

# SMART BOARD OF DIRECTORS

## Review of 2020 Activities and 2021 Goals and Challenges



**FEBRUARY 3, 2021**

# February 3, 2021 Board of Directors Public Meeting

## 2020 Department Activities Report and 2021 Goals and Challenges

### Department Presentations:

- Legal
- Finance
- Human Resource
- Procurement
- Information Technology

# Legal Department

# 2020 Activities

## **Litigation / Claims / Applications and Responses**

- Matters before Federal and State Courts
- Matters before the various Federal regulatory agencies including:
  - Surface Transportation Board (STB)
  - Federal Railroad Administration (FRA)
  - Federal Occupational Safety and Health Administration (OSHA)
- Matters before the various State agencies including:
  - California Public Utilities Commission (CPUC)
  - Bay Conservation and Development Commission (BCDC)
  - California Occupational Safety and Health Administration (Cal-OSHA)
- Matters before the various California Boards
  - California Public Employment Relations Board (PERB)
  - California Department of Labor and Industrial Relations (DLSE).
- Arbitrations pursuant to various Labor Agreements



# Claims and Risk Management:

## ■ Claims, recovery and Insurance

- SMART claimed, recovered or was reimbursed for damage to SMART's property including:
  - Diesel Multi-Units
  - Tracks
  - Fencing
  - Signals
  - Bridges

## ■ Responded to 200+ public records act requests (PRAs)



# Damage to SMART DMU's:





# Damage to SMART Property:



# Damage to SMART Property:





# Damage to SMART Property:



# Damage to SMART Property:





# Damage to SMART Property:





# Damage to SMART Property:



# Damage to SMART Property:





# Damage to SMART Property:





# Damage to SMART Property:



# 2021 Goals and Challenges

- Labor Negotiations
- COVID-19 Matters
- Freight Operations
- Federal Regulatory Issues
  - FRA, STB and Common Carrier issues
- Property Access/Crossing/ Freight Spur Issues
- Litigation

# QUESTIONS





# Finance Department

# Introduction

## ■ Functions

- Budget
- Accounting
- Finance
- Payroll
- Grants Budgeting and Reporting

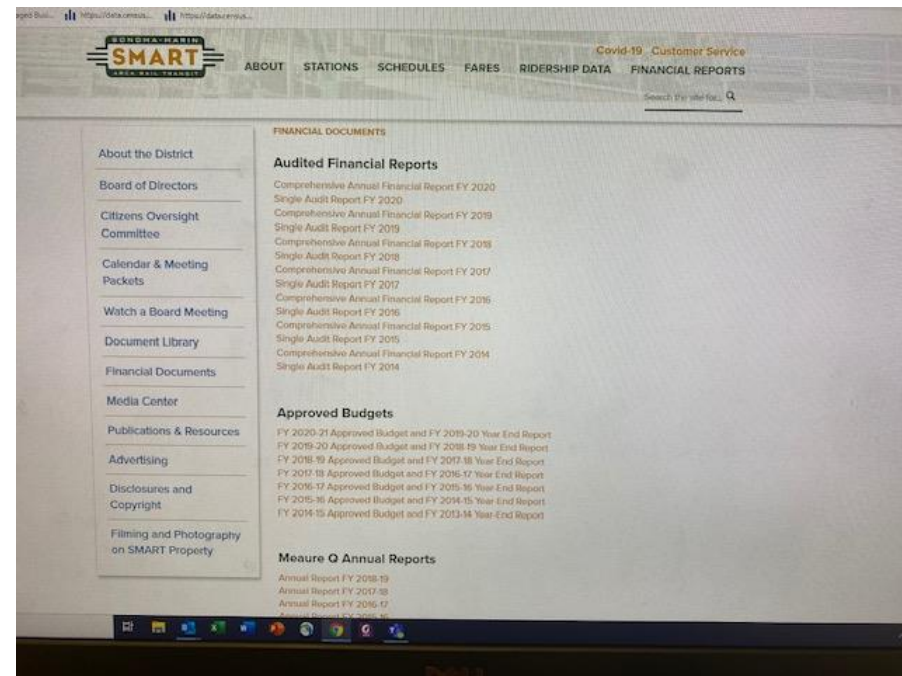
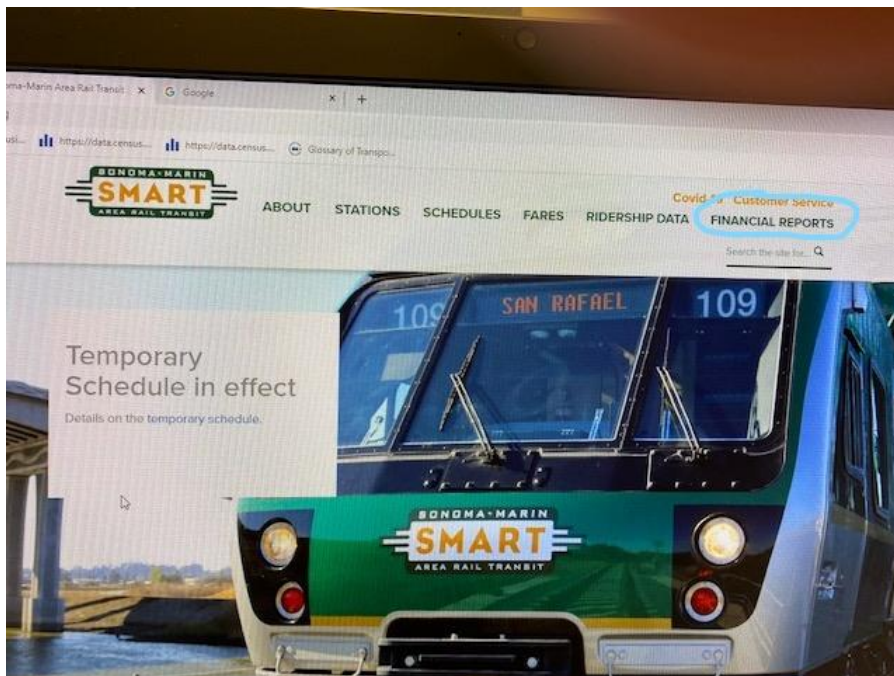


