



**BOARD OF DIRECTORS  
MEETING AGENDA  
April 21, 2021 – 1:30 PM**

**IN ACCORDANCE WITH GOVERNOR’S EXECUTIVE ORDERS N-25-20 AND N-29-20  
THE SMART BOARD OF DIRECTORS MEETING WILL BE HELD VIRTUALLY**

**MEMBERS OF THE PUBLIC MAY NOT ATTEND THIS MEETING IN PERSON**

**ZOOM TELECONFERENCE INSTRUCTIONS**

**PUBLIC COMMENT PRIOR TO MEETING:**

If you wish to make a comment you are strongly encouraged to please submit your comment by 5:00 p.m. on Tuesday, April 20, 2021 at  
<https://www.surveymonkey.com/r/SMARTBoardComments>

**PUBLIC COMMENT DURING THE MEETING:**

The SMART Board Chair will open the floor for public comment during the Public Comment periods on the agenda. Please check and test your computer settings so that your audio speaker and microphones are functioning. Speakers are asked to limit their comments to two (2) minutes. The amount of time allocated for comments during the meeting may vary at the Chairperson’s discretion depending on the number of speakers and length of the agenda.

1. Call to Order
2. Approval of the April 7, 2021 Board Minutes
3. Board Member Announcements
4. General Manager’s Report
5. Public Comment on Non-Agenda Items
6. Consent Calendar
  - a. Accept Monthly Ridership Report – March 2021
  - b. Approval of Resolutions Authorizing the Annual Filing of Grant Applications for Various State and Federal Fund Programs

## Regular Calendar

7. Performance Measures – Part 2 (*Informational/Discussion*)
8. Welcome Back Campaign (*Informational/Discussion*)
9. Approval of Capital Improvement Projects for Fiscal Year 2022 -2029
10. Next Regular Meeting of the Board of Directors, May 5, 2021 – 1:30 PM
11. Adjournment

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### DISABLED ACCOMODATIONS:

Upon request, SMART will provide for written agenda materials in appropriate alternative formats, or disability-related modification or accommodation, to enable individuals with disabilities to participate in and provide comments at/related to public meetings. Please submit a request, including your name, phone number and/or email address, and a description of the modification, accommodation, service or alternative format requested at least two (2) days before the meeting. Requests should be emailed to Leticia Rosas-Mendoza, Clerk of the Board at [ltrosas-mendoza@sonomamarintrain.org](mailto:ltrosas-mendoza@sonomamarintrain.org) or submitted by phone at (707) 794-3072. Requests made by mail SMART's, 5401 Old Redwood Highway, Suite 200, Petaluma, CA 94954 must be received at least two days before the meeting. Requests will be granted whenever possible and resolved in favor of accessibility.



**BOARD OF DIRECTORS  
REGULAR MEETING MINUTES  
April 7, 2021 - 1:30 PM**

**IN ACCORDANCE WITH GOVERNOR'S EXECUTIVE ORDERS N-25-20 AND N-29-20  
THE SMART BOARD OF DIRECTORS MEETING WILL BE HELD VIRTUALLY  
MEMBERS OF THE PUBLIC MAY NOT ATTEND THIS MEETING IN PERSON**

1. Call to Order

Chair Rabbitt called the meeting to order at 1:30pm. Directors Arnold, Bagby, Connolly, Fudge, Garbarino, Gorin, Lucan, Pahre and Rogers were present; Directors Colin and Hillmer absent.

2. Approval of the March 3178, 2021 Board Minutes

**MOTION:** Director Rogers moved approval of March 17, 2021 Board Minutes as presented. Director Connolly second. The motion carried 10-0 (Directors Colin and Hillmer absent)

3. Board Members Announcements

Director Lucan stated that Directors Bagby, Rogers and himself had the opportunity to join Ms. Weaver from Sonoma County Bicycle Coalition and Mr. Wells from the Marin County Bicycle Coalition for a tour of the Multi-Use path. They started at Downtown Novato and rode their bikes to north Downtown Santa Rosa Station, it was a very eye opening experience for him since he has been on the board a long time. He seen a lot of the maps and rode on sine if those segments in the past, it was really eye opening and an educational experience for himself. He thanked Ms. Weaver and Mr. Wells for the tour.

Vice Chair Pahre thanked Ms. Weaver for the video, since she clearly cannot ride the 30 miles they rode. She appreciates the time it took to put the video together. Chair Rabbitt agrees and stated that is worth watching the video.

4. General Manager's Report

General Manager Mansourian reported that since the start of passenger service in August 2017, SMART has carried 1,960,000 passengers, 203,00 bicycles, and over 7,300 wheelchairs. Since restrictions have been lifted in both counties, there has been a positive effect in ridership. There

was an increase of 10% in February from January and 35% increase in March from February.

