounding area*

<b>Fixed Route Service Area</b>	155 Sq. Miles
<b>Fixed Route Service Area Population</b>	265,200
<b>Number of Fixed Routes</b>	18
<b>Fleet Size</b>	40
<b>Buses in Peak Service</b>	24
<b>Paratransit Fleet Size</b>	33

FARE CATEGORY	
<b>CASH FARE</b>	
<b>Adult Single Ride</b>	\$1.50
<b>Student</b>	\$0.75
<b>Children under 5</b>	FREE
<b>Disabled</b>	\$0.75
<b>Disabled &amp; enrolled in Benefit Access Program</b>	FREE
<b>Seniors over 65</b>	FREE
<b>Transfers</b>	FREE
<b>Zone Fare to Cherry Valley</b>	\$0.25
<b>TICKET FARES</b>	
<b>Adult 10 Ride</b>	\$15.00
<b>Student</b>	\$7.50
<b>Disabled</b>	\$7.50
<b>Full Fare Single Ride</b>	\$1.50
<b>Half Fare Single Ride</b>	\$0.75
<b>PASSES</b>	
<b>30 Day Unlimited Ride</b>	\$55.00
<b>7 Day Unlimited Ride</b>	\$16.00

RMTD operates buses on 18 fixed routes on normal weekdays and Saturdays. Most of these routes have one hour headways between buses with a few having 45-minute or half-hour headways. The service begins between 5:00 and 6:00 am and extends to roughly 11:00 pm.

Nighttime and Sunday fixed routes are abbreviated versions of the weekday routes with buses running under one-hour headways. Nighttime and Sunday fixed route service is not provided to Loves Park or Machesney Park, however paratransit service is extended until 10:00 pm in both of those communities Monday through Friday.

RMTD currently maintains a fleet of 40 full-sized buses. At peak hours, approximately 24 buses are in service. RMTD also operates a “trolley-bus” during the summer months. All RMTD vehicles are accessible to persons with disabilities.

## PARATRANSIT SERVICE

In addition to the fixed-route transit services provided by RMTD, extensive paratransit service is also provided in accordance with all aspects of the American’s with Disabilities Act. The RMTD paratransit service is an origin-to-destination demand response service. Paratransit service operates during normal fixed route operating hours. Paratransit service is provided throughout the required service areas, including

<sup>1</sup> Population figures are based on 2010 Decennial Census Block-Level Data. Only blocks with centroids within the RMTD service area are included in this tabulation.

all of Rockford, Loves Park and Machesney Park, and all areas within ¾ of a mile of RMTD’s fixed routes. RMTD maintains and operates a fleet of 33 lift-equipped paratransit vehicles.

## FUNDING

RMTD is funded through a combination of Federal, State and local subsidies or contractual payments. RMTD also has internally generated revenues derived from fares charged to transit patrons, advertising on their buses, and other small funding sources.

The district generates about \$1.4 million in fares, and nearly \$60,000 in advertising. Non-operating funds totaled about \$13 million. Of that amount, \$10 million comes from the State of Illinois; \$1.5 million comes from the City of Rockford; \$1.1 million from the Federal government; \$224,000 from the City of Loves Park; \$134,000 from the Village of Machesney Park; and \$86,000 from Boone County.

## MINORITY REPRESENTATION ON NON-ELECTED PLANNING AND ADVISORY BOARDS AND COMMITTEES

RMTD is governed by a three-person board appointed by the City of Rockford and empowered through a special charter under the laws of the State of Illinois. The Mayor of Rockford is responsible for board member appointments.

Representation <sup>2</sup>	Not Hispanic or Latino	White	Black or African American	American Indian and Alaska Native	Asian	Hawaiian and Other Pacific Islander	Some Other Race	Two or More Races	Hispanic or Latino
Service Area Population	85%	79%	15%	<1%	3%	<1%	<1%	2%	15%
RMTD Board	100%	66%	33%	0%	0%	0%	0%	0%	0%

FTA Title VI Circular 4702.1B requires that any recipients that have transit-related, non-elected planning boards, advisory council or committees, or similar bodies, membership of these committees must be broken down by race, accompanied by a description of efforts made to encourage the participation of minorities on these committees. Historically the RMTD Board has lacked minority representation, however for the past eight years there has been African American representation on the Board. RMTD is an active participant of the Rockford Metropolitan Agency for Planning (RMAP) Mobility Subcommittee, with a goal of promoting communication and coordination between public transit, human services providers and work-force development agencies. The Mobility Subcommittee is charged with facilitating public involvement to identify transportation needs, identify and work with resource agencies to develop strategies that address the transportation needs of public transit dependent populations, and advocate for enhancements, expansion and new services that improve the well-being of public transportation dependent populations. This gives RMTD the opportunity to engage representatives from minority and transit-dependent populations on a variety of transit-related issues. Further goals and strategies to actively engage minority populations are included in the Public Participation Plan included later in this document.

<sup>2</sup>Due to Census definitions these categories may not equal 100%.

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# NONDISCRIMINATION POLICY

The Rockford Mass Transit District unequivocally seeks to provide fair and equitable transportation to all persons with the District's service area. No persons shall be shorted, limited, or in any other way be discriminated against on the basis of race, color, national origin, sex, age, religion, physical or mental abilities or disabilities, ability to speak or understand the English language, or financial wealth or the ability to earn financial income. RMTD agrees to compile, maintain, and submit in a timely manner Title VI information required by FTA Circular 4702.1B and in compliance with the U.S. Department of Transportation's Title VI Regulation at 49 CFR Part 21. Furthermore, RMTD will make it known to the public that those person or persons alleging discrimination on the basis of race, color, or national origin as it relates to the provision of transportation services and transit-related benefits may file a complaint with the Federal Transit Administration and/or the U.S. Department of Transportation. The following policies and procedures in the duration of this document are intended to ensure that RMTD continues to provide the best service possible for all our patrons.

The following Title VI program was approved by the Rockford Mass Transit District Board of Directors on June 28<sup>th</sup>, 2017. A copy of the Board resolution can be found in **Appendix A**.

## NOTICE TO THE PUBLIC

RMTD's Title VI Notice is widely distributed. Notice is posted at the Downtown Transfer Center as well as at the East Side Transfer Center. Notice is printed in the schedule book, posted on the website and featured on rail cards in each bus. In all cases the Notice is printed in both English and Spanish.

To view a copy of RMTD's Title VI Notice to the Public please see **Appendix B**.

## HOW TO FILE A COMPLAINT

RMTD has developed a procedure for investigating and tracking any Title VI complaints that may be filed. Any person who believes that he or she, or any specific class of persons, has been subjected to discrimination or retaliation by RMTD's administration of federally funded programs, as prohibited by Title VI of the Civil Rights Act of 1964, as amended, and related statutes, may file a written complaint. All written complaints received by the RMTD will first be screened by the RMTD Operations Supervisor. Verbal and non-written complaints received by RMTD shall be resolved informally by the RMTD Operations Supervisor. If the issue has not been satisfactorily resolved through informal means, or if at any time the complainant requests to file a formal written complaint, the complainant shall be permitted to do so, and the complaint shall follow the process for written complaints.

The RMTD Executive Director will be informed of any written complaint within 10 days of receipt of the complaint. Within 30 days of receipt of the complaint the RMTD EEO Officer will acknowledge receipt of the complaint and inform the complainant of proposed action to process the complaint. Within 120 days of receipt of the complaint the EEO Officer will conduct and complete a full investigation of the complaint and provide a recommendation for action in a report of findings to the RMTD Executive Director. Within 30 days of the completion of the full investigation the RMTD Executive Director will notify the complainant in writing of the final decision reached. The notification will advise the complainant of their right to file a formal complaint with IDOT's Equal Opportunity Office if they are dissatisfied with the final decision rendered by RMTD. The RMTD EEO Officer will also provide the Board of Trustees with a copy of this decision and summary of findings.

A person may also file a complaint directly with the Federal Transit Administration, at FTA Office of Civil Rights, 1200 New Jersey Avenue SE, Washington, DC 20590.

To view a copy of RMTD's Complaint Form please see **Appendix C**.

To view a full text copy of RMTD's Complaint Process please see **Appendix D**.

## TITLE VI INVESTIGATIONS

All FTA recipients are required to prepare and maintain a list of any complaints alleging discrimination on the basis of race, color, or national origin. RMTD is pleased to report that in all their years of service they have not received any Title VI complaints.

## TITLE VI EQUITY ANALYSIS

Under FTA Circular 4702.1B transit providers are required to conduct and submit a Title VI equity analysis if the provider has sited a new facility such as a vehicle storage facility, maintenance facility, operation center etc., with the exception of bus shelters and projects subject to the NEPA process. Since the date of the last Title VI submittal RMTD has no new construction sites.

## ADDITIONAL INFORMATION

For a list of previous submittals and documents please see **Appendix E**.

For a list of special RMTD changes, improvements or efforts since the last Title VI program submittal please see **Appendix F**.

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# PUBLIC PARTICIPATION AND OUTREACH

RMTD is committed to providing meaningful access to services to all people, regardless of race, color, national origin, English proficiency, or disability. RMTD has prepared several documents to help guide the agency in ensuring that the transportation planning process is open to everyone.

## PUBLIC PARTICIPATION PLAN

RMTD's Public Participation Plan (PPP) outlines the strategies developed to disseminate information to the public on our transportation planning and programming processes, most specifically route and rate changes, in addition to projects, studies and plans, as well as gathering public feedback on these projects. RMTD recognizes that effective public involvement, with an emphasis on traditionally underserved populations, is critical to ensuring the best quality of service for all our patrons.

Please see **Appendix G** for the full text Public Participation Plan.

Please see **Appendix H** for all outreach efforts made since the last Title VI Program submission.

## LIMITED ENGLISH PROFICIENCY POLICY

The Rockford Mass Transit District recognizes that in order to provide the best service to all our citizens, alternative provisions need to be made for those with limited English proficiency. RMTD further defines passengers with limited English proficiency to be those individuals who meet the following criteria: English as second language, having a limited ability to internalize the English language, and having a disability prohibiting full usage and understanding of the English language. RMTD will work toward addressing the needs of these individuals based on the percentage of the population residing in our service area, the percentage of the population using public transportation and Federal and/or State mandates and guidelines. Typical measures will include but are not limited to providing translated documents, interpreters for RMTD public hearings and forums and staff training for appropriate assistance. RMTD has developed a Limited English Proficiency Plan to provide a framework for this process. As a result of this plan development, Census data has determined that it is necessary to provide Spanish translations of our vital documents as well as to have Spanish translators and sign language interpreters on hand for public meetings. With advanced notice similar accommodations can be made for additional languages.

To view the full text RMTD Language Assistance Plan please see **Appendix I**.

## ADDITIONAL OUTREACH MATERIALS

To assure that all potential paratransit patrons are aware of their rights to and the means of obtaining paratransit service, RMTD provides and maintains a "Guide to Ride" information booklet. This eight-page booklet is available free upon request and consists of a description of the service, the eligibility requirements, the procedures for determining eligibility and making application, the policies and procedures for scheduling rides, the fares and other relevant information.

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# SYSTEM-WIDE SERVICE STANDARDS AND POLICIES

Title 49 CFR Section 21.5 requires that all fixed route providers of public transportation service shall:

- Not utilize criteria or methods of administration which have the effect of subjecting persons to discrimination because of their race, color, or national origin, or have the effect of defeating or substantially impairing accomplishment of the objectives of the program with respect to individuals of a particular race, color, or national origin.<sup>3</sup>
- Take affirmative action to assure that no person is excluded from participation in or denied the benefits of the program or activity on the grounds of race, color, or national origin.<sup>4</sup>

Additionally, Title 49 CFR Section 21.3 also ensures that:

- No person or group of persons shall be discriminated against with regard to the routing, scheduling, or quality of service of transportation service furnished as part of the project on the basis of race, color, or national origin. Frequency of service, age and quality of vehicles assigned to route, quality of stations serving different routes, and location of route may not be determined on the basis of race, color, or national origin.<sup>5</sup>

To ensure these conditions are being met, FTA's Title VI Circular requires fixed-route providers to develop system-wide service standards and policies. Four quantitative service standards are required, included vehicle load, vehicle headway, on-time performance, and service availability. Fixed-route providers must also adopt two service policies, adopting policies for vehicle assignment and distribution of transit amenities. These standards and policies will be monitored to ensure against disparate impacts and disproportionate burdens for minorities and low-income populations, as defined below.

- *Disparate impact*- A facially neutral policy or practice that disproportionately affects members of a group identified by race, color, or national origin, where the recipient's policy or practice lacks a substantial legitimate justification and where there exist one or more alternatives that would service the same legitimate objectives but with less disproportionate effect on the basis of race, color, or national origin.
- *Disproportionate burden*- A neutral policy or practice that disproportionately affects low-income populations more than non-low-income populations. A finding of disproportionate burden would require RMTD to evaluate alternatives and mitigate burdens where practicable.

## SERVICE STANDARDS

The following service standards have been developed to ensure that every RMTD patron receives equitable quality and service across all routes.

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<sup>3</sup> 49 CFR Section 21.5(b)(2)

<sup>4</sup> 49 CFR Section 21.5(b)(7)

<sup>5</sup> 49 CFR Section 21.3(iii)

### *Vehicle Load*

Vehicle load generally refers to how crowded a bus can be before additional service is necessary. Vehicle load is expressed as the ratio of passengers to the number of seat available on a particular vehicle. Vehicle load shall not exceed 1.5 during peak periods and 1.0 in off-peak periods.

<b>Vehicle Type</b>	<b># of Seats</b>	<b>Target Peak Capacity Should Not Exceed:</b>	<b>Target Non-Peak Capacity Should Not Exceed:</b>
<b>35' NABI</b>	29	44	29
<b>35' Gillig</b>	32	48	32

### *Vehicle Headway*

Vehicle headway refers to the length of time between bus departures for each route, a measurement of frequency of service. A shorter headway indicates more frequent bus service. Vehicle headways are determined based on ridership demand, service type, time of day, and day of the week. For weekday service, standard headways are 60 minutes for all routes. 30-minute headway may be implemented on high ridership routes where justified by demand.

### *On-Time Performance*

On-time performance is an important measure of service reliability. Transit patrons rely on a reasonable guarantee that their bus will run as scheduled in order to accurately plan their trips. To be considered on-time RMTD expects buses to arrive no more than five (5) minutes late. RMTD has established an objective that 90% or more of scheduled routes will run on-time.

### *Service Availability*

A passenger's ability to access transit is measured as service availability. Transit service is generally designed to provide greater levels of accessibility to areas with higher population densities and concentrated commercial or service corridors. It is RMTD's policy that at least 90% of dwelling units in areas having six or more units per acre shall be located within ½ mile of a RMTD bus stop.

## **SERVICE POLICY**

RMTD has developed the following policies to ensure that buses and transit amenities are equitable distributed across the system to deliver safe, comfortable, and convenient service to all transit customers.

### *Vehicle Assignment*

Vehicles are assigned daily to a random rotation across all routes. Specific vehicles are assigned to routes only when required by operating conditions, such as when faster buses are required to more rapidly accelerate to higher speed highway conditions. All buses feature the same amenities: all fixed route buses kneel and are fully ADA compliant, are air conditioned and have bike racks. All buses are closely inspected and maintained to ensure that all vehicles are in optimum operating condition.

### *Distribution of Transit Amenities*

It shall be the goal of the District to place bus stop passenger shelters equitably throughout the entire fixed route system. Shelter locations will be determined by ridership data, general observation of conditions and requests from transit patrons, city council members and persons with disabilities, where there is a strong demand and need for shelters.

RMTD has developed a **Bus Shelter Distribution Policy**, which outlines a 10-point system to be used as a decision-making tool at the planning level to determine which bus stops will be prioritized for improvements when financial resources are available.

These ranking criteria include:

- High boarding count or transfer location;
- Special needs- including senior centers, medical offices, persons with certain disabilities, etc.;
- Activity locations- including high densities of population, employment, commerce, or services;
- Exposure to elements – locations with no landscape or buildings to offer shade/rain protection, no seat walls, no area to stand outside of sidewalk, and 2-3 lanes of traffic of 40 mph or more;
- Long waiting time for bus– stops at which patrons wait 30 minutes or more between buses; and/or
- Request for improvement – citizen requests improvements at stop.

If a bus stop meets the amenities criteria it may be considered for a shelter or bench and trash receptacle placement. Meeting these criteria does not guarantee shelter installation. Existing site conditions and pedestrian infrastructure, public right-of-way availability, accessibility and safety issues, and other concerns must be reviewed and addressed before future shelter or bench placements are confirmed. Bus stops that accumulate 10 points or more may be considered for shelter placement. Existing shelter locations shall be reviewed periodically and evaluated to determine if any should be removed or relocated.

All bus stops are clearly identified with a standard RMTD bus stop sign. Printed information, including route maps and schedule books, can be found at all transfer centers and on every bus. Provision of digital information signage will be provided at all transfer centers.

All bus shelters feature seating for waiting patrons, however RMTD does not provide standalone benches along its routes. Any benches located along its routes are sited and installed by the local municipality or adjacent property interest. Where needed or if requested RMTD may install trash receptacles at major transfer points or shelters, or by entering into an agreement with an adjacent property interest.

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# Monitoring Procedures and Efforts

## ROCKFORD MASS TRANSIT DISTRICT MONITORING PROCEDURES

RMTD works closely with the Rockford Metropolitan Agency for Planning (RMAP) to ensure compliance with all Title VI requirements. RMAP will monitor all planning efforts on behalf of RMTD to ensure that any proposed service or route changes and future developments will positively impact RMTD patrons, particularly those patrons whom constitute a minority population or disadvantaged class. RMTD will monitor the operational side of its activities to ensure that all patrons receive equal service regardless of race, color, or national origin. RMTD will monitor system-wide service standards and policies to further uphold compliance efforts. RMTD will submit an updated Title VI Program with Board of Trustee approval to the regional FTA Civil Rights Officer every three years.

On an annual basis RMTD signs FTA's Certifications and Assurances which stipulates that RMTD agrees to assure compliance by any subrecipients, lessees, third party contractors, or any other participant involved in an FTA grant award with all Title VI requirements. A copy of the most recently approved Certifications and Assurances can be found in **Appendix J**

## PROCESS FOR MONITORING SUBRECIPIENT COMPLIANCE

RMTD historically has not acted as a primary recipient extending Federal financial assistance to subrecipients. Should RMTD ever extend Federal financial assistance to a subrecipient in the future, compliance will be monitored through the program management plan.