## ■ 6 staff members



# Financial Documents

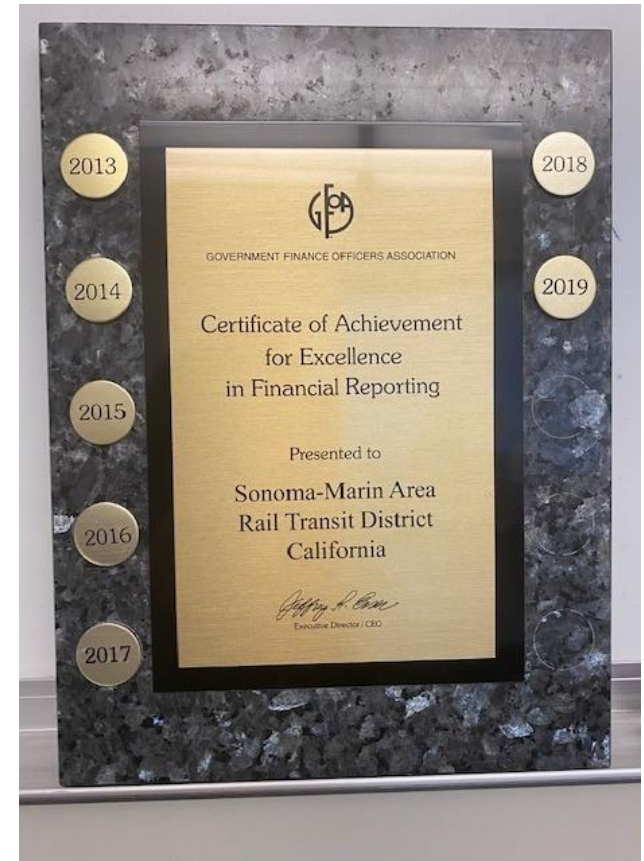
## Financial Documents and Reports - Found on SMART's External Website