He stated that in the month of March, SMART'S Safety and Security Staff hosted several trainings for various fire agencies in Sonoma and Marin Counties. Agencies were provided training and familiarization on safety features and train operations. A total of 130 firefighters from 8 agencies were trained. The agencies trained were: CAL FIRE, Gold Ridge, Rohnert Park, Novato, Petaluma, Rancho Adobe, Schell Vista, and Sonoma Valley.

He announced that SMART received an \$80,000 grant from the Federal Railroad Administration for our Suicide Prevention Program. Staff will work and coordinate with Ms. Barnes to develop suicide prevention educational training materials. These educational materials will include signage, print, social media and radio media.

General Manager Mansourian said that last month he met with Superintendents of Schools in Marin County and other Superintendents of Schools to discuss their needs for them to go back to being passengers. There are approximately 1500 school employees that work in Marin County and live in Sonoma County. They are a big part of SMART's ridership and they had different ideas which we will talk about on our April 21<sup>st</sup> Board meeting. They suggested developing a survey that can be distributed to their employees to provide a better understanding of the needs.

Lastly, he stated that on April 21<sup>st</sup> one of our agenda items will be the "Welcome Back Campaign" and how do we get passengers to come back to SMART. He presented a video that SMART's consultant, Civic Edge, and staff have been preparing to show.

Chair Rabbitt thanked staff and the consultant for a well-done video.

## 5. Public Comment on Non-Agenda Items

Duane Bellinger stated that he had the pleasure of riding the train a couple weeks ago. He congratulated staff on the increase in ridership and stated it's good to see people returning. He would like to see the statistics and income of the park-n-ride. He said that this is crucial information because the residents of East Petaluma are interested since they were told they could not ride bus, bikes or walk to the East Petaluma Station and a huge park-n-ride lot was going to be constructed. He asked that staff provides the income from park-n-ride by station. Those figures are available coming from the contractor that informs management who is parking, he added.

Eris Weaver thanked Directors Bagby, Lucan and Rogers for riding the bicycle path it was a great ride. She is happy and pleased to see that people have been viewing the video of their ride on YouTube, she is glad it's been helpful to those who would not get a chance to have that experience.

Warren Wells thanked Directors Bagby, Lucan and Rogers for taking part of their ride on Friday, March 26th to experience the tour of the SMART pathway, which was led by Ms. Weaver. He



extended a similar offer to members of the Board for a tour of the Marin County segments of the pathway. He will also make a video of the trip to share if someone cannot attend the tour.

Chair Rabbitt thanked staff for getting all the written correspondence the day before the meeting.

Lastly, Chair Rabbitt stated that East Petaluma Station is not being held up with anything to do with parking. In fact, the platform is the priority within the station which will allow the train to stop at that location. It is being held up with the sale of the property in Downtown Petaluma and the lack of approvals at the city level regarding either that project site or the Corona project site.

6. Consent
  - a. Approval of Monthly Financial Report

Chair Rabbitt asked for Board and public comments on the proposed Consent Agenda.

**MOTION:** Director Arnold moved approval of the Consent Agenda as presented. Director Lucan second. The motion carried 10-0 (Directors Colin and Hillmer absent).

7. Performance Measures – Part 1 (Informational/Discussion)

General Manager Mansourian introduced Chief Financial Officer, Heather McKillop, who provided an overview presentation. Ms. McKillop introduced Diana Dorinson with Transportation Analytics, who has been assisting staff over the last seven months as well as Grants and Programming Manager Joanne Parker. Highlights of the presentation as follows:

#### Performance Measures – Part 1

- Introduction and Overview
- Summary of 2021 Updates
  - Updated mid-year budget
  - Reviewed 2020 Activities and Challenges and 2021 Goals for all departments
- What Have We Learned?
  - Transit modes are not all the same—different modes of transportation present different levels of complexity
  - SMART is one of 31 Commuter Rail agencies in the U.S. subject to oversight and regulations of Federal Railroad Administration
  - We are among the few commuter rail agencies that owns its own right-of-way, tracks, and infrastructure (tunnels, bridges, signals, maintenance facilities)
  - Building, maintaining, and operating the multi-use pathway is a unique part of the vision for SMART's success
  - We conducted numerous Listening Sessions and one of the themes was that participants asked SMART to provide data and information in more user-friendly formats
- We Still Have Some Questions
  - Are we doing a good job? A great job? A poor job?