## ROLE OF THE ROCKFORD METROPOLITAN AGENCY FOR PLANNING (RMAP)

The Rockford Metropolitan Agency for Planning (RMAP) is the federally designated Metropolitan Planning Organization responsible for planning for the transportation needs of the Rockford Region. RMAP is charged with the responsibility to direct, coordinate, and administer the continuing, comprehensive, and cooperative transportation process. RMAP's planning area includes the entirety of the RMTD service area. For decades RMAP has worked with transit providers in the region in the interest of preventing discrimination. RMAP works closely with RMTD in the development of the annual Unified Planning Work Program and Transportation Improvement Program and in the development of the Long-Range Transportation Plan. RMTD notifies RMAP of any and all proposed service changes and of pending financial considerations that might result in service changes. In 2009 a Memorandum of Understanding for Cooperative Transportation Planning was signed between RMAP and the public transit agencies within its boundaries, including RMTD. The MOU includes that RMAP will:

- Assist the Public Transit Operators by periodically conducting a Title VI (Nondiscrimination) Assessment, in accordance with federal guidelines; and
- RMAP will assist the Public Transit Operators by providing information that can be used to support visualizations, assist in the decision making and transportation planning process and aid in the public participation process for transportation planning.

RMAP takes a comprehensive approach to monitoring population trends across the region. RMAP assembles detailed Census data to track demographic trends across the area. In addition to Census data, they also develop detailed dwelling unit and employment forecasts encompassing Boone and Winnebago Counties, in addition to Rock County in Wisconsin. Building and demolition permits are closely monitored to help determine the location and quantities of dwelling unit changes throughout the area. Longitudinal employment dynamics are closely studied to determine the employment locations of minority and low-income groups in relation to their place of residence to help identify key transportation linkages.

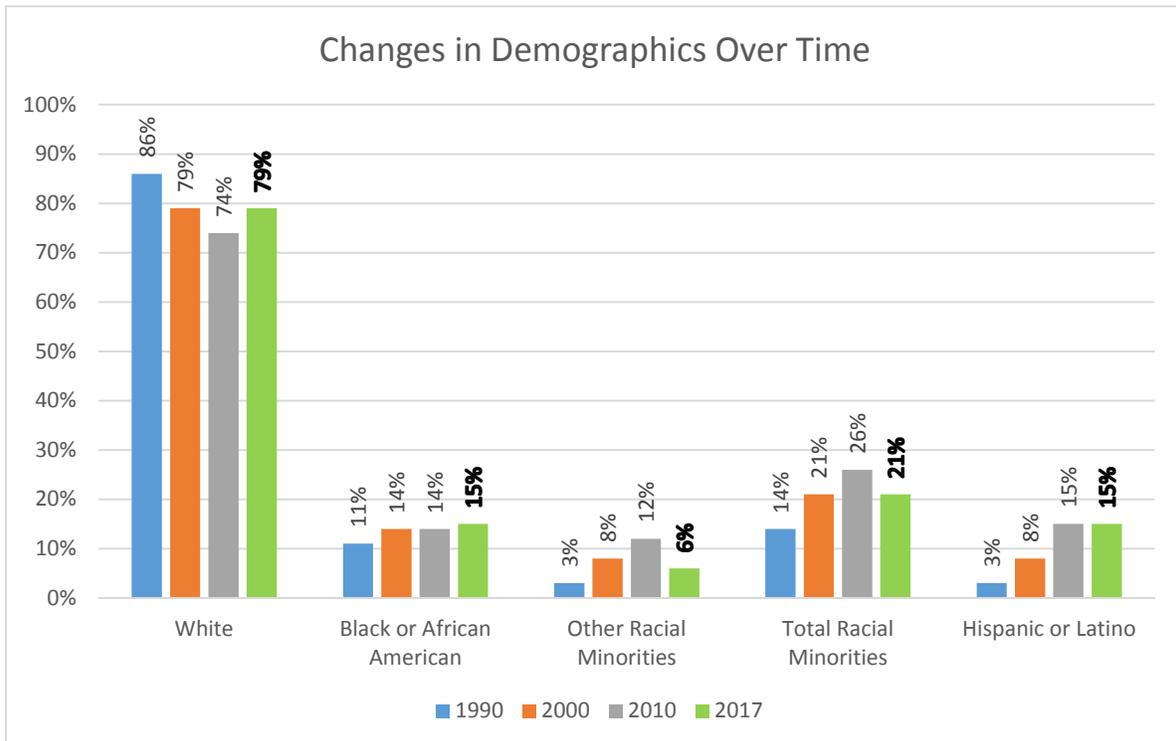
# Service Area Demographics

While not required for a fixed-route provider of RMTD's size by Federal Title VI regulations, RMTD and RMAP have compiled a collection of data applicable to the assessment of Title VI program and for conducting Environmental Justice evaluations. A summary of the data is as follows. This data will be updated in house as new data becomes available.

Please Note: All maps referenced in the section can be found in **Appendix K**

## DEMOGRAPHIC PROFILE

According to 2010 Census data, a total of 265,200 people reside within the RMTD service area. The presence of minorities within the greater Rockford region is significant, and has been a growing trend over the past 30 years. Racial minorities comprise 21% of the population within the RMTD service area;<sup>6</sup> African Americans alone represent 15% (34,864 people) of the service area population. Those of Asian descent represent about 3% of the service area. American Indian or Alaska Native, Hawaiian or Pacific Islander, and persons of Some Other Race each make up less than 1% of the service area. Persons of two or more races make up about 2% of the service area. The Hispanic ethnicity actually comprises the largest minority population in the service area at 15% (38,837 people).

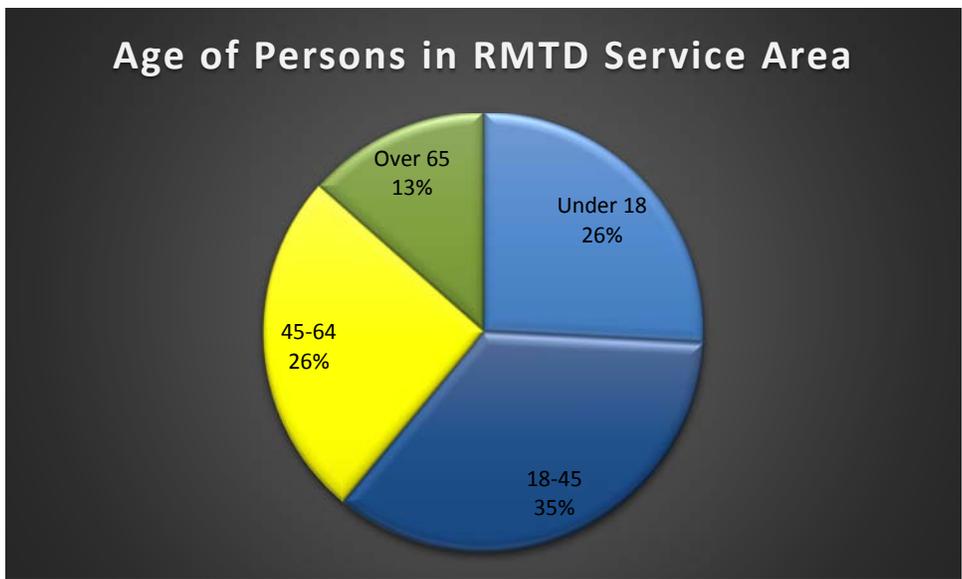


<sup>6</sup>Those of African American, Asian, Native American, Hawaiian and Pacific Islander, other, or multi-race backgrounds are included in the racial minority category. The U.S. Census Bureau defines Hispanic/Latino as an ethnic minority. An individual can be counted as both a racial minority and ethnic minority by the Census, therefore these classifications are treated separately in this analysis

In 1990<sup>7</sup> White persons represented 86% of the service area population; in 2000 they represented 79% and in 2010 dropped to representing 74% of the service area population. Considerable growth has been seen in both the African American and Hispanic populations. The growth of the Hispanic population since 1990 in particular can partially be explained by the addition of the City of Belvidere to the RMTD service area. Since this update and the previous one use data from the same Decennial Census (2010), the changes in demographics between these updates can in part be attributed to the change in the service area from the changes in the route network. For example, some Census geographies with high concentrations of racial and ethnic minorities in Boone County are no longer included in the service area due to the reduction of the distance the fixed route in Boone County travels.

The greatest density of residents lives in the vicinity of the urban core, well serviced by the centralized Downtown Transfer Center. The East Side Transfer Center serves as a connection point to extend transit service to the City of Belvidere in Boone County. **Map A** located in the appendix provides a dot density illustration of the population distribution across the region.

**Map B** shows the distribution of all minorities as a whole. **Maps C through I** provide dot density illustrations of the distribution of people identifying their race and ethnicity as African American, Hispanic, Asian, American Indian, Hawaiian, Multi-race or other, respectively. Generally speaking, the African American population has the greatest density in western Rockford, as well as the south side of Rockford to a somewhat lesser degree. Concentrations of the Hispanic population are located in the southwest side of Rockford, along with a very sizable population well distributed throughout the City of Belvidere. Asian minorities are scattered widely throughout Rockford’s east side. People identifying themselves as American Indian, Hawaiian or other are uniformly scattered throughout the whole service area.



As can be seen from the graph to the left youth ages 17 and under compose 26% of RMTD’s service area. Working age adults (18-64) make up 61%, with the remaining 13% of residents living in the service area being over the age of 65. The male to female ratio remains closely balanced: 49% of service area resident are men, compared to 51% female.

The ACS also includes a category to track people in poverty; 49,432 people (18%) in the RMTD service area fall under the poverty line as of the 2011-2015 ACS.

<sup>7</sup>1990, 2000 and 2010 population percentages reflect percentages reported in previous last Title VI submissions.

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# ENVIRONMENTAL JUSTICE ASSESSMENT

On February 11<sup>th</sup>, 1994 President Clinton issued Executive Order 12898 “Federal Actions to Address Environmental Justice in Minority Population and Low-Income Populations,” followed by a USDOT Order in 1997 to promote the principles of environmental justice in all [DOT] programs, policies, and activities. Environmental justice (EJ) builds upon Title VI activities by including the consideration of the impacts to low-income populations in addition to minority populations into transportation planning and decision-making processes. The term “environmental justice” may be misleading- environment is often times associated with one’s natural surroundings. In following with Executive Order 12898 “environment” is more broadly understood to refer to “the complex social and cultural conditions affecting the [intrinsic qualities] of an individual or community.” The guiding principles of environmental justice are:

1. To avoid, minimize, or mitigate disproportionately high and adverse human health and environmental effect, including social and economic effect, on minority populations and low-income populations.
2. To ensure the full and fair participation by all potentially affect communities in the transportation decision-making process.
3. To prevent the denial of, reduction in, or significant delay in the receipt of benefits by minority and low-income populations.

The Rockford Region is recovering from a legacy of inequitable development. During the 1950s and 1960s the decision was made to located I-90 on the far eastern extremity of Rockford, subsequently followed by the construction of I-39 in the southeast quadrant of the area. As a result, new places of residence, employment and commerce grew eastward to take advantage of the new infrastructure while the western portion of Rockford saw a disinvestment in the infrastructure and aging core of the City. Dense concentrations of minorities, most notably African Americans and Hispanics have historically and continue to reside in these underserved locations. Over the course of the last 20 years many new capital improvement projects have begun to transform the western portion of the City, however as will be discussed later in this analysis the employment and commerce centers largely remain located in the east, capitalizing on the close proximity to I-90. While some of the RMTD route may transverse predominantly white and higher income sections of the City, these routes are critical to connecting minority populations to the employment and services in the east. This highlights the importance of tracking key demographic data to ensure that these disadvantaged populations receive benefits equal to that of the general population.

## SERVICE AREA THRESHOLDS

Establishing a demographic baseline is a vital step in conducting an Environmental Justice assessment. RMAP has calculated thresholds for the RMTD service area useful for determining areas with minority populations that may be particularly impacted by a service change or facility improvement. A threshold represents the overall concentration of a population across the entire service area. This threshold was then applied to all the census block groups within the service area<sup>8</sup>to identify areas with higher than average minority densities. To comply with Environmental Justice criteria a low-income threshold was established

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<sup>8</sup> Decennial Census Data was used wherever possible. In some cases, datasets were only available through the American Community Survey (ACS); maps using this data are so noted. Some census blocks within the service area extend beyond the service area boundary, therefore population estimates will exceed the actual service area population.

based on Census Bureau poverty data. Additionally, thresholds were calculated for “disadvantaged” populations that may also be particularly dependent upon transit and adversely impacted by service changes. These populations include: limited English proficiency, elderly (aged 75 and above) and zero car households. In the future a threshold will be set for those with disabilities. Due to an oversight by the Census Bureau this data has not been available since the 2000 Census; however, it is anticipated that future ACS data releases will contain this disability data.

Service area thresholds are meant to provide a broad overview of demographic conditions across the service area. More detailed breakdowns may be required in the event of a service change or fare increase. Service area thresholds depict population percentages by census block group. It is often helpful to overlay the dot density maps on top to get a complete picture of the spatial distribution of these demographic groups. All maps are located in **Appendix K**.

**Total Minority**- A person of Black or African American, Asian, American Indian or Alaska Native, Hawaiian and Pacific Islander descent or those identifying themselves as having a multi-race or of Hispanic Ethnicity. The threshold for the service area is **31%**; 44% of the service area block groups exceed this level. As would be expected, these higher than average block groups, shown on **Map J**, are concentrated in the western and southern portion of the City of Rockford, as well as a portion of the City of Belvidere.

**Hispanic Minority**- A person of Mexican, Puerto Rican, Cuban, Central or South American descent, regardless of race. The threshold for the service area is **15%**; 41% of the service area block groups exceed this level. These higher than average block groups are predominately concentrated in the southern portion of the City of Rockford and across the entirety of the City of Belvidere, as shown on **Map K**.

**Limited English Proficiency**- This is a measure of households in which no one over the age of 14 understands English well. These households are predominantly Spanish speaking. The threshold for the service area is **3%**, much smaller than the previous categories. 36% of the service area block groups exceed this level. **Map L** shows that block groups with higher than average limited English speaking households are spread all across the service area, the block groups with the highest concentrations of these households are found just south of downtown Rockford, and the south side of Rockford. This map can be a particularly useful planning tool for targeting areas that may need specialized attention during public engagement, such as translation services during meetings.

**Low Income**- Under FTA Circular 4702.1B low-income is defined as a person whose median household income is at or below the U.S. Department of Health and Human Services (HHS) poverty guidelines. Recipients are encouraged to establish their own locally defined measure of low-income, providing it is at least as inclusive as the HHS guidelines. This analysis uses the Census Bureau’s poverty status calculation. The threshold for the service area is **18%**. 46% of block groups in RMTD’s service area is above this threshold, illustrated by **Map M**. The percentage from the previous incarnation of the Title VI analysis was set at a fixed 15% rather than making a determination similar to the other entries in this analysis. To better bring these items into conformity with one another, this methodology has been updated to function as the other thresholds in this section do.

**Zero Car Households**- Measured as households without access to an automobile. In some instances, the not owning a car may be a lifestyle decision, however in the Rockford region it is more typically a result of

not having sufficient funds to own and operate a car or due to a disability. These households are dependent upon public transit for mobility and would be particularly impacted by a service change. The service area threshold is **9%**. 39% of service area block groups are above this threshold. As shown on **Map N** the greatest concentration of zero-car households lies in Rockford’s downtown and extends into the west and south side of the City, correlated strongly to the poverty map’s densest areas.

**Seniors (75+)** - As people age mobility becomes increasingly challenging. People aged 75 and older typically meet all programs that have age-related requirements; seniors over the age of 65 qualify for free rides on the RMTD system. The senior threshold is 7% for the service area, and only 33% of block groups are above the threshold level, as shown on **Map O**. These block groups make a patchwork pattern across the service area, with higher percentages in downtown Rockford as well as the north and east sides.

## EMPLOYMENT LOCATIONS

The service area thresholds presented in the previous section are based upon where a person lives. To adequately service transit-dependent populations RMTD must provide the vital linkages to get them to places of employment and to access goods and services. The Census Bureau offers a mapping tool called “On the Map” which shows the relative density<sup>9</sup> of places of employment by race, ethnicity, and income level. These maps are generated by Bureau of Labor Statistics place of employment based data. These maps provide a reference of key employment corridors, most significantly downtown Rockford and East State Street, as well as Belvidere, as illustrated by **Map P**. This map demonstrates that the concentration of jobs largely lies in the eastern and northern portions of Rockford, remote from the locations that most disadvantaged populations reside. As reported in previous Title VI submissions, the distinct scarcity of jobs in Rockford’s west and southwest sides necessitates that public transit in the Rockford area extend significantly into the other parts of the region, predominantly white areas, if minorities are to be provided access to jobs, commerce and services.

A visual inspection of the route system overlaid on top of the employment density heat maps demonstrates that the route system provides vital connections to and between these employment corridors. **Maps Q** through **T** feature locations of employment density for African Americans, Hispanics, Asians, and individuals with low income, making below \$1250 a month. **Map U** illustrates the Median Household Incomes of each Census Block Group.

According to the most recent ACS 5-Year data less than 1% of the workers in the Rockford MSA use public transit to get to work. As can be seen from the chart to the right most people drive alone to get to work, regardless of race or income, followed by carpooling. Asian persons are the most reliant on carpools in the region, and Black or African American persons have the highest reliance on public transit to get to work. It is important to note that this chart only represents those people ages 16 and over and employed; these percentages do not include those who use public transit to access goods and services, including trips to the doctor or to purchase groceries.

Means of Transportation to Work				
Group	Drive Alone	Carpool	Public Transit	Walk
White	85%	9%	1%	1%
Black or African American	76%	11%	4%	1%
Hispanic	80%	16%	1%	1%
Asian	64%	34%	0%	0%
Low-Income	83%	10%	1%	1%

U.S. Census Bureau- American Community Survey 2011-2015 Data

<sup>9</sup> Relative density is illustrated through graduated colors. The darker the color the more concentrated the work force.

## ANALYSIS OF INDIVIDUAL ROUTES

In past environmental justice assessments, it has been found that RMTD is committed to providing the most cost-effective service possible to as many people as possible. RMTD substantially provides more opportunities to access transit for low-income and minority populations. This current evaluation finds the same.

Following an extensive route study, RMTD restructured many of its routes, which took effect in November 2013. The route study took a comprehensive look at how any service change may affect minority and low-income populations. Many public meetings were held to disseminate information and gather rider feedback. Ridership tends to dramatically decrease immediately following a significant service change, however ridership remained consistent during that period.