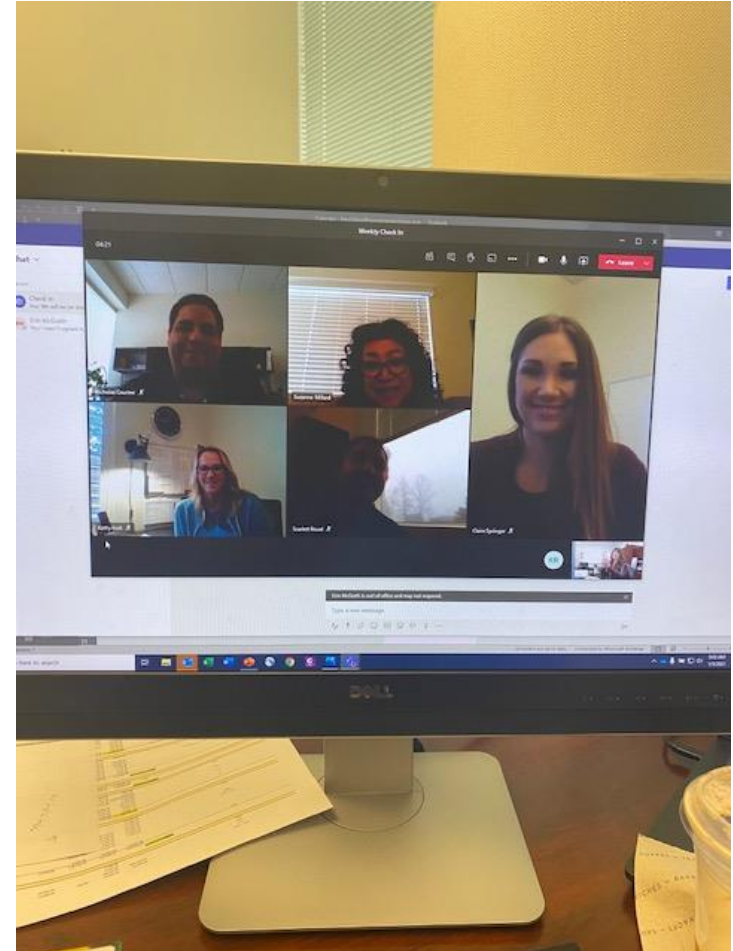
# 2020 Activities

- 2020/2021 Annual Budget
  - Proactive reductions in expenditures done early in pandemic – put us in better position than most organizations
  - Held six workshops/ presentations with the Board
- Annual Financial Audit
  - No audit findings
  - No post closing adjustments
  - Won Government Finance Officers Association (GFOA) award for Excellence in Financial Reporting (7<sup>th</sup> year in a row)
- Refinanced \$ 122.9 million in Outstanding Debt
  - Resulted in \$3.4 million in annual savings



# 2020 Challenges

- COVID-19
  - Shifting to remote work
  - New processes
- Measure I Election
  - 42% of funds come from sales and use tax authorized by Measure Q (2008)
  - Measure Q sunsets in 2029
- Payroll System
  - COVID leave
  - New User Interface