- How do we decide where to spend and where to cut?
- Which long-term investments should we prioritize?
- What information will best support decision-making?
- How should we evaluate our progress over time?
- Today, we are starting a process to select and develop a set of quantifiable metrics that can help us assess our performance
- SMART Already Collects and reports a lot of Data
  - Federal Railroad Administration
  - Internal Operations
  - Financial Reporting
  - Website/Publications
  - Federal Transit Administration
- Nation Transit Database (Federal Transit Administration)
  - Transit Agency Profiles
    - Region and Transit Name
  - SMART NTD Agency Profile
- Moving from reporting DATA to measuring Performance
  - Performance measurement requires resources
    - Each metric we develop will require data collection, computation, monitoring, calibrating, trouble shooting, publishing, etc.
  - Too many metrics can be overwhelming
    - Need to select a focused set of measures that align with our mission and objectives
  - SMART offers multiple transportation options that move people and connect communities,
    - metrics should tell us whether we are doing this reliably, efficiently, safely, and cost-effectively.
- Next Meeting We will
  - Present SMART data and metrics from National Transit Database (NTD)
  - Review other potential metrics to consider beyond NTD
  - Provide examples of reporting and visualization tools used by other transit agencies
  - Discuss required steps for implementation

#### Directors' Comments

Director Rogers stated that he appreciates this approach and believes this is what we have been hearing from the community. He asked if staff is working with local jurisdictions to ask what type of information would be usable for them in our local planning, with cities and counties that overlap to see what they would also be able to use. Ms. McKillop responded that staff has looked at the performance metric that surrounding municipalities have as well as what transit agencies have on their websites, to view what is being reported. Staff has not meet with the individual municipalities to have that discussion.

Director Bagby thanked staff for a great presentation. She has worked on a couple of startups and she is finally figuring out how you change data into information. It seems that SMART is going through a process that a lot of other cities are going through because of COVID, agencies have provided various resources online. The City of Cloverdale will be using Open Gov to

provide information. She asked if SMART is ready to share some of the dashboard creation tools and the reporting tools or if SMART is just at the beginning stages of finding a vendor who can provide that service for the website. Ms. McKillop responded that Open Gov is an impressive platform and very easy to use; however, we are not quite at that point yet to talk about what platform might be or do it inhouse or using external resources. We are focusing on what the matrix should be and will be discussing next steps at the following board meeting. First, we are probably getting the information out there in a static format, but over time we might want to move in that direction. Director Bagby stated that she is a new board member and is very appreciative of the ridership report and the data being reported; however, looking at excel spreadsheets is very hard for her to get what the numbers really mean. She suggested that using an interactive platform could be helpful.

Chair Rabbitt stated that keeping customers happy is knowing, who the customers are, especially along a fix rail commuter corridor. The ridership profiles, especially along commuter corridor, is going to have a probably a specific demographic for the most part of those going from one place to another.. Ms. McKillop responded that in the next meeting staff will be proposing to conduct onboard customer surveys also have discussions on how to reach out to those that are not riding. It is a unique time right now, but we had people who were consistent riders before the pandemic, we would like to get those people back. We would like to know why people are not riding and what could be done differently. Is it a matter of the cost of fares or is it a matter of the first and last mile getting to and from SMART station. There is a cost associated with those and we want to make sure we can incorporate that in our future budget.

Chair Rabbitt said that he thought it would narrow it to who are SMART riders, but it is anyone using the corridor and then why are they in their car, as opposed to in the train and expanding it to that level would be great. We know our busy stations and the average length of trip is, which could play into it as well. Over the years we have talked about fares and then the other added value items such as Wi-Fi and even being able to get coffee.

Director Fudge stated that when the process started it may have seemed a little slow; however, staff is setting the stage step by step. This will help understand where we are, awwhere we are going to be and what the results will be with the process. The strategy that staff is working on came together and it was very well explained. This is the result of listening to the public as well as board members. We are heading in the right direction and we will have some quantitative results that will help determine what we need to do. This is also educational to the public and anyone who is listening will be able to follow along and learn more about SMART, especially as we get results that can pe posted on the website. She thanked staff for leading the Board slowly and have results by end of June.

Chair Rabbitt stated that this last year has been anything but usual so it is three and a half years, with a year of a pandemic and undoubtedly probably another quarter of a year maybe more of fires and other calamities that we faced. He said, great job getting to this point as quickly as we did, more data feeds into the system will give us better information, as we go forward so we look forward to it.

### Public Comments

Duane Bellinger stated that the reason we have so many subsidies for rail is because the subsidies for automobile transportation are so enormous. He is interested to hear about the subsidies for parking. He would like data tables that we figure out well how much subsidy we give for parking and how much subsidy we give to other forms of transportation to get to our stations.