**Chart 1 in Appendix K** provides the demographic breakdown for each route in the RMTD system. The profile for each route is made up of all the census blocks that are directly intersected by a RMTD route. Using the thresholds of 26% for racial minorities and 15% for Hispanics, as established in the demographic profile earlier, only six routes fall below the average percentage of minorities served per the service area; fully 77% of RMTD routes meet the definition of a minority transit route. These routes include: Route 13, 18, 19, 20, 22, and 36. As was demonstrated by the previous section on employment locations, these routes provide minorities and low-income individuals with important access to jobs and services, as illustrated below:

**Route 13- Rural:** This route circulates in the heart of Rockford's downtown district. This route provides service to Park Terrace (a major senior low-income development), the College of Medicine, a full service nursing home and rehabilitation center, and the YMCA.

**Route 18- Bell School:** Provides access to medical and employment services. This route services the newly built Swedish American Cancer Center, Women's Health Center, a key employment center, as well as providing service to one of Rockford's major grocers.

**Route 19- Cherryvale:** Provides access to major commercial centers. This route provides service to Walmart, the Cherryvale Mall, and Magic Waters, a summertime recreational attraction.

**Route 20- Alpine Crosstown:** Provides access to the South Rock Industrial Park and numerous other industrial jobs in that vicinity. This route also provides access to the Colonial Village Mall, the Alpine/State Street commercial area, the Riverside/Forest Hills/Alpine commercials areas, and the fast growing commercial areas at the north end of this route in the Village of Machesney Park, along Il-173. This route serves Rockford Career College as well as Rock Valley College-Jefferson. Additionally, the Crosstown route provides service to Growth Enterprises, a commercial packaging company specializing in providing vocational training for mentally and physically disabled workers. The Alpine Crosstown route also provides numerous transfer points to access other RMTD routes.

**Route 22- North 2<sup>nd</sup> Street:** Provides access to employment and commercial centers including Mondelez (formerly Kraft Foods), the Machesney Park Mall and big box retailers on Il-173. This route provides additional service to Growth Enterprises as well.

**Route 36- Perryville & Alpine:** This route provides service on weeknights only. Provides access to Rock Valley College, retail and grocery on Perryville road, two Wal-Marts, the Cherryvale Mall and Eastside Transfer Center. This route also provides numerous transfer points.

As with past assessments, it is the finding of the report that the RMTD route system provides greater access to minorities, low-income individuals, and the remaining transit-dependent populations than the remaining service area population.

## **LOCATION OF THE MAIN TRANSIT CENTER**

This assessment concurs with past assessments of the location of the Downtown Transfer Center. The Downtown Transfer Center is the heart of RMTD's operation. The Downtown Transfer Center is strategically placed to the advantage of minority population. It is located in downtown Rockford on the block bounded by West State, Court, Mulberry and Winnebago Streets. The RMTD bus system is best defined as a hybrid loop system. The Downtown Transfer Center is the one place where a patron can easily access nearly every bus route in the system. From here the routes loop and intersect, providing many transfer options between routes. The center is continually manned and offers patrons the most convenient place in the system for obtaining information, tickets and other services, while providing a completely sheltered, comfortable, heated, air-conditioned, and monitored waiting area for bus patrons. Currently, the Downtown Transfer Center is slated for renovation/rehabilitation. Architecture and engineering is in process, with construction scheduled to begin before winter 2017.

## **BUS SHELTERS**

Bus stop shelters are a valuable enhancement to the RMTD transit service. Typical of the Midwestern climate, patrons face both cold and hot temperature extremes, rain and snow, and everything in between. Bus shelters provide patrons a welcome respite from these elements, providing a safe and comfortable place to await the next bus. In addition, they provide a less frequent transit patron the assurance that they are on a bus route and at a location where the bus will stop. RMTD began providing bus shelters in the 1970s and has been steadily adding to their numbers as funding permits. RMTD consults with RMAP's Mobility Subcommittee to receive feedback on potential locations for additional shelters.

RMTD currently has 66 shelters installed, over 45 of which are located in areas with higher than average minority populations. The remainder service high ridership routes, particularly along East State Street. Overall, the placement of RMTD's shelters is considered to be of significantly greater benefit to minorities and low incomes persons than to non-minorities and upper income individuals. **Chart 2** in **Appendix K** lists the locations of the current bus shelters.

## OVERALL FINDINGS

Transit providers such as RMTD offer an essential service for many disadvantaged populations who otherwise may not have access to employment, medical appointments, shopping and recreation. In past assessments the RMTD route and schedule structure was found to strongly provide better service to minorities and low-income individuals, as has this review; coupled with the fact that RMTD has never received a discrimination complaint, it is found that RMTD provides superior service to the region's transit-dependent populations.

The RMTD route system serves a proportionately higher population of minority and disadvantaged groups. As evident through previously cited maps and analysis, minority and transit-dependent areas are well served by transit routes and bus stop amenities: 22 out of 27 routes favor neighborhoods of higher minority concentration. The main Downtown Transit Center serves as a vital transportation hub in the heart of the predominantly minority comprised neighborhoods and as such greatly favors service to these minorities and disadvantaged groups.

To continue providing this same level of exceptional service RMTD is encouraged to continue to work closely with RMAP to monitor changes in service area demographics toward the goal of providing equitable transit service to those persons who need it most. Additionally, RMTD is encouraged to continue to ensure that new investments and transit facilities, service, maintenance and vehicle replacement deliver equitable levels of service and benefits to these traditionally underserved and disadvantaged populations. This can be achieved through continuing to actively engage minority populations in the transportation decision making process to avoid, minimize or mitigation any disproportionately high and adverse effects.

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# APPENDIX A

## COPY OF RMTD BOARD OF TRUSTEES TITLE VI APPROVAL RESOLUTION

This document has been updated in collaboration with the Rockford Metropolitan Agency for Planning and the Rockford Mass Transit District (RMTD).

**Resolution No. R-17-07**

Resolution authorizing adoption of the 2018-2020 Rockford Mass Transit District Title VI Program and Environmental Justice Assessment.

WHEREAS, The Rockford Mass Transit District is a recipient of Federal revenues and is required to meet federal regulatory requirements for the Title VI, established by 49 CFR part 21.7; and

WHEREAS, The Rockford Mass Transit District assures that no person or group of persons on the basis of race, color, or national origin, including limited English proficient persons are subjected to discrimination in the level and quality of transportation services, programs and activities provided, whether federally funded or not; and

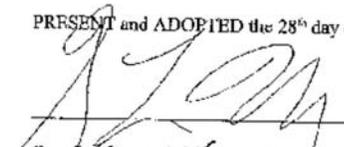
WHEREAS, The Rockford Mass Transit District assures that all residents and visitors of the Rockford region are afforded meaningful access to our programs, activities and services; and

WHEREAS, The Rockford Mass Transit District developed an updated Title VI Program and Environmental Justice Assessment that meets the requirements of FTA Circular 4702.1B and FTA Circular 4703.1.

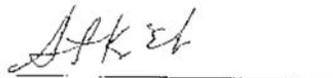
NOW, THEREFORE, BE IT RESOLVED BY THE GOVERNING BOARD OF THE ROCKFORD MASS TRANSIT DISTRICT:

That the 2018-2020 Rockford Mass Transit District Title VI Program and Environmental Justice Assessment presented within is hereby adopted.

PRESENT and ADOPTED the 28<sup>th</sup> day of June, 2017.

  
\_\_\_\_\_  
Gary L. Marzoni, Vice Chairman

The undersigned duly qualified Secretary of the Rockford Mass Transit District certifies that the foregoing is a true and correct copy of a Resolution adopted at a legally convened meeting of the Rockford Mass Transit District Board of Trustees.

  
\_\_\_\_\_  
Stephen K. Ernst, Secretary/Treasurer

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# APPENDIX B

## TITLE VI NOTICE

The Rockford Mass Transit District (RMTD) hereby gives public notice that it is the policy of the District to assure full compliance with Title VI of the Civil Rights Act of 1964, the Civil Rights Restoration Act of 1987, Executive Order 12898 on Environmental Justice and related statutes and regulations in all programs and activities.

Title VI requires that no person in the United States of America shall, on the grounds of race, color, sex, or national origin, be excluded from the participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which RMTD receives federal financial assistance. Any person who believes they have been aggrieved by an unlawful discriminatory practice under Title VI has a right to file a formal complaint with Rockford Mass Transit District. Any such complaint must be in writing and filed with the RMTD Administrative Office within 180 days following the date of the alleged discriminatory occurrence.

For more information on Rockford Mass Transit's Title VI policy or the procedures to file a complaint, contact RMTD at 815-961-9000.

## ROCKFORD TRANSPORTE PÚBLICO DISTRITO TÍTULO VI AVISO AL PÚBLICO

El Distrito de Tránsito Masivo Rockford (RMTD) decide da aviso público de que es la política del Distrito para asegurar el pleno cumplimiento con el Título VI del Acta de Derechos Civiles de 1964, la Ley de Derechos Civiles de Restauración de 1987, la Orden Ejecutiva 12898 sobre justicia ambiental y estatutos y reglamentos en todos los programas y actividades.

Título VI establece que ninguna persona en los Estados Unidos de América, por motivos de raza, color, sexo u origen nacional, ser excluida de participar en, ser negado los beneficios de, o ser sujeto de otro modo a discriminación bajo cualquier programa o la actividad para la cual RMTD recibe ayuda financiera federal. Cualquier persona que cree que ha sido perjudicada por una práctica discriminatoria ilegal bajo el Título VI tiene el derecho de presentar una queja formal con el Distrito de Transporte Masivo Rockford. Cualquier queja debe ser por escrito y presentada en la Oficina Administrativa RMTD dentro de los 180 días siguientes a la fecha de la supuesta ocurrencia discriminatorio.

Para obtener más información sobre la RMTD Título VI de políticas o los procedimientos para presentar una queja, comuníquese RMTD al 815-961-9000.



## **Rockford Mass Transit District**

### **Title VI Discrimination Complaint Procedure**

Title VI of the Civil Rights Act of 1964 as amended prohibits discrimination on the basis of race, color and national origin for programs and activities receiving federal financial assistance. As a recipient of federal financial assistance, the Rockford Mass Transit District (RMTD) has in place the following complaint procedure.

1. Any person who believes that he or she, or any specific class of persons, has been subjected to discrimination or retaliation by RMTD's administration of federally funded programs, as prohibited by Title VI of the Civil Rights Act of 1964, as amended, and related statutes, may file a written complaint. All written complaints received by the RMTD shall be screened by the Operations Supervisor. Complaints deemed to be Title VI in scope will be immediately referred to the RMTD Equal Employment Opportunity (EEO) Officer.

Written complaints shall be sent to:  
**Rockford Mass Transit District**  
**520 Mulberry Street**  
**Rockford, IL 61101**

2. Verbal and non-written complaints received by RMTD shall be resolved informally by the RMTD Operations Supervisor. If they involve a Title VI issue, they will be shared with the EEO Officer. If the issue has not been satisfactorily resolved through informal means, or if at any time the complainant requests to file a formal written complaint, the Complainant shall be permitted to do so, and the complaint shall follow the process for written complaints.
3. The RMTD EEO Officer will advise the RMTD Executive Director within ten (10) calendar days of receipt of the complaint(s). The following information will be included in every notification to the Executive Director:
  - a. Name, address, and phone number of the complaint
  - b. Name, address, and phone number of RMTD
  - c. Basis of complaint
  - d. Date of alleged discriminatory act(s)
  - e. Date complaint received by RMTD
  - f. A statement of the complaint
  - g. Other agencies (local, state or Federal) where the complaint has been filed
  - h. An explanation of the actions RMTD has taken or proposed to resolve the allegation(s) raised in the complaint
4. Within thirty (30) calendar days of receipt of the complaint(s), the RMTD EEO Officer will acknowledge receipt of the complaint(s), inform the complainant of proposed action to process the complaint(s) and advise the complaint of other avenues of redress available, such as the Illinois Department of Transportation (IDOT) or directly to the RMTD Board of Trustees.

5. Within one-hundred twenty (120) calendar days of receipt of the complaint(s), the EEO Officer will conduct and complete a full investigation of the complaint(s) and, based on the information obtained, will render a recommendation for the action in a report of findings to the RMTD Executive Director.
6. Within thirty days (30) calendar days of the completion of the full investigation (one-hundred fifty (150) calendar days since the original receipt of the complaint(s), the RMTD Executive Director will notify the complainant in writing of the final decision reached. The notification will advise the complainant of his or her right to file a formal complaint with IDOT's EEO if they are dissatisfied with the final decision rendered by RMTD. The RMTD EEO Officer will also provide the Board of Trustees with a copy of this decision and summary of findings. If the RMTD Executive Director is unable to come to a final decision within the available time period, the Executive Director will refer the matter to the RMTD Board of Trustees and notify the complainant of this action in writing.
7. The RMTD EEO Officer will maintain a log of all verbal and non-written complaints received. The log will include the following information:
  - a. Name of complainant
  - b. Name of respondent
  - c. Basis of complaint
  - d. Date complaint received
  - e. Explanation of the actions RMTD has taken or proposed to resolve the issue raised in the complaint
8. A person may also file a complaint directly with the Federal Transit Administration, at FTA Office of Civil Rights, 1200 New Jersey Avenue, SE, Washington, D.C. 20590

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# APPENDIX E

## PREVIOUS SUBMITTALS AND DOCUMENTS

This submittal is prepared pursuant to guidance from the U.S. Department of Transportation as provided in Circular 4792.1B of the Federal Transit Administration (FTA). This submittal updates and supplements the following previously-prepared documents:

1. The report entitled, “Title VI & Environmental Justice of the Public Transit Services provided by the Rockford Mass Transit District in the Rockford Urbanized Area”, March 2004, as prepared by RATS
2. The letter dated March 29, 2007, regarding “Title VI and Environmental Justice Assessment for the Rockford Mass Transit District” addressed to Dwight B. Sinks, Civil Rights Officer, US DOT / Federal Transit Administration / Region V, from Gary McIntyre (RATS)
3. The letter dated March 27, 2008, regarding “Title VI and Environmental Justice Update for the Rockford Mass Transit District Reporting Requirements”, addressed to Dwight B. Sinks, Civil Rights Officer, US DOT /Federal Transit Administration / Region V, from Jon Paul Diipla (RATS)
4. The letter dated June 20, 2011, regarding “Title VI and Environmental Justice for the Rockford Mass Transit District Status Report”, addressed to Donald Allen, Civil Rights Officer, US DOT / Federal Transit Administration / Region V, from Jon Paul Diipla (RMAP)
5. The report entitled, “Title VI Program And Environmental Justice Assessment 2014-2017” provided by the Rockford Mass Transit District in the Rockford Urbanized Area, March 2014, as prepared by RMAP.

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# APPENDIX F

## RECENT SPECIAL RMTD CHANGES, IMPROVEMENTS OR EFFORTS

RMTD is engaged in or planning a number of activities aimed at improving transit service throughout the Rockford area. These include:

1. In FY2012-2013, RMTD executed a comprehensive transit analysis which examined the RMTD route/schedule structure as well as determined connectivity with the new RMTD East Side Transfer Center. Award of the consultant assisted project occurred in May 2011 and the study was completed in FY2013.
2. In FY 2004, RMTD initiated a study of the feasibility that also establishing a secondary bus/route transfer center somewhere on Rockford's east side. In FY 2008, RMTD was able to secure and purchase a site on Lyford Road near East State Street. Although the majority of RMTD's patrons and/or transit dependent persons continue to reside in west and central Rockford, significant numbers of retail and commercial facilities are located on Rockford's east side. The shift of employment and commerce to the far east side of the urban area has been occurring for the last two decades. Presently, this shift appears to have reached the threshold level where restructuring at least some of the routes and schedules around an east-side transfer point should be better for the majority of transit dependent persons. As part of this effort, RMTD has determined the need and feasibility of expanding fixed route transit services eastward to Belvidere and the possibility of providing more convenient links and transfer opportunities with the privately operated intercity bus companies that make stops on Rockford's east side. This work was funded via a FTA "5309" grant awarded to RMTD for this purpose as part of the FY 2002 Federal apportionments. It should be noted that ARRA funding was used for the creation of this center and that RMTD began the architectural design/potential construction phase in FY 2010. Construction initiated in FY 2011 and the RMTD East Side Transfer Center began operations on May 22nd, 2012.
3. Via "Federal Access to Jobs" awards, RMTD implemented limited Sunday service. This service will be continued as long as funding can be maintained.
4. RMTD expanded its administrative offices in downtown Rockford. Since RMTD incorporated paratransit service as an in-house activity, their administrative offices have been cramped for space. The project is being funded with FTA "5307" funds. The work was completed in May 2005.
5. RMTD has constructed a new building to house their paratransit fleet and other equipment. The new structure is located near the existing downtown facility and has been funded with FTA "5307" funds. RMTD submitted an official site plan for this facility to the City of Rockford. In June 2007, the permit was approved. Construction of the new paratransit center was completed in March of 2008.
6. RMTD was designated by IDOT as the regional maintenance center for publicly funded paratransit vehicles operating throughout the north central Illinois area.
7. Documentation of Internal Equity Evaluation of Fare and Service Changes:  
The Rockford Mass Transit District implemented a fare increase on May 1, 2009. Prior to that, to insure all voices were heard, the District held 8 public hearings throughout our service area at all times throughout our service day. The press release is attached, likewise so is a .jpg version of the rail card notices we placed in all our vehicles notifying our passengers of the public hearings. Finally, when determining the fare increase, RMTD utilized data from a recent Customer satisfaction survey.

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# APPENDIX G

## ROCKFORD MASS TRANSIT DISTRICT PUBLIC PARTICIPATION PLAN

When the Rockford Mass Transit District embarks on significant changes to its system, a diligent effort is made on the part of the District to include all riders and interested parties. A “major” service change would be defined as an increase or decrease of service or a fare increase of 25% or more.

If a significant change that impacts passengers and other interested parties is proposed, Rockford Mass Transit District (RMTD), will adhere to the following procedure:

1. A series of public hearings will be held. An advertisement will be published in the local newspaper at least 30 days prior to holding public hearings. The public hearing will also be posted to the District’s web site, RMTD.org and other key locations on the RMTD property at least 30 days prior to the event. The 30-day notice may be reduced if prior approval is given by the RMTD Board of Directors. The advertisement will be published again the day of the public hearing.

The advertisements are complete and inform the public of the exact change(s) that are going to be recommended. The advertisement will state that the RMTD will accept written views, exhibits and other pertinent information until the date of the public hearings. Additionally, the advertisement will also state that the District will provide an interpreter for those with hearing impairments and/or those with limited English proficiencies if RMTD is notified up to 48 hours to the event. If notification is not given and interpreters are needed, RMTD will provide a written, translated version of the hearing to the individual within 1 week after the hearing.

The District will also consider utilizing other forms of media for communicating changes and meeting related to the proposed changes including radio interview, paid advertising on television and the newspaper and thru social media avenues.