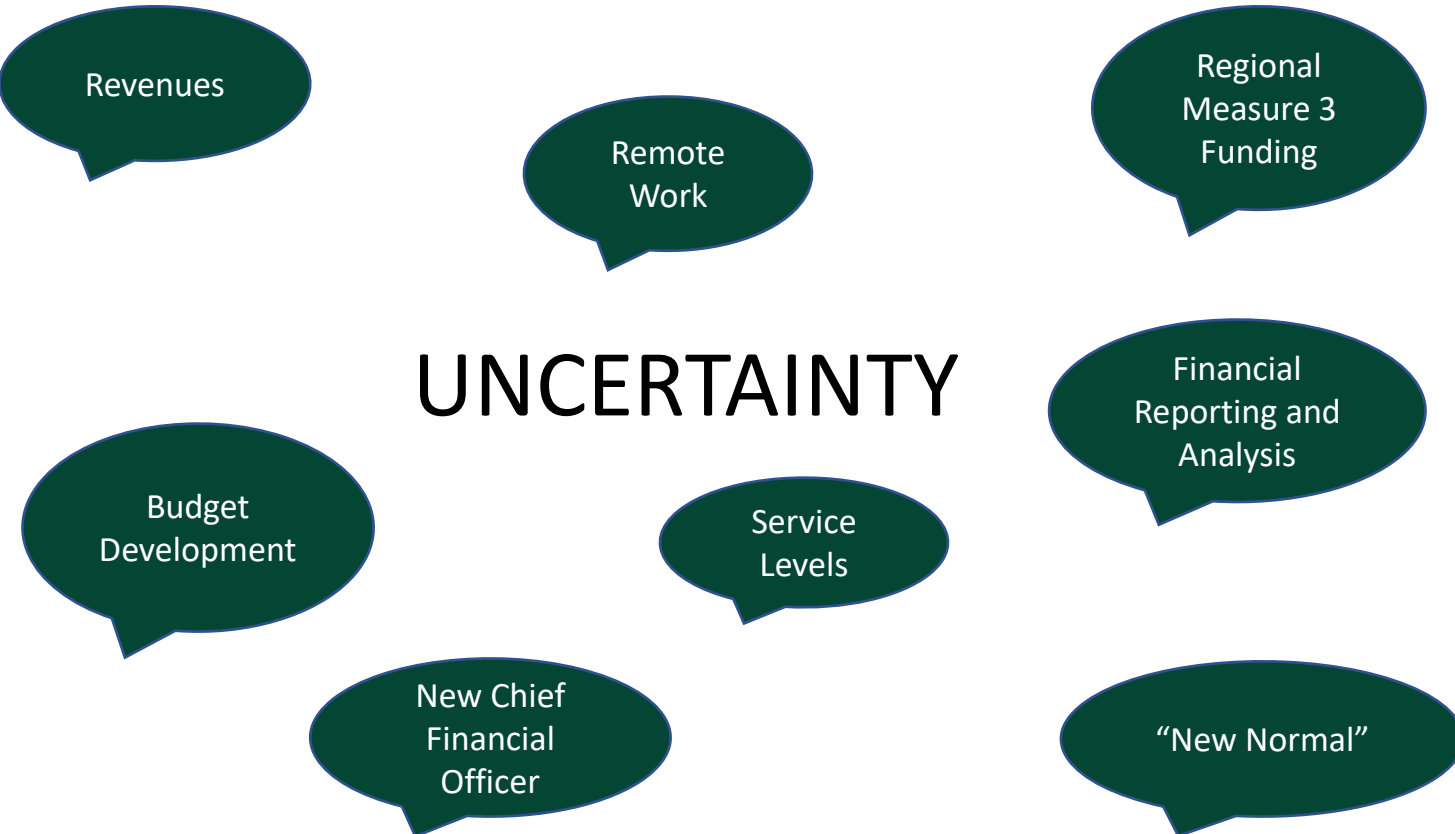




# 2021 Goals

- 2021/2022 Annual Budget
  - Balanced Budget
  - Build reserves
- Review and Update SMART's Short Range Transit Plan
  - Requirement to receive federal funds
- Develop a Transit Asset Management Plan
  - Required by 49 CFR Section 625
- Review and Improve Invoice Process
  - Interface/ Integration with Operations Management System

# 2021 Challenges



# QUESTIONS





# Human Resources Department

# 2020 Activities

- Federal Railroad Administration (FRA) audited our Drug and Alcohol Compliance Program and congratulated us on a “well-run” program
- Implemented Drug and Alcohol testing of staff as required by Federal Law
- Signal Technician Training Program was created
- National Recruitment was successfully conducted for Chief Financial Officer
- COVID-19 Relief Act required implementation of certain policies and leaves. 46 such cases were managed
- 2 amendments were negotiated and finalized with two of our Unions
- Conducted 17 recruitments resulting in 7 external hires and 11 internal promotions

# 2021 Goals

- Labor Relations – Teamsters Supervisors unit contract
- Customer Service – Increase presence at Operations Center
- Training
  - Collaborate with Operations department to create Trainee positions for Vehicle Maintenance as well as for Transportation divisions
  - Launch the “Supervisor Academy”



# 2021 Challenges

- COVID-19 and Its Impacts – New Laws and Regulations
- Planning for the Future
- Training – Creating a Coordinated System District-Wide

# QUESTIONS



# Procurement Department



# Procurement



## Purchases of Goods, Equipment, Supplies

**Examples:** Toilet Paper, Office Supplies,  
Train Wheels, Maintenance Vehicles,  
Ballast Cars, Wheel Truing Machine

## Contracting of Services

**Examples:** Janitorial Services, Fueling Services,  
Financial Consultants, Engineering  
Design, Design-Build Contractors

## Vendor Outreach, Onboarding, & Management

**Examples:** Advertising of Projects and Purchases  
Conducting all Bidding Activities  
(Site Visits, Bid Openings, etc.)  
Setting-up of Direct Credit Accounts,  
Small Business Outreach