Patrick Seidler thanked staff for the presentation and General Manager Mansourian for his description of the SMART project in his letter of April 7, 2021 for the next agenda (Item #8). As a plan 70- mile Larkspur to Cloverdale rail and pathway system. He said that this is an opportunity to gather more support, particularly for another sales tax measure. He suggested getting the metrics that include the number of cyclists and pedestrians that are using the pathway segments. There are a lot of them out there they're doing it, and as we build more segments, it is the ability to show that people are not just using the train but the entire SMART's multimodal system, but there are pedestrians and cyclists and passengers on the train, so if there's a way to get those metrics into the system, he strongly encouraged that.

Steve Birdleough stated that a focus on what SMART is doing for our future has to do with the number of permits that have been issued for construction of housing and office buildings around the stations. Also, how accessible the stations are, how connected to the infrastructure around those stations. He does not think the National database pays any attention to those things and we probably must figure those out. It is very important in terms of how successful SMART is going to be, and whether it does prove to be our future.

Jack Swearngen stated that he thinks Mr. Birdleough is correct. The issue of matrix is important and a new dimension for assessment and marketing. There had been a lot of conversations of how SMART is too expensive for what it delivers, and he has never heard the same regarding Caltrans or any other organization. If the metrics are raised to the highest level of the good for society, we can recognize the dimensions of social, environmental, and aesthetic as well as economics. We can move on to the realm of livability, quality of life, mobility, environmental protection, sustainability, online goods. How do you measure the progress toward those and when do you start to measure those, not only are you doing groundbreaking but also e gaining the upper hand on the arguments that rail is not affordable, so more payment is added.

Mike Arnold thanked staff for presenting the National Transit Data for the Board and the public to know virtually all the annual data for every transit agency is sitting in a single spreadsheet which is downloadable. He said that Jim Schmidt and himself submitted their comments to Ms. McKillop. The memo provides the performance metrics where you are comparing those performance metrics across different kinds of transit agencies, one against the Reporting commuter rail agencies in the United States and the other one against all the bay area transit agencies. He also submitted detailed comments on recommended enhancements to the financial reporting because it is also related to performance, three of them are: 1) has the Board and the public been presented information regarding how the Windsor extension impacts SMART's future budget, such as ridership fare revenues and the operating costs. He suggested a policy of the Board that the performance metrics should be provided before any financial

commitments are made of taxpayer resources to ensure that the Board and the public understand the proposed extensions are likely to be losers and no additional tax revenues are created, fare revenues are unlikely to cover the marginal additional costs and that is the way trains operate. If SMART is looking to be transparent, reviewing the information before the extension decisions are made would ensure that at least you understood the financial consequences; 2) based on the information posted on the website; staff has never presented a year-end closed budget. The only information on the ending budget is contained in the next year's proposed budget, and these are estimates not actuals. He said it would really enhance the transparency of the agency if this were performed once a year; 3) the administrative costs associated with operating trains, is included in the operating expenses of the agency submitted to the FTA and to the MTC, however, is not included in the monthly finance reports or its budget, the proportion of the administrative budget assigned to capital projects should be regularly reported.

Director Garbarino stated that constant positive comments about the comprehensive nature of this effort, especially considering the next item on the Agenda and the report and presentation was very well-done. The information is useful for all of us and the public.

Chair Rabbitt stated he looks forward to the next iteration, this was an introduction of performance criteria and we will have an opportunity to talk about those things that are important to measure SMART's success and to be able to put it up in an open and transparent way.

The next item on the agenda, is the Capital Improvement Plan and funding opportunities, the fiscal year 2022 -2031. It is an informational and discussion item because it is the first time being introduced, and discussion will take place.

8. Capital Improvement Plan and Funding Opportunities FY 2022-2031 (*Informational/Discussion*)

General Manager Mansourian stated that staff is very excited about sharing with you what they been putting together. Staff appreciates the acknowledgment of how the pieces are all coming together. When staff started the presentations in January, we outlined the next seven months of presentations and how each piece is a mosaic. This item is something that SMART is doing for the first time, a comprehensive review of all the Capital needs and desires. This is a comprehensive review of both corridors; the Highway 101 corridor from Larkspur to Cloverdale rail and pathway. The second corridor goes along Highway 37 and Highway 121, SMART owns from Novato to the Napa River. We will also look at everything that is needed to maintain the existing operational system, enhancing safety and security, types of capital projects that we need to do, improving our communication to fiber optic, changing train wheels, updating our camera system or surveillance system and many other things an operating railroad must go through.