2. It is our policy to hold a minimum of two (2) public hearings held - one in the daytime and another one in the evening for whoever cannot attend in the daytime.

The public hearings must be held at a location accessible by RMTD’s Fixed Route Service as well as the Paratransit Service. The location must also be ADA accessible.

A variety of locations are recommended for use including libraries, schools, churches and ethnic or neighborhood community centers.

3. Any written and/or oral comments are taken at the public hearings and are entered into the public hearing transcripts.

All written views, exhibits and other pertinent information received by the District, from the date of the advertisement until the date of the public hearings, will also be incorporated into the public hearing transcripts.

4. During the development of the Public Involvement Plan and/or planning for public engagement in general, RMTD will incorporate strategies outlined in our Limited English Proficiency Plan to

promote involvement of minority and LEP individuals in the public participation process. To that end in addition to providing Spanish interpreters and/or sign language interpreters, we will also promote the public hearing in targeted ethnic publications, attend community group meetings and events of neighborhood associations, faith-based organizations, advocacy groups and other groups to solicit feedback from diverse members of the public.

5. A FORM OP-8: NOTIFICATION OF SERVICE CHANGE must be submitted to the Illinois Department of Transportation (IDOT).
6. RMTD staff may consult FTA Circular 4703.1 (Environmental Justice Policy Guidelines for Federal Transit Recipients) for additional strategies that may be incorporated into the Public Involvement Plan.

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# APPENDIX H

## PUBLIC OUTREACH MADE SINCE THE LAST TITLE VI PROGRAM SUBMISSION

<b>RMTD PUBLIC MEETING SUMMARY</b>			
<b>DATE</b>	<b>TIME</b>	<b>DESCRIPTION</b>	<b>PLACE</b>
02/24/14	2:00 PM	FY 2013 Downstate Combined IJN/DTIF Capital Program	RMTD, 520 Mulberry St
03/26/14	7:45 AM	FY '15 Budget	RMTD, 520 Mulberry St
04/22/14	2:00 PM	Consolidated Vehicle Procurement Rolling Stock Capital Assistance Application (5310 Grant)	RMTD, 520 Mulberry St
11/20/14	5:00 PM	MultiModal Station Community Input Session	Rockford Park District, 401 S. Main St.
03/27/15	7:45 AM	FY '16 Budget	RMTD, 520 Mulberry St
06/16/15	2:00 PM	Consolidated Vehicle Procurement Rolling Stock Capital Assistance Application (5310 Grant)	RMTD, 520 Mulberry St
03/25/16	7:45 AM	FY '17 Budget	RMTD, 520 Mulberry St
05/02/16	10:00 AM	5310 Urbanized Capital Program Application	RMTD, 520 Mulberry St
03/22/17	7:45 AM	FY '18 Budget	RMTD, 520 Mulberry St
05/17/17	2:00 PM	5310 Urbanized Capital Program Application	RMTD, 520 Mulberry St

Rockford Mass  
Transit District

LIMITED ENGLISH  
PROFICIENCY PLAN  
2017



## INTRODUCTION

The purpose of this Limited English Proficiency policy guidance is to clarify the responsibilities of recipients of federal financial assistance from the U.S. Department of Transportation (DOT) and assist them in fulfilling their responsibilities to Limited English Proficient (LEP) persons, pursuant to Title VI of the Civil Rights Act of 1964 and implementing regulations. It was prepared in accordance with Title VI of the Civil Rights Act of 1964, 42 U.S.C. 2000d, et seq., and its implementing regulations provide that no person shall be subjected to discrimination on the basis of race, color, or national origin under any program or activity that receives federal financial assistance,

and;

Executive Order 13166

Executive Order 13166 "Improving Access to Services for Persons with Limited English Proficiency," reprinted at 65 FR 50121 (August 16, 2000), directs each Federal agency that is subject to the requirements of Title VI to publish guidance for its respective recipients clarifying that obligation. Executive Order 13166 further directs that all such guidance documents be consistent with the compliance standards and framework detailed in the Department of Justice's (DOJ's) Policy Guidance entitled "Enforcement of Title VI of the Civil Rights Act of 1964-- National Origin Discrimination Against Persons with Limited English Proficiency." (See 65 FR 50123, August 16, 2000 DOJ's General LEP Guidance). Different treatment based upon a person's inability to speak, read, write, or understand English may be a type of national origin discrimination.

Executive Order 13166 applies to all federal agencies and all programs and operations of entities that receive funding from the federal government, including state agencies, local agencies such as Rockford Mass Transit District, (RMTD) and governments, private and non-profit entities, and subrecipients.

## **PLAN SUMMARY**

Rockford Mass Transit District (RMTD) has developed this Limited English Proficiency Plan (LEP) to help identify reasonable steps to provide language assistance for LEP persons seeking meaningful access to RMTD services as required by Executive Order 13166. A Limited English Proficiency person is one who does not speak English as their primary language and who has a limited ability to read, speak, write, or understand English.

This plan details procedures on how to identify a person who may need language assistance, the ways in which assistance may be provided, training staff, how to notify LEP persons that assistance is available, and information for future plan updates.

In developing the plan while determining RMTD's extent of obligation to provide LEP services, RMTD undertook a U.S. Department of Transportation four factor LEP analysis which considers the following:

- 1) The number or proportion of LEP persons eligible in RMTD's service area who may be served or likely to encounter an RMTD program, activity, or service;
- 2) the frequency with which LEP individuals come in contact with RMTD services;
- 3) the nature and importance of the program, activity or service provided by RMTD to the LEP population;
- 4) the resources available to RMTD and overall costs to provide LEP assistance.

A brief description of these considerations is provided in the following section.

## **FOUR FACTOR ANALYSIS**

**#1. The number or proportion of LEP persons eligible in RMTD's service area who may be served or likely to encounter an RMTD program, activity, or service.** RMTD examined the US Census Bureau American Community Survey report from 2007-2011 and was able to determine that approximately 17%, or 23,111 people within RMTD's service area age 5 and older speak a language other than English. The largest non-English speaking group is Spanish @ 16,599 or 12% of this population and of this population, 8,075 or 6% of the Spanish speaking households speak English less than "very well".

**2. The frequency with which LEP individuals come in contact with an RMTD program, activity, or service.** RMTD assesses the frequency at which staff and drivers have or could possibly have contact with LEP persons. This includes documenting phone inquiries, and verbally surveying drivers and Transfer Center staff. Since the last RMTD public participation meetings, RMTD has had zero requests for an interpreter. At our last public hearing for recommended route adjustments there were also no requests for interpreters although an interpreter and signer were both in attendance and received zero requests for translated RMTD documents per month. RMTD does provide the basic schedule booklet and our Paratransit Guide to Ride in Spanish. RMTD also offers these materials in English in a Braille format, large print, and audio. We did receive 1 request in 2016 for a Braille format. Finally, RMTD does have a translation button on our web site thus making information available in a multitude of languages. All significant changes along with day to day information are posted on this site, rmtd.org.

**3. The nature and importance of the program, activity, or service provided by RMTD to LEP community.** Statistically the Spanish population along with all other LEP persons in the RMTD service area are categorized as low income or working poor. Our service is important to this community and therefore RMTD makes every effort to reach out to all our LEP riders. Rockford has several community outreach organizations that work with the LEP population and thru our very strong ties with RAMP, Catholic Charities and our Park District, along with our promotional efforts as available thru various broadcast programs, RMTD conveys our services and strives to educate this population.

**#4. The resources available to RMTD and overall costs RMTD assessed its available resources that could be used for providing LEP assistance.** This includes identifying how much a professional interpreter and translation service would cost on as needed basis, which documents would be the most valuable to be translated if and when the populations support, taking an inventory of available organizations that RMTD could partner with for outreach and translation efforts, and what level of staff training is needed.

After analyzing the four factors, RMTD developed the plan outlined in the following section for assisting persons of limited English proficiency.

## **LIMITED ENGLISH PROFICENCY PLAN OUTLINE**

How to Identify an LEP Person Who Needs Language Assistance. Below are tools to help identify persons who may need language assistance:

- Examine records requests for language assistance from past meetings and events to anticipate the possible need for assistance at upcoming meetings;
- When RMTD hosts a public hearing or community forum, RMTD will request that if a Spanish interpreter and/or a Sign Language interpreter is needed, advise RMTD up to 48 hours prior to the event. If notified, we will make the necessary arrangements for an interpreter to be at the public hearings. If not notified, RMTD will provide translated materials to the party within 1 week after the hearing.
- Have the Census Bureau's "I Speak Cards" at the hearings or forums sign in table. While the staff may not be able to provide immediate interpreter services beyond Spanish which will be on hand, materials can subsequently be translated and distributed accordingly and input monitored for growing population trends.
- RMTD will also make available a Spanish version of all relevant worksheets and handouts at all RMTD forums and public hearings.
- Survey drivers and other first line staff on an annual basis at the beginning of each fiscal year regarding their experience on having any direct or indirect contact with LEP individuals.

### Language Assistance Measures:

RMTD has or will implement the following LEP procedures. The creation of these steps are based on the very low percentage of persons speaking other languages or not speaking English at least "well," and the lack of resources available in the RMTD service area:

- Census Bureau's "I Speak Cards" are to be located at the Customer Service window in the Transit Center at all times.
- The computer(s) located at the Transfer Center and Info Line will have Google translate added to the favorites listing for easy access via Microsoft Internet Explorer for the translations of blocks of texts. This will aid the RMTD staff in the interpretation of services on a one on one basis for LEP individuals visiting the Transit Center or admin office.
- When the RMTD website is redesigned necessary

- When an interpreter is needed, in person or on the telephone, and the RMTD staff has exhausted the above options; staff will first attempt to determine what language is required. Staff shall use the telephone interpreter service - Language Line Services at <http://www.language.com>. On the Language Line home page, the staff will select the Need an Interpreter Now link and follow the directions to receive and access code.

#### RMTD Staff Training:

All RMTD staff will be provided with the LEP Plan and will be educated on procedures to follow. This information will also be part of the RMTD staff orientation process for new hires. Training topics are listed below:

- Understanding the Title VI policy and LEP responsibilities;
- What language assistance services RMTD offers;
- Use of LEP “I Speak Cards”;
- How to use the Language Line interpretation and translation services;
- Staff is educated and familiar with using Google translate and the translate button on [rmtd.org](http://rmtd.org);
- Documentation of language assistance requests;
- How to handle a Title VI and/or LEP complaint;
- Staff is directed to keep a log of translation requests.

#### Outreach Techniques:

The following are a few options that RMTD will incorporate when and/or if the need arises for LEP outreach:

- If staff knows that they will be presenting a topic that could be of potential importance to an LEP person or if staff will be hosting a meeting or a workshop in a geographic location with a known concentration of LEP persons, meeting notices, fliers, advertisements, and agendas will be printed in an alternative language, based on known LEP population in the area.
- When running a general public meeting notice, as stated above, a Spanish interpreter and sign language interpreter will always be made available if notified prior to the meeting. Otherwise translated materials will be made available within 7 days after the meeting. RMTD will monitor for other LEP demographic trends and provide services as needed.

- Key print materials, including schedules, maps and rider's guides, will be translated and made available at the RMTD Transfer Center, on board vehicles and in communities where a specific and concentrated LEP population is identified.

#### Monitoring and Updating the LEP Plan:

This plan is designed to be flexible and is one that can be easily updated. At a minimum, RMTD will follow the Title VI Program update schedule for the LEP Plan. However, major updates most likely will not occur until the next Census in 2020 unless RMTD finds it necessary and crucial for an update before such time.

Each update should examine all plan components such as:

- How many LEP persons were encountered?
- Were their needs met?
- What is the current LEP population in RMTD service area?
- Has there been a change in the types of languages where translation services are needed?
- Is there still a need for continued language assistance for previously identified RMTD programs? Are there other programs that should be included?
- Have RMTD's available resources, such as technology, staff, and financial costs changed?
- Has RMTD fulfilled the goals of the LEP Plan? and
- Were any complaints received?

## **DISSEMINATION OF THE RMTD LIMITED ENGLISH PROFICIENCY PLAN**

Copies of the LEP Plan will be provided, on request, to any person(s) requesting the document via phone, in person, by mail or email. LEP persons may obtain copies/translations of the plan upon request. Any questions or comments regarding this plan should be directed to the RMTD Marketing Department.

RMTD Marketing & Public Relations Specialist

Lisa J. Brown

520 Mulberry Street

Rockford, IL 61101

Phone: 815.961.2226

Fax: 815.961.9892

Email: [lbrown@rmtd.org](mailto:lbrown@rmtd.org)

## EXHIBIT 1 – LANGUAGE DATA SOURCE

Subject	Illinois				Rockford city, Illinois Estimate
	Estimate	Margin of Error	Percent	Percent Margin of Error	
LANGUAGE SPOKEN AT HOME					
Population 5 years and over	11,950,566	+/-456	11,950,566	(X)	141,543
English only	9,324,625	+/-12,468	78.0%	+/-0.1	118,432
Language other than English	2,625,941	+/-12,410	22.0%	+/-0.1	23,111
Speak English less than "very well"	1,146,812	+/-10,540	9.6%	+/-0.1	10,691
Spanish	1,545,592	+/-8,630	12.9%	+/-0.1	16,599
Speak English less than "very well"	728,111	+/-7,333	6.1%	+/-0.1	8,075
Other Indo-European languages	681,848	+/-8,700	5.5%	+/-0.1	3,380
Speak English less than "very well"	250,051	+/-4,600	2.1%	+/-0.1	1,116
Asian and Pacific Islander languages	316,639	+/-4,234	2.6%	+/-0.1	2,389
Speak English less than "very well"	137,203	+/-2,790	1.1%	+/-0.1	1,117
Other languages	101,862	+/-4,003	0.9%	+/-0.1	743
Speak English less than "very well"	31,447	+/-2,097	0.3%	+/-0.1	383
ANCESTRY					
Total population	12,790,182	*****	12,790,182	(X)	153,509
American	604,158	+/-7,042	4.7%	+/-0.1	11,184
Arab	78,121	+/-3,631	0.6%	+/-0.1	822
Czech	126,826	+/-3,410	1.0%	+/-0.1	684
Danish	52,595	+/-1,878	0.4%	+/-0.1	835
Dutch	195,048	+/-4,323	1.5%	+/-0.1	2,231
English	822,589	+/-8,312	6.4%	+/-0.1	9,826
French (except Basque)	263,724	+/-4,016	2.1%	+/-0.1	3,032
French Canadian	36,337	+/-1,382	0.3%	+/-0.1	374
German	2,589,399	+/-13,191	20.2%	+/-0.1	29,896
Greek	101,608	+/-3,424	0.8%	+/-0.1	422
Hungarian	53,962	+/-2,209	0.4%	+/-0.1	441
Irish	1,634,758	+/-11,940	12.8%	+/-0.1	15,889
Italian	802,611	+/-7,772	6.3%	+/-0.1	10,316
Lithuanian	91,326	+/-2,740	0.7%	+/-0.1	802
Norwegian	169,429	+/-3,868	1.3%	+/-0.1	4,273
Polish	966,800	+/-10,082	7.6%	+/-0.1	4,817
Portuguese	9,325	+/-893	0.1%	+/-0.1	62
Russian	133,875	+/-3,570	1.0%	+/-0.1	608
Scotch-Irish	139,005	+/-3,137	1.1%	+/-0.1	1,335
Scottish	159,806	+/-3,433	1.2%	+/-0.1	1,366
Slovak	40,072	+/-1,778	0.3%	+/-0.1	78
Subsaharan African	82,106	+/-3,705	0.6%	+/-0.1	469
Swedish	291,681	+/-4,785	2.3%	+/-0.1	11,971
Swiss	38,972	+/-1,603	0.3%	+/-0.1	443
Ukrainian	50,479	+/-2,077	0.4%	+/-0.1	376
Welsh	51,988	+/-1,729	0.4%	+/-0.1	549
West Indian (excluding Hispanic origin groups)	30,600	+/-2,014	0.2%	+/-0.1	118

## **EXHIBIT 2 – LIMITED ENGLISH PROFICIENCY POLICY**

**Effective 2013**

The Rockford Mass Transit District recognizes that in order to provide the best service to all our citizens, alternative provisions need to be made for those with limited English proficiency. RMTD further defines passengers with limited English proficiency to be those individuals who meet the following criteria:

- English is a second language
- Having a limited ability to internalize the English language
- Having a disability prohibiting full usage and understanding of the English language

Those individuals meeting the above criteria in our community will be identified by current Census data as outlined in Appendix A.

RMTD will work toward addressing the needs of these individuals based on the percentage of the population residing in our service area, the percentage of the population using public transportation and Federal and/or State mandates and guidelines. Typical measures will include but are not limited to providing translated documents, interpreters for RMTD public hearings if requested and forums and staff training for appropriate assistance.

RMTD will employ all resources available to the District within a fair and reasonable cost to provide tools for individuals with limited English proficiency.

### **EXHIBIT 3 – LEP COMPLAINT POLICY**

Should a discrimination allegation be filed, the mechanism to review and resolve the complaint would consist of the following:

- The allegation would first go to the single RMTD staff person assigned to responsibility of reviewing all service complaints.
- If the complaint cannot be satisfactorily resolved at that level, it would be referred to the RMTD Operations Manager and/or RMTD Executive Director.
- It should be noted however that RMTD does reserve the right to determine if a complaint should be referred to another governing body such as the MPO, RMAP, or a community advisory group such as RAMP.
- Final appeals would be taken to the RMTD Board of Trustees.

# APPENDIX J

The following pages contain the most recently signed copy of the Rockford Mass Transit District's Certifications and Assurances to the Federal Transit Agency for the 2017 fiscal year, signed January 25, 2017.

## FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES

### FEDERAL FISCAL YEAR 2017 FTA CERTIFICATIONS AND ASSURANCES SIGNATURE PAGE

#### AFFIRMATION OF APPLICANT

Name of Applicant: Rockford Mass Transit District

Name and Relationship of Authorized Representative: Herbert L. Johnson, Vice Chairman of the Board

BY SIGNING BELOW, on behalf of Rockford Mass Transit District, I declare that Rockford Mass Transit District has duly authorized me to make these Certifications and Assurances and bind Rockford Mass Transit District's compliance. Thus, Rockford Mass Transit District agrees to comply with all federal laws, regulations, and requirements, follow applicable federal guidance, and comply with the Certifications and Assurances as indicated on the foregoing page applicable to each application its Authorized Representative makes to the Federal Transit Administration (FTA) in federal fiscal year 2017, irrespective of whether the individual that acted on Rockford Mass Transit District's behalf continues to represent Rockford Mass Transit District.