# 2020 Activities

- Implemented a fully electronic eProcurement and Vendor Management System (Bonfire)
- Implemented DocuSign for SMART (including all security controls) and shifted Contract Execution to electronic signature
- Managed SMART's Equipment and Supply Needs during the 2020 Wildfires and COVID-19 Emergencies
- Issued:
  - 91 Purchase Orders totaling over \$3M
  - 35 New Contracts totaling Nearly \$4M
  - Established 74 new vendors

# 2020 Challenges

- Transitioning from In-Person Procurement Activities to Fully Electronic
  - Receiving Bids/Proposals
  - Hosting Pre-Proposal Conferences
  - Evaluations
- Finding credible vendors for COVID-19 emergency supplies
- Managing Supply Chain and Shipment Delays of all of our goods and supplies due to the pandemic



# 2021 Goals/Challenges

## GOALS

- More efficiency and Automation
- Implement Purchasing and Contracting Resource and Training Program for Staff
- Reduction of Paper Files – Transition to Fully Electronic Procurement Records

## CHALLENGES

- Influx of New Funding Sources will add complexities to the Procurement Process
- Increased Procurement Activity Expected as we look to shift back to normal operations and boost ridership post COVID-19.
- Developing multi year procurements and contract needs.

The Procurement Department expects to have a significant increase in purchasing and contracting activity as SMART:

1. Shifts back to normal operations post the COVID-19 pandemic
2. Further increases efforts on capital projects (SMART Pathway, Rail Extensions, etc.)
3. Adds Freight to the portfolio of services

# QUESTIONS





# Information Technology Department

# SMART'S IT Landscape

- SMART IT Systems are in place across the whole agency:
  - 4 Offices
  - 12 Stations
  - 46 miles
- All managed by a team of 3

# What We Do?

## ■ Administrative Information Systems – 4 offices

- Redundant secure systems for phones, email, servers, printers, and misc. devices.

## ■ Railroad Information Systems

- CCTV, Platform equipment, Fare Collection Devices

## ■ MAXIMO – Enterprise Asset Management

- Asset Management, Purchasing, Work Management, Schedule Maintenance, Inventory, and Event Logs.

## ■ Devices Maintained Today - 758

- 181 Network Devices
- 141 Radios
- 124 Computers
- 90 CCTV Devices
- 55 Servers
- 66 Cell Phones
- 65 Fare Devices
- 19 Vehicle Locators
- 17 Printers



# 2020 Accomplishments

- **IT Support**

- Restructured IT department under new leadership
- Implemented a trouble ticket system
- Completed **1606** IT Tickets!
- Transitioned to a new unified documentation system

- **Infrastructure**

- Developed and implemented a SMART work from home plan
- Modernized our Office Software Suite
- Established a new remote Board Meeting setup

- **Security**

- Completed an external IT Security Audit with positive results. Auditors said our security is much better than they typically see.
- Applied IT security improvements to better protect systems.
- Implemented central management for device security and anti-virus scans.

- **SMART General**

- Developed in house solution for new Customer Service
- Cost savings realized.

- **MAXIMO System**

- Automated some FRA reports.
- Automated monthly and weekly reports for departments.
- Developed department dashboards in MAXIMO to manage work and assets.



# 2020 Challenges

- COVID-19
  - Remote Board Meetings
    - Training all related persons
    - Designing and procuring technology solutions
  - Work From Home
    - Converting many staff to work from home, including supporting users remotely for all IT issues
  - Canceled Trainings
    - Cancellation of seminars and trainings for IT systems
- Budget
  - Deferred replacement of some devices

# 2021 Goals and Opportunities

- Complete the SMART File System migration to the cloud
- Continue to invest in IT security
  - Implement a company-wide IT Security training program
  - Continue IT Department training on the latest in IT security
- MAXIMO
  - Further automate reporting
  - Asset audits - Documentation vs. reality
  - Implement more detailed tracking of asset conditions
    - Automatic work orders

# 2021 Growth Post Pandemic

- Establishing a summer IT Internship Program
  - Fresh new perspective on technology
  - Help a student gain experience for their career
  - Give back by educating local students about the unique aspects of working in tech at a transit agency



# Connect with us:

[www.SonomaMarinTrain.org](http://www.SonomaMarinTrain.org)



## Customer Service:

[CustomerService@SonomaMarinTrain.org](mailto:CustomerService@SonomaMarinTrain.org)

(707) 794-3330