FTA intends that the Certifications and Assurances Rockford Mass Transit District selects on the other side of this document should apply to each Award for which Rockford Mass Transit District now seeks, or may later seek federal assistance to be awarded during federal fiscal year 2017.

Rockford Mass Transit District affirms the truthfulness and accuracy of the Certifications and Assurances it has selected in the statements submitted with this document and any other submission made to FTA, and acknowledges that the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. § 3801 *et seq.*, and implementing U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR part 31, apply to any certification, assurance or submission made to FTA. The criminal provisions of 18 U.S.C. § 1001 apply to any certification, assurance, or submission made in connection with a federal public transportation program authorized in 49 U.S.C. chapter 53 or any other statute.

In signing this document, I declare under penalties of perjury that the foregoing Certifications and Assurances, and any other statements made by me on behalf of Rockford Mass Transit District are true and accurate.

Signature 

Date: January 25, 2017

Name Herbert L. Johnson, Vice Chairman of the Board  
Authorized Representative of Rockford Mass Transit District

#### AFFIRMATION OF APPLICANT'S ATTORNEY

For: ROCKFORD MASS TRANSIT DISTRICT

As the undersigned Attorney for Rockford Mass Transit District, I hereby affirm to Rockford Mass Transit District that it has authority under state, local, or tribal government law, as applicable, to make and comply with the Certifications and Assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the Certifications and Assurances have been legally made and constitute legal and binding obligations on Rockford Mass Transit District.

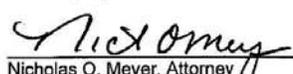
I further affirm that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these Certifications and Assurances, or of the performance of its FTA assisted Award.

Signature 

Date: January 25, 2017

Name Nicholas O. Meyer, Attorney  
Attorney for Rockford Mass Transit District

I, Nicholas O. Meyer, Legal Counsel for RMTD, authorize Richard W. McVinnle, RMTD Executive Director, to "PIN" my signature in the FTA "TEAM" program for the FY 2017 "Affirmation of Applicant's Attorney" above.

  
Nicholas O. Meyer, Attorney

CERT AND ASSURANCE FY 2017.DOC

**FEDERAL FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES FOR  
FEDERAL TRANSIT ADMINISTRATION ASSISTANCE PROGRAMS**

**Name of Applicant: Rockford Mass Transit District**

**The Applicant agrees to comply with applicable provisions of Categories 01 - 23.   X**

OR

**The Applicant agrees to comply with the applicable provisions of the Categories it has selected:**

<u>Group</u>	<u>Description</u>	
01.	Required Certifications and Assurances For Each Applicant.	_____
02.	Lobbying.	_____
03.	Procurement and Procurement Systems.	_____
04.	Private Sector Protections.	_____
05.	Rolling Stock Reviews and Bus Testing.	_____
06.	Demand Responsive Service.	_____
07.	Intelligent Transportation Systems.	_____
08.	Interest and Financing Costs and Acquisition of Capital Assets by Lease.	_____
09.	Transit Asset Management Plan, Public Transportation Safety Program, and State Safety Oversight Requirements.	_____
10.	Alcohol and Controlled Substances Testing.	_____
11.	Fixed Guideway Capital Investment Grants Program (New Starts, Small Starts, and Core Capacity Improvement).	_____
12.	State of Good Repair Program.	_____
13.	Grants for Buses and Bus Facilities and Low or No Emission Vehicle Deployment Grant Programs.	_____
14.	Urbanized Area Formula Grants Programs and Passenger Ferry Grant Program.	_____
15.	Enhanced Mobility of Seniors and Individuals with Disabilities Programs.	_____
16.	Rural Areas and Appalachian Development Programs.	_____
17.	Tribal Transit Programs (Public Transportation on Indian Reservations Programs).	_____
18.	State Safety Oversight Grant Program.	_____
19.	Public Transportation Emergency Relief Program.	_____
20.	Expedited Project Delivery Pilot Program.	_____
21.	Infrastructure Finance Programs.	_____
22.	Paul S. Sarbanes Transit in Parks Program.	_____
23.	Construction Hiring Preferences.	_____

## Certifications & Assurances | FY 2017 C&A Affirmations

### Recipient Profile Information

Recipient ID 1186

Recipient Name ROCKFORD MASS TRANSIT DISTRICT (INC)

### Certification and Assurance Information

Fiscal Year 2017

Assigned Date Dec 20, 2016

Due Date Mar 20, 2017

Certified Date Jan 31, 2017

### Published Certifications and Assurances Document

 FTA FISCAL YEAR 2017 CERTIFICATIONS AND ASSURANCES  
463.4 KB

### Certifications and Assurances

<input checked="" type="checkbox"/>	Category	Title
<input checked="" type="checkbox"/>	01	Required Certifications and Assurances for Each Applicant
<input checked="" type="checkbox"/>	02	Lobbying
<input checked="" type="checkbox"/>	03	Procurement and Procurement Systems
<input checked="" type="checkbox"/>	04	Private Sector Protections
<input checked="" type="checkbox"/>	05	Rolling Stock Reviews and Bus Testing
<input checked="" type="checkbox"/>	06	Demand Responsive Service
<input checked="" type="checkbox"/>	07	Intelligent Transportation Systems
<input checked="" type="checkbox"/>	08	Interest and Financing Costs and Acquisition of Capital Assets by Lease
<input checked="" type="checkbox"/>	09	Transit Asset Management Plan, Public Transportation Safety Program, and State Safety Oversight Requirements
<input checked="" type="checkbox"/>	10	Alcohol and Controlled Substances Testing
<input checked="" type="checkbox"/>	11	Fixed Guideway Capital Investment Grants Program (New Starts, Small Starts, and Core Capacity Improvement)
<input checked="" type="checkbox"/>	12	State of Good Repair Program
<input checked="" type="checkbox"/>	13	Grants for Buses and Bus Facilities and Low or No Emission Vehicle Deployment Grant Programs
<input checked="" type="checkbox"/>	14	Urbanized Area Formula Grants Programs and Passenger Ferry Grant Program
<input checked="" type="checkbox"/>	15	Enhanced Mobility of Seniors and Individuals with Disabilities Programs
<input checked="" type="checkbox"/>	16	Rural Areas and Appalachian Development Programs
<input checked="" type="checkbox"/>	17	Tribal Transit Programs (Public Transportation on Indian Reservations Programs)
<input checked="" type="checkbox"/>	18	State Safety Oversight Grant Program
<input checked="" type="checkbox"/>	19	Public Transportation Emergency Relief Program
<input checked="" type="checkbox"/>	20	Expedited Project Delivery Pilot Program
<input checked="" type="checkbox"/>	21	Infrastructure Finance Programs

[https://faces.fta.dot.gov/suite/tempo/records/type/grantee\\_orgs/item/jIBUBiUIVyuBs1xJ7s...](https://faces.fta.dot.gov/suite/tempo/records/type/grantee_orgs/item/jIBUBiUIVyuBs1xJ7s...) 1/31/2017

<input checked="" type="checkbox"/>	Category	Title
<input checked="" type="checkbox"/>	22	Paul S. Sarbanes Transit in Parks Program
<input checked="" type="checkbox"/>	23	Construction Hiring Preferences

1-23 of 23

**Affirmation of Applicant**

**Affirmation of Applicant** BY SIGNING BELOW, on behalf of the Applicant, I declare that it has duly authorized me to make these Certifications and Assurances and bind its compliance. Thus, it agrees to comply with all federal laws, regulations, and requirements, follow applicable federal guidance, and comply with the Certifications and Assurances as indicated on the foregoing page applicable to each application its Authorized Representative makes to the Federal Transit Administration (FTA) in federal fiscal year 2017, irrespective of whether the individual that acted on his or her Applicant's behalf continues to represent it.

FTA intends that the Certifications and Assurances the Applicant selects on the other side of this document should apply to each Award for which it now seeks, or may later seek federal assistance to be awarded during federal fiscal year 2017.

The Applicant affirms the truthfulness and accuracy of the Certifications and Assurances it has selected in the statements submitted with this document and any other submission made to FTA, and acknowledges that the Program Fraud Civil Remedies Act of 1986, 31 U.S.C. § 3801 et seq., and implementing U.S. DOT regulations, "Program Fraud Civil Remedies," 49 CFR part 31, apply to any certification, assurance or submission made to FTA. The criminal provisions of 18 U.S.C. § 1001 apply to any certification, assurance, or submission made in connection with a federal public transportation program authorized by 49 U.S.C. chapter 53 or any other statute.

In signing this document, I declare under penalties of perjury that the foregoing Certifications and Assurances, and any other statements made by me on behalf of the Applicant are true and accurate.

Official's Name Richard McVinnie

Certification Date Jan 31, 2017

**Certify Affirmation**

Please note that this verification is being recorded under the name of:

Official's Name Richard McVinnie

Certification Date 1/31/2017

Title None

PIN

**Affirmation of Attorney**

**Affirmation of Applicant's Attorney** As the undersigned Attorney for the above named Applicant, I hereby affirm to the Applicant that it has authority under state, local, or tribal government law, as applicable, to make and comply with the Certifications and Assurances as indicated on the foregoing pages. I further affirm that, in my opinion, the Certifications and Assurances have been legally made and constitute legal and binding obligations on it.

I further affirm that, to the best of my knowledge, there is no legislation or litigation pending or imminent that might adversely affect the validity of these Certifications and Assurances, or of the performance of its FTA assisted Award.

Attorney's Name Richard McVinnie

Certification Date Jan 31, 2017

**Certify Affirmation**

Please note that this verification is being recorded under the name of:

Attorney's Name Richard McVinnie

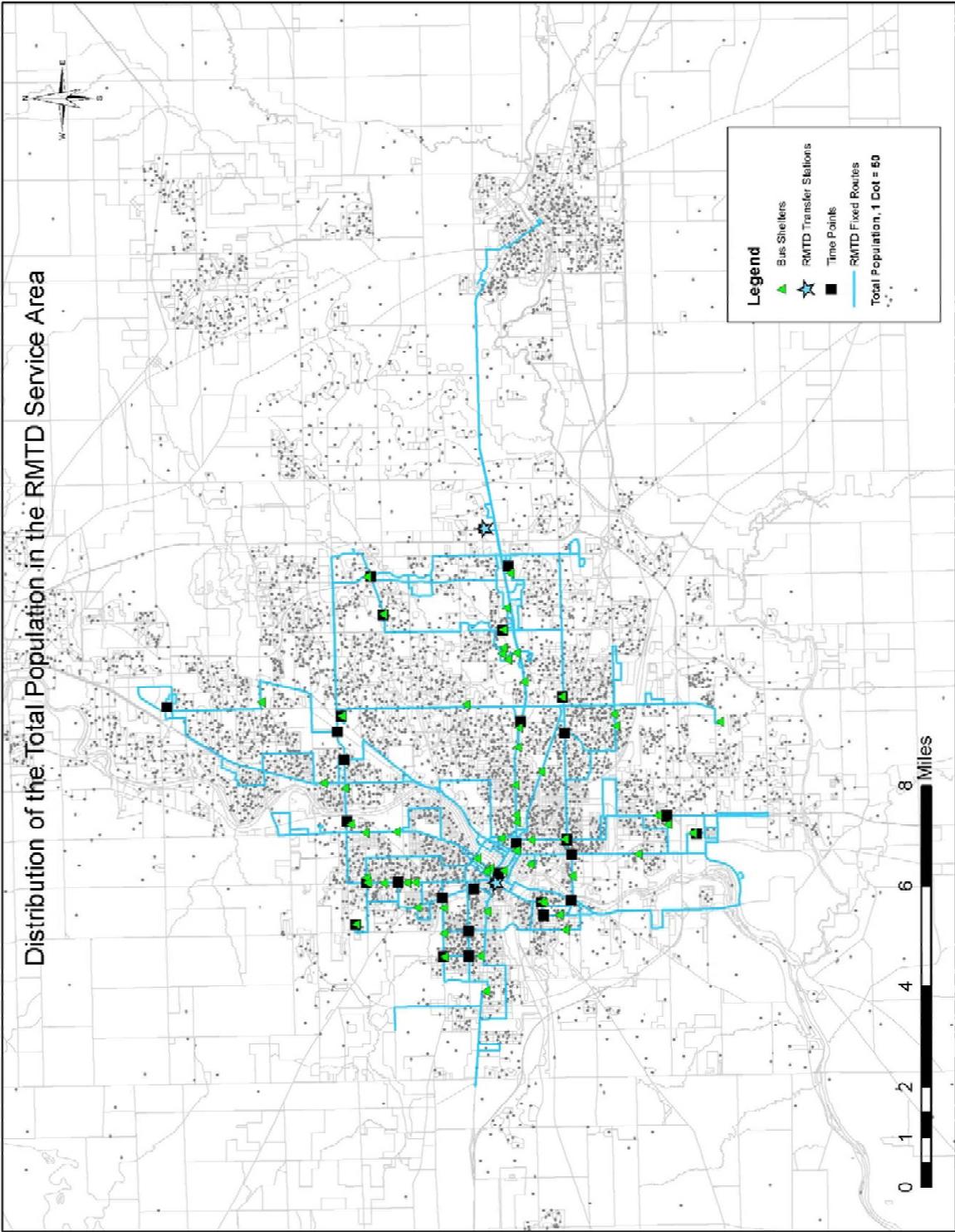
Certification Date 1/31/2017

Title None

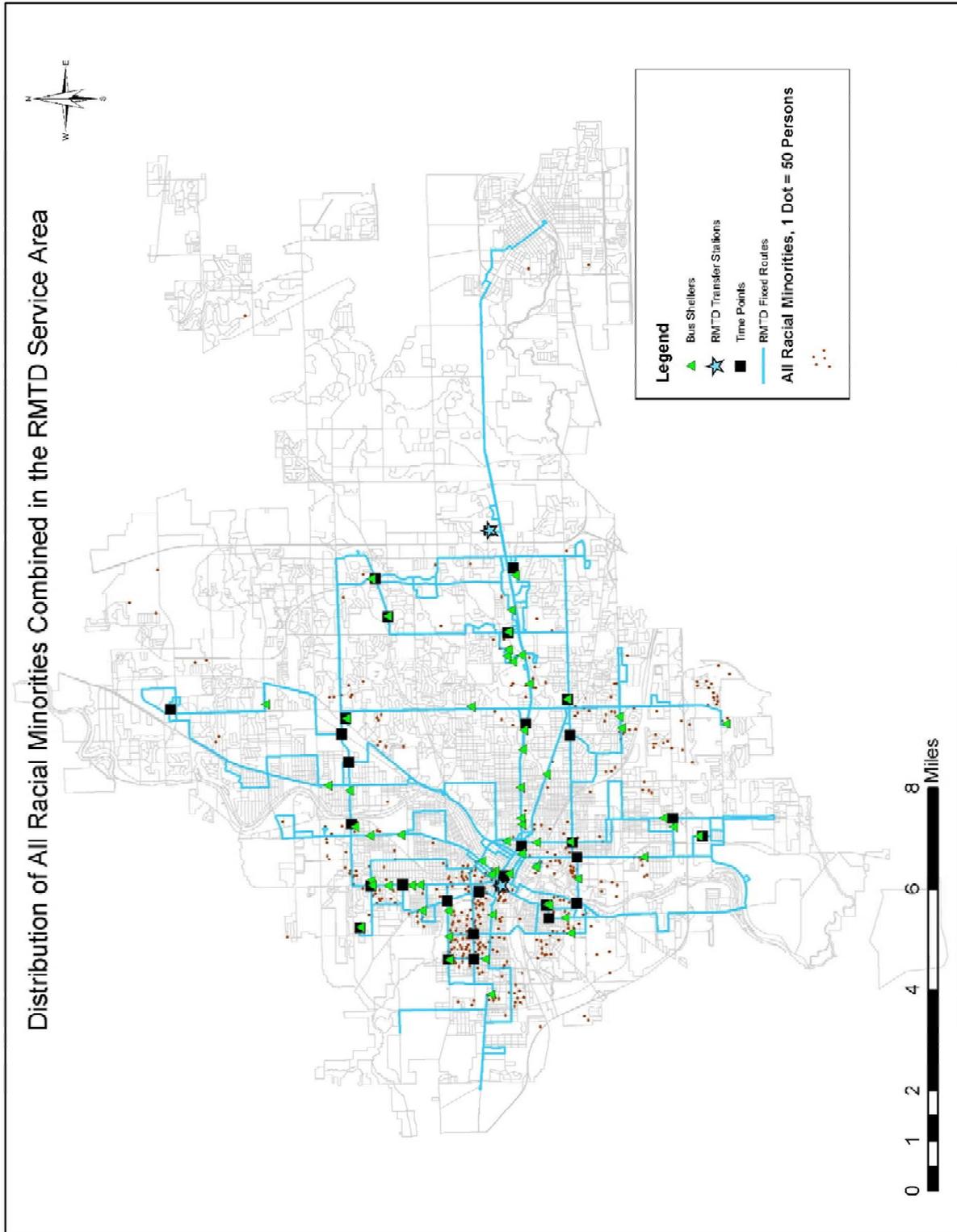
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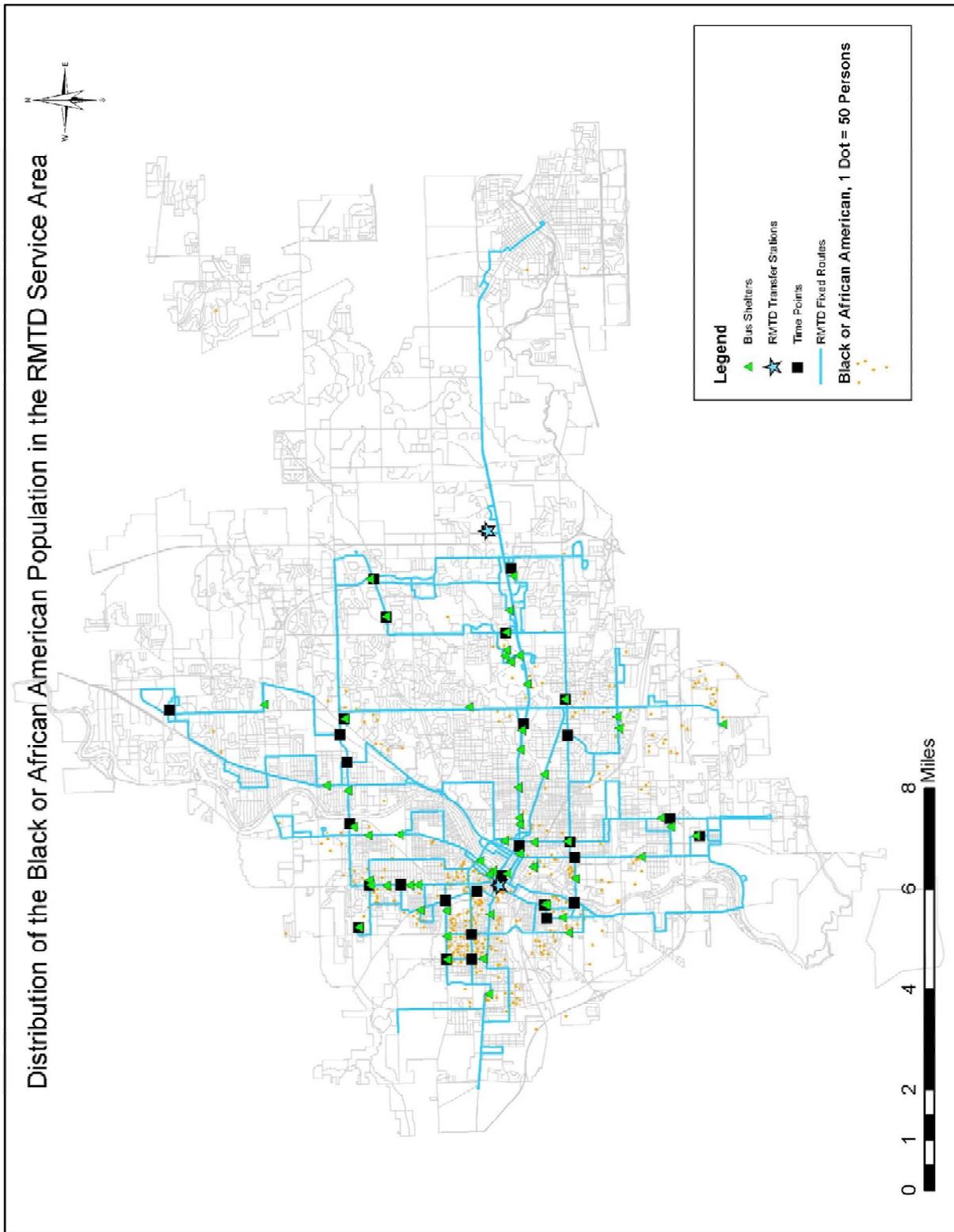
Map A- Distribution of Total Population in the Rockford Region



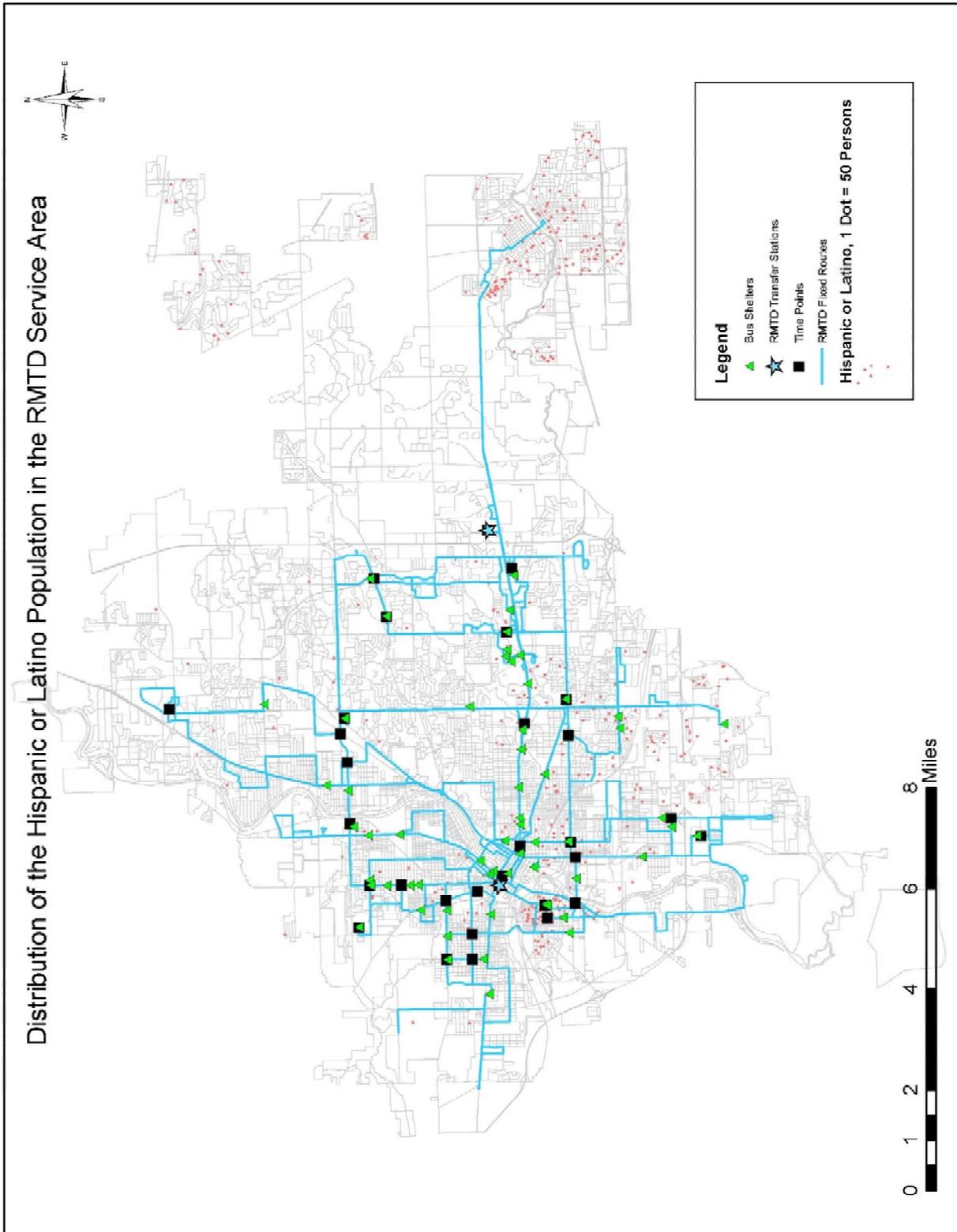
# Map B- Distribution of All Minorities



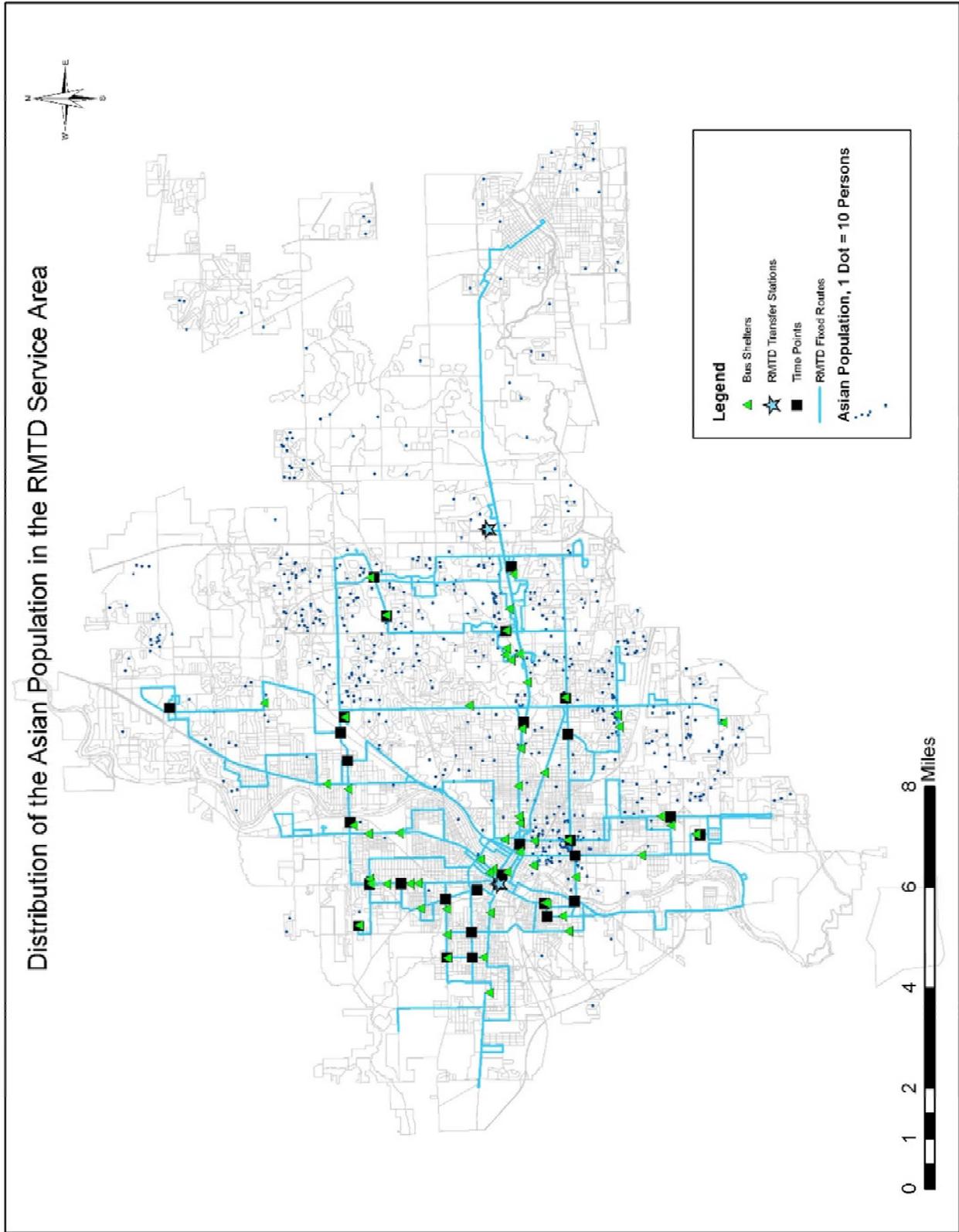
Map C- Distribution of the Black or African American Population



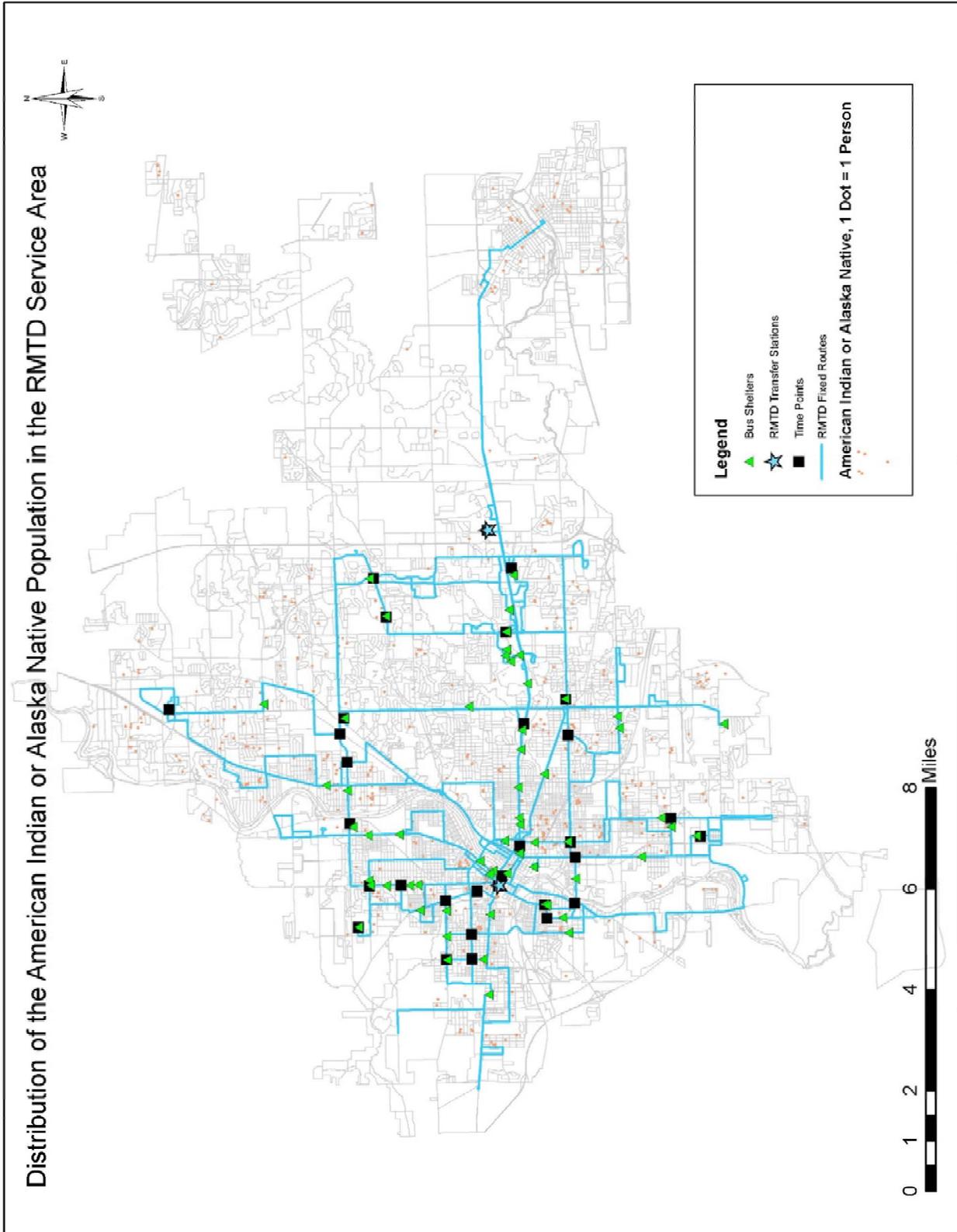
Map D- Distribution of the Hispanic or Latino Population



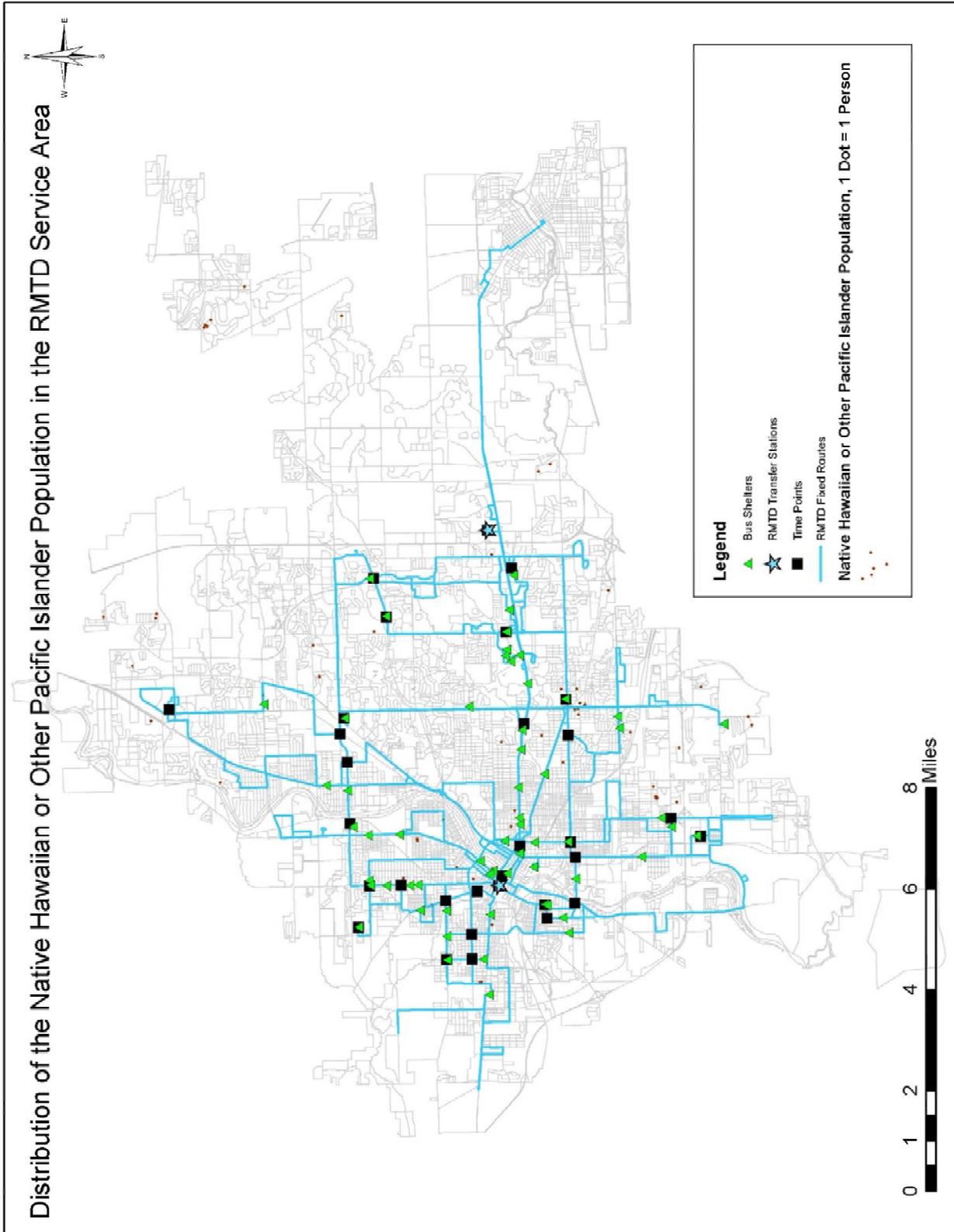
# Map E- Distribution of the Asian Population



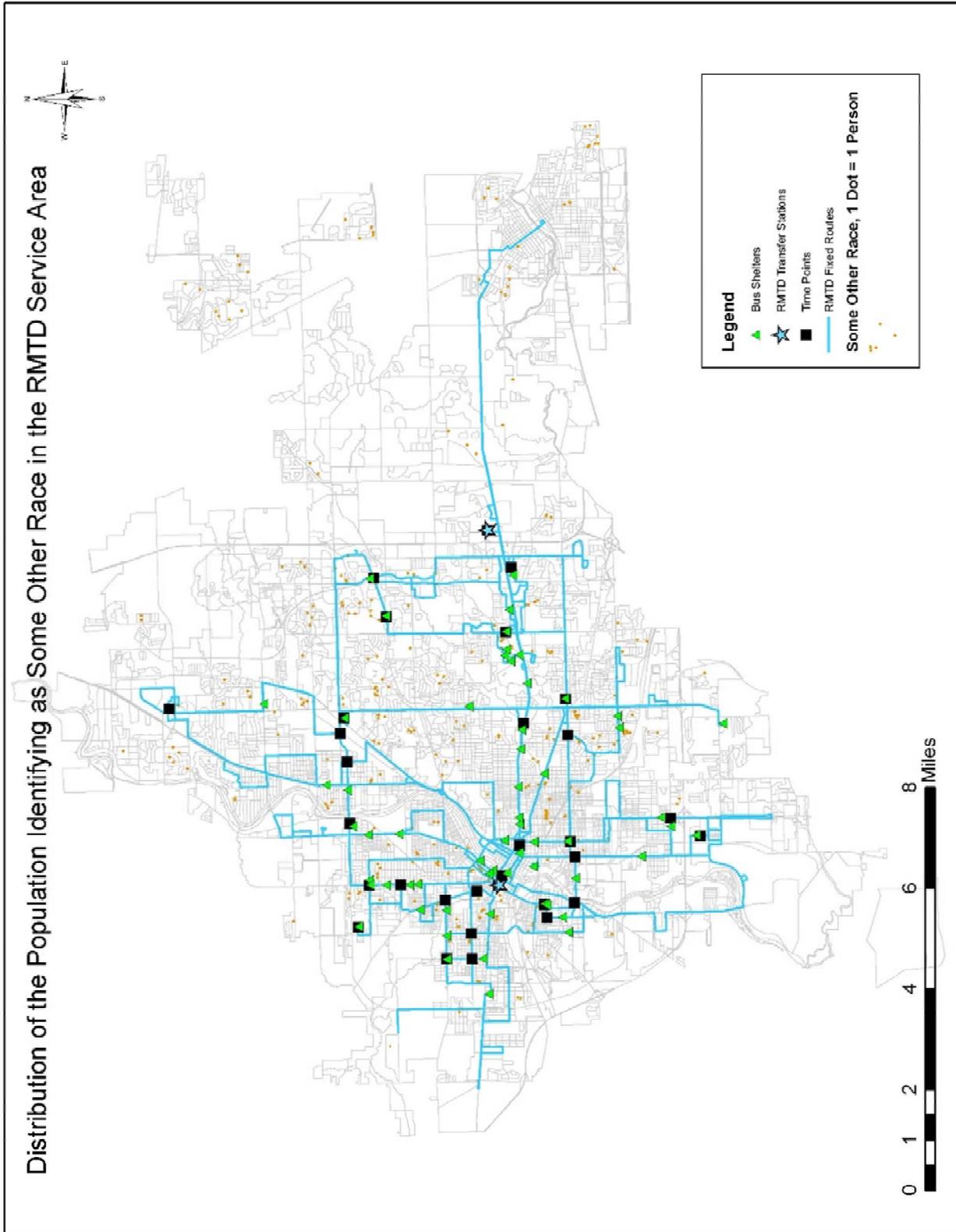
Map F- Distribution of the American Indian or Alaska Native Population



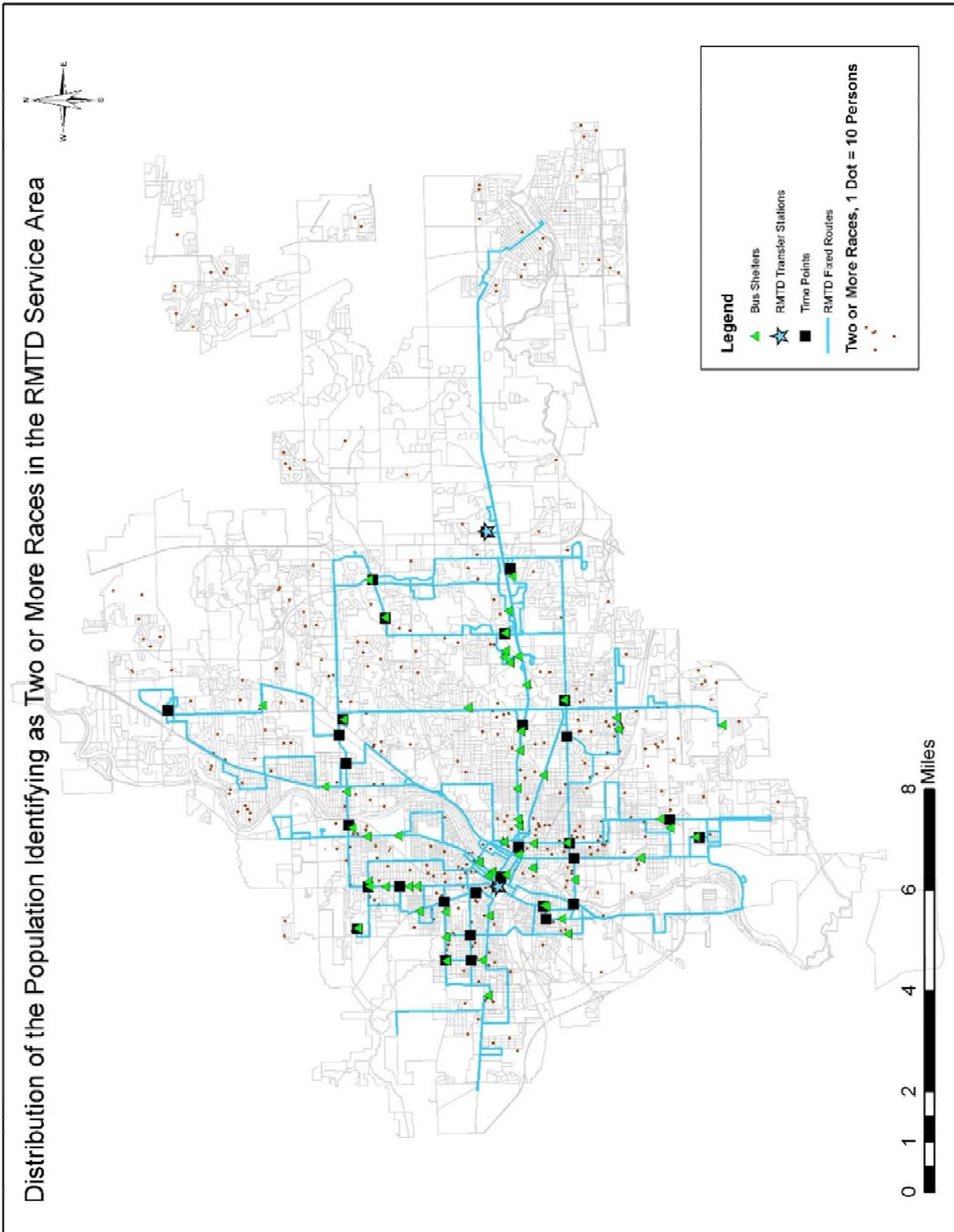
Map G- Distribution of the Native Hawaiian or Other Pacific Islander Population



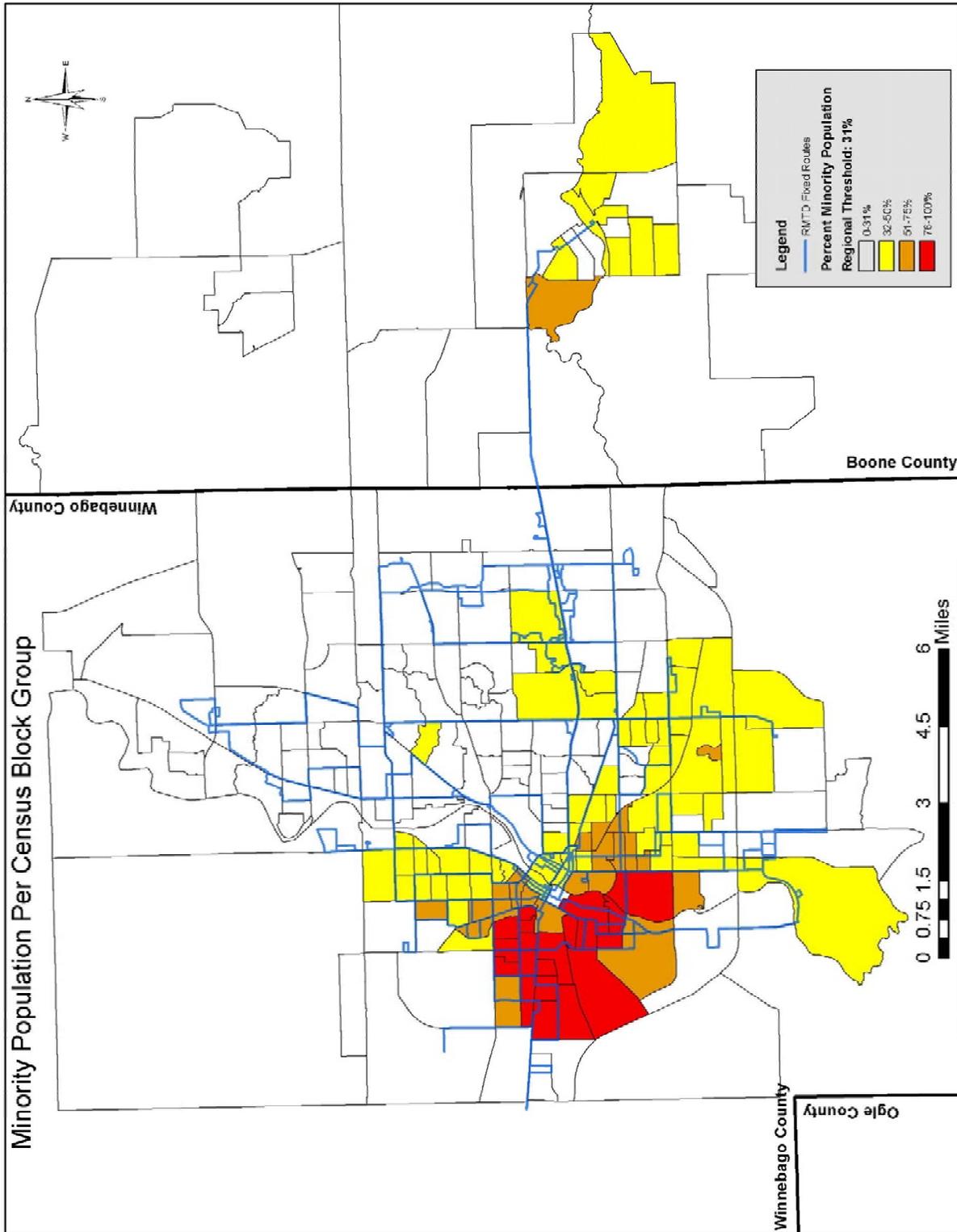
Map H- Distribution of those identifying themselves as Some Other Race



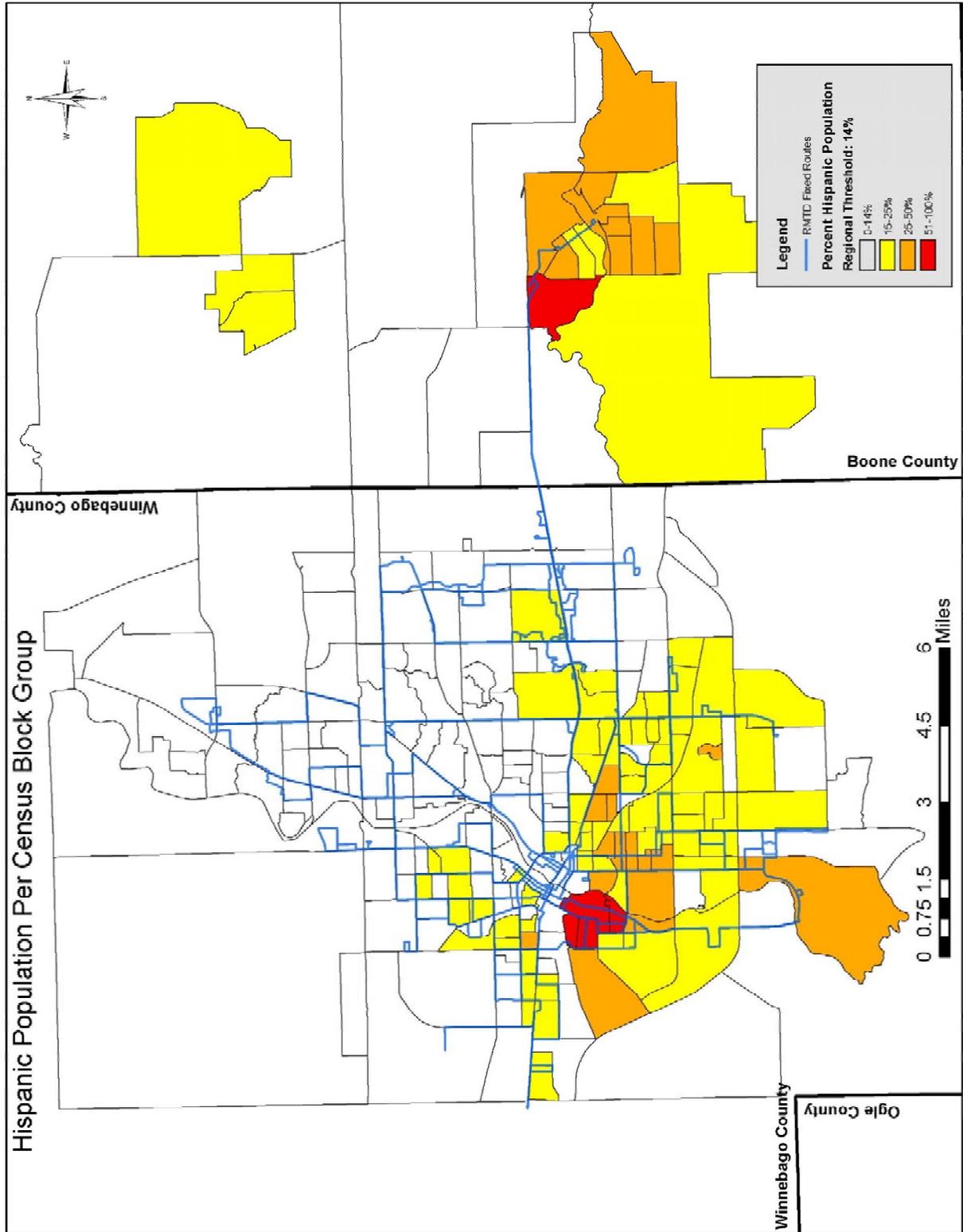
Map I- Distribution of those identifying themselves as Two or More Races



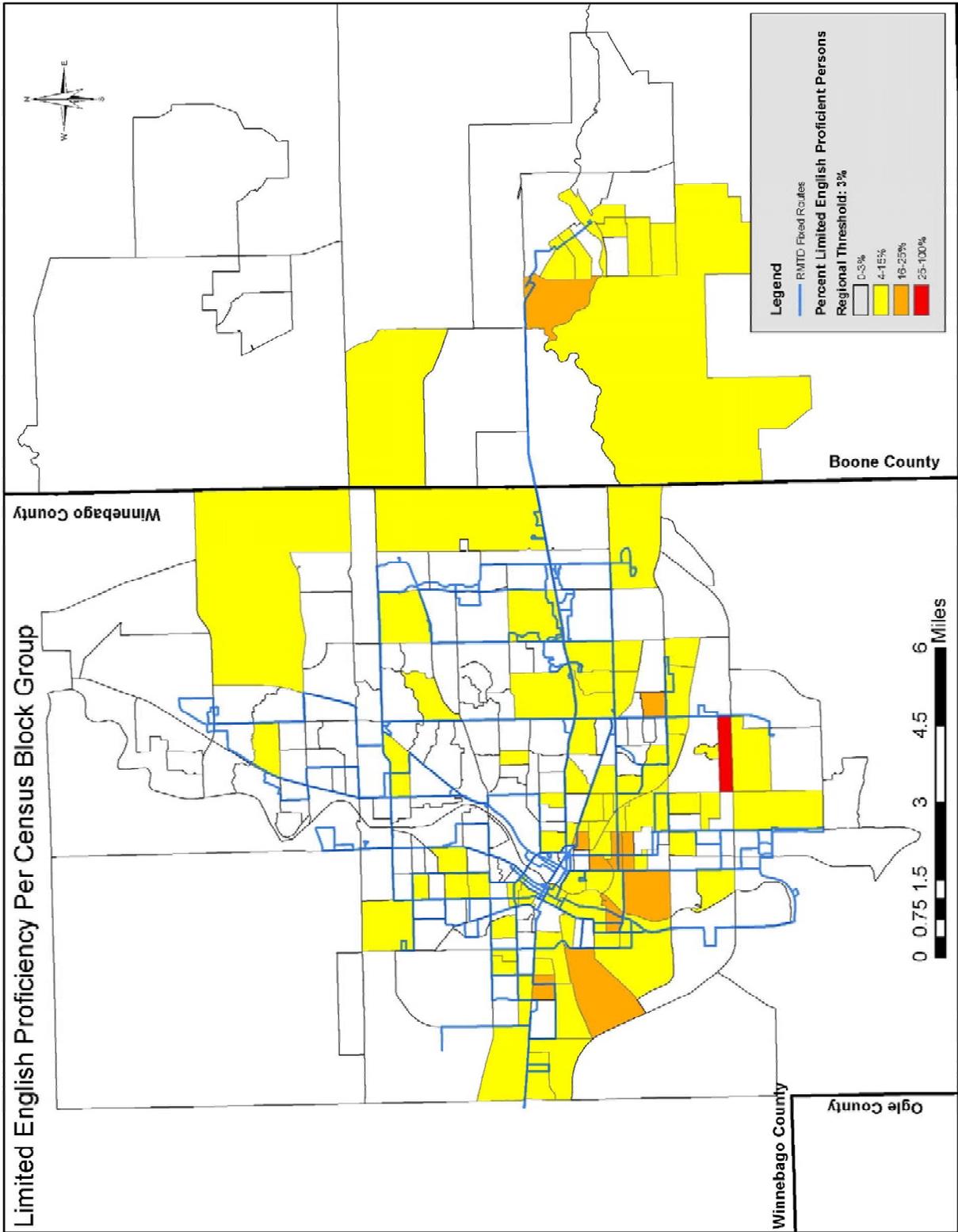
**Map J- Census Block Groups with Greater than Average Racial or Ethnic Minority Residents: 2010 Census Data**



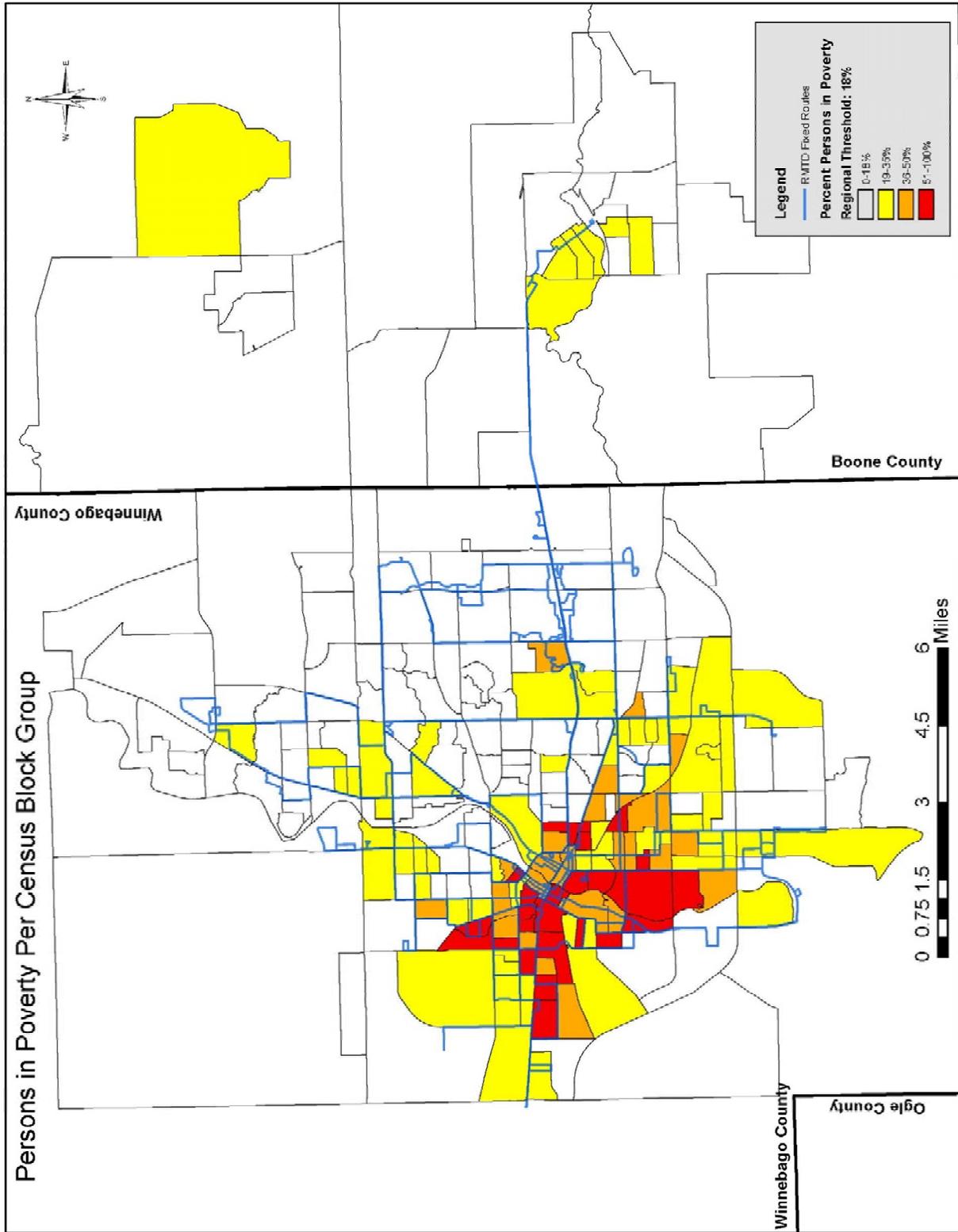
**Map K- Census Block Groups with Greater than Average Hispanic Residents: 2010 Census Data**



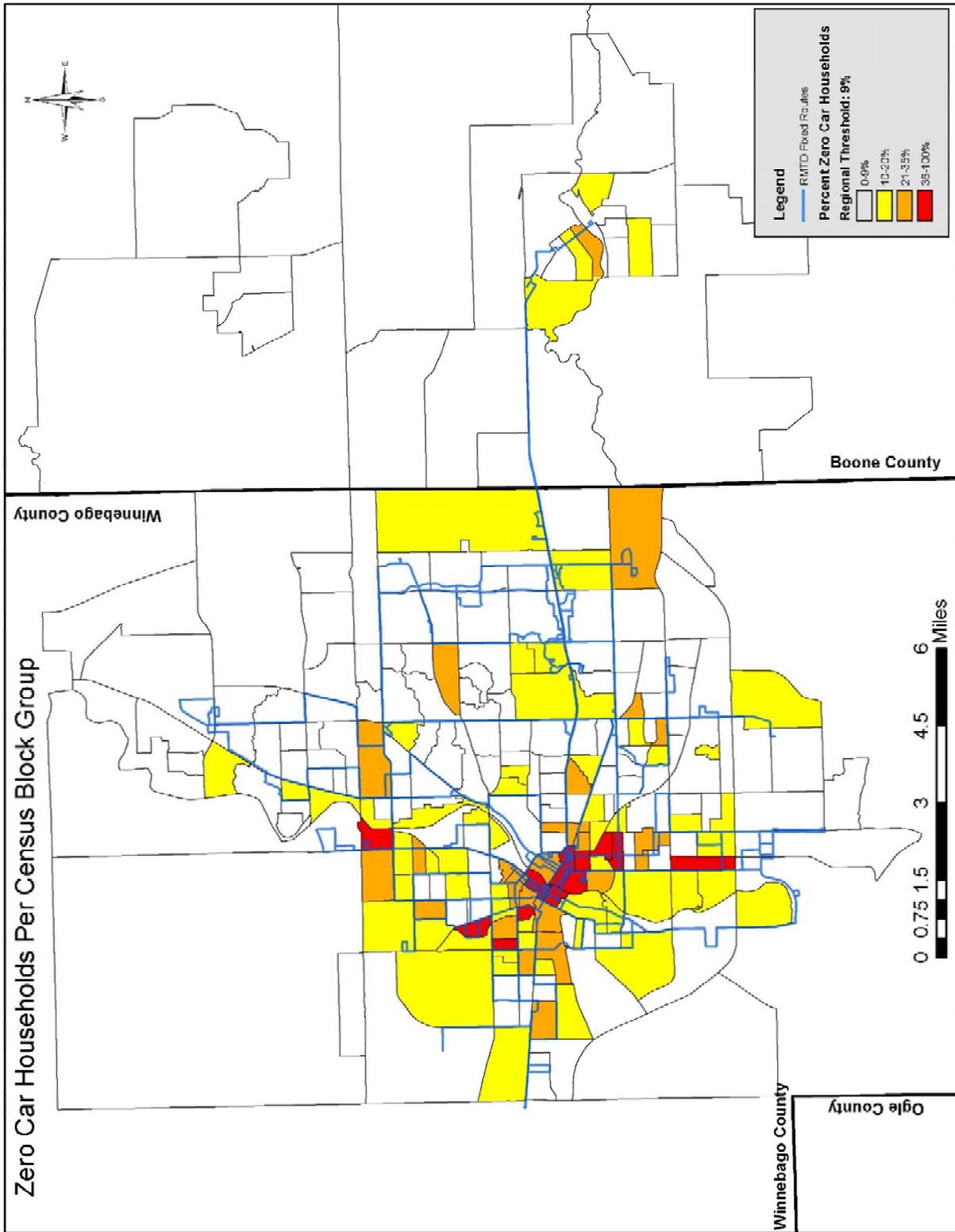
**Map L- Census Block Groups with Greater than Average LEP Residents: 2011-2015 ACS Data**



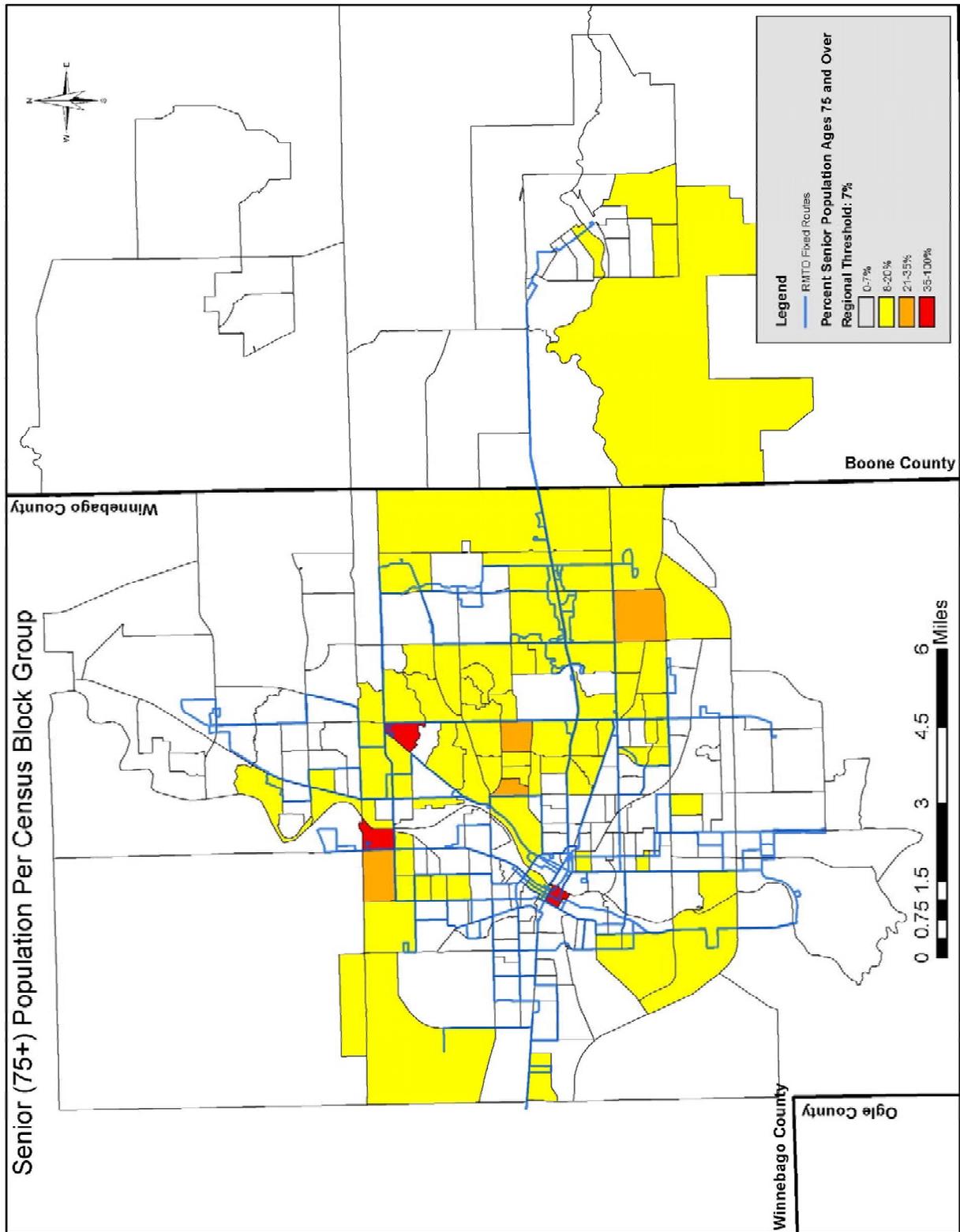
**Map M- Census Tracts with Greater than Average People in Poverty: 2011-2015 ACS Data**



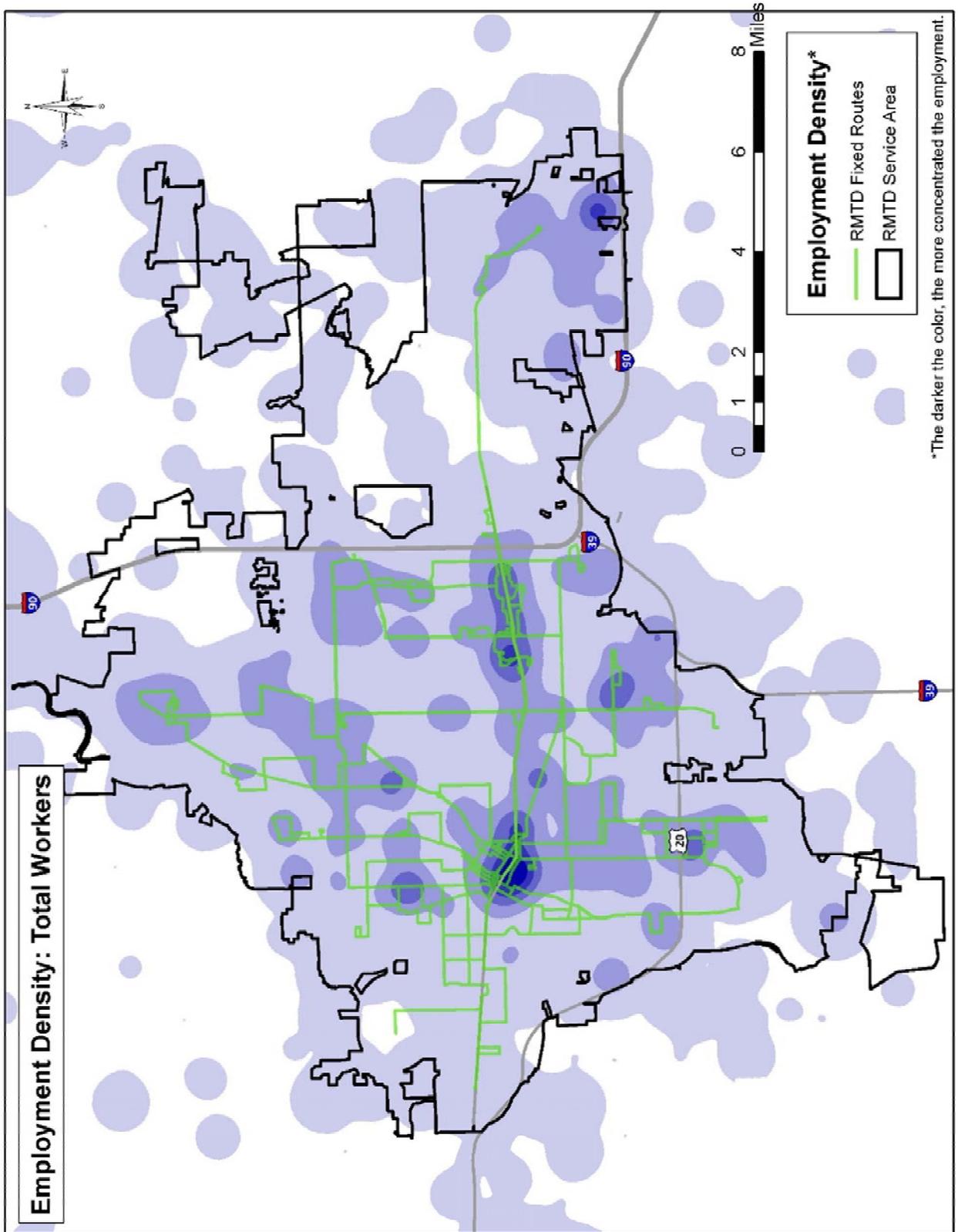
Map N- Census Tracts with Greater than Average Zero Car Households: 2011-2015 ACS Data



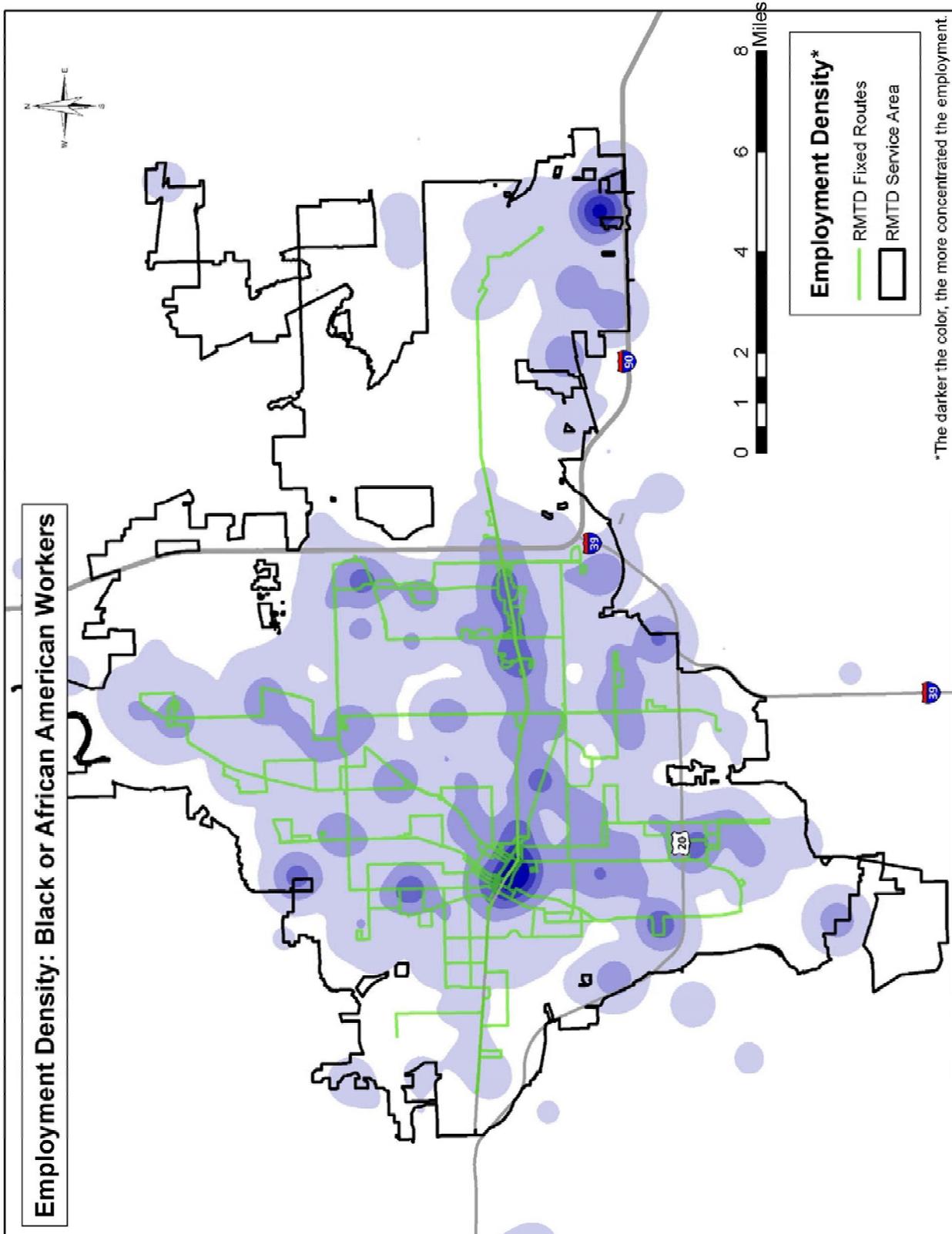
Map O- Census Block Groups with Greater than Average Senior Residents: 2010 Census Data



Map P- Employment Density of All Workers



Map Q- Employment Density of Black or African American Workers



Map R- Employment Density of Asian Workers