SMART is about three and a half years old, and some people may think why we need to make all these changes. SMART is the owner of a very old right-of-way, that has bridges, drainage system and not everything was ever upgraded.

As staff goes through the presentation, and you see a dollar amount in the slides, please note that this is our best estimate amount as of today. These are not cost estimates that a year or two years from now can be said they were amounts presented. Cost estimates are a snapshot of what is happening today. During the pandemic, various cost have increased, such as litigation that SMART is facing with an environmental issue. If the President is successful and trillions of dollars are flooded into our construction industry, I assure you, the cost of construction will be very expensive. All the estimates today are as good, until an actual bid process is conducted to get construction estimates. This is very important to remember.

The projects on the slides have no priority assigned to them until the Board makes the decision of which projects will be considered to move forward. The presentation has three sections; 1) Comprehensive Capital needs; 2) financial constraints and 3) next steps. He introduced Chief Engineer, Bill Gamlen who will provide an overview presentation. Highlights as follows:

#### Capital Improvement Plan

- Capital Project Categories
  - Safety and Security
  - Operational Maintenance Needs
  - Train Control and Communications
  - Bicycle and Pedestrian Pathway
  - Double-tracking the railroad
  - Passenger/Freight Rail Extensions
- Capital Planning Time Frames
  - Near Term: 0 to 5 years
  - Mid-Term: 5 to 10 years
  - Long Term: +10 years
- Capital Summary – 10+ years
  - Safety and Security Enhancement - \$2,282,600\*
  - Operational maintenance Needs - \$37,650,094\*
  - Train Control and Communication - \$7,296,200\*
  - Double Tracking - \$820,845,362\*
  - Passenger/Freight Rail Extensions - \$1,628,000,00\*
  - Bicycle and Pedestrian Pathways - \$108,790,590
- Bicycle and Pedestrian Pathway
  - Pathway Segments that were recommending in 2003 to the Board and incorporated into the CEQA document
  - Funded and In process Segments
  - Unfunded Remaining Segments
  - Pending Grant Applications
    - McInnis Parkway to Smith Ranch Road
    - Lakeville Street to Payran Street
- Capital Summary Cost
  - Total \$1,314,864,864\*
  - Novato to Suisun Passenger Rail Extension - \$1,300,000,00\*

*\*These are planning cost estimates that have been prepared in 2021 dollars with general estimates for design, construction, procurement, permitting, and administration.*

### Comments

Director Connolly asked for clarification of the Passenger/Freight Rail Extension cost from slides 4 and slide 7 of the presentation. Ms. McKillop responded that on slide 4 it includes the Novato to Suisun passenger extension.

Chair Rabbit asked if the segments that did not have CEQA are the ones that were not included in the first phase, since they were on city streets. Mr. Gamlen responded that in the SMART environmental review document at that time, the bicycle pedestrian group recommended phase one segments of pathway and phase two segments of pathway. The phase one was most of the pathway segments and phase two were more challenging and would be incorporated later by local municipalities and funding was yet to be determined on those. Chair Rabbitt said that it was probably the determinant why those segments were removed, because then it pulled out those dollar amounts from the overall project cost. Mr. Gamlen responded yes.

Director Connolly asked if there has been prioritization of the various segments of the pathway, either by SMART or the respective bicycle coalitions. Mr. Gamlen responded that staff is working with the bicycle coalitions and met with them for a couple hours a couple weeks ago to discuss this material. We are looking for recommendations from them on what their prioritization would look like in both counties; however, these have not been prioritized. Direction Connolly said that the Board can obviously weigh in, just wanted to confirm, so there has not been any official ranking. Mr. Gamlen responded that SMART has never ranked the segments, the other piece that does play into this heavily, is when SMART applies for grants it depends on how the grant is written since some segments fare better some are more rural some are more urban that is a big factor of this too.

Director Rogers asked how often staff is working with local jurisdictions on some of these priority areas. For example, the Third Street to Sixth Street pathway in Santa Rosa, and if staff is talking with the City of Santa Rosa Transportation and Public Works' staff regarding grant and funding opportunities, because prioritizing them is great, however as mentioned aligning dollars with what's possible is probably a good strategy as well for getting some of those built. Mr. Gamlen responded that staff works very closely with the local municipalities along the right-of-way to coordinate grants and project implementation. For example, the Lakeville the Payran segment in Petaluma was a coordination with City of Petaluma on that grant application. In Santa Rosa, the Joe Rodota to Third Street is a grant that the City of Santa Rosa weaved into with the crossing of Third Street, and staff has also coordinated other segments in Santa Rosa.

Director Bagby stated she had some thoughts after the infamous ride with Mr. Wells and Ms. Weaver on Friday, March 26<sup>th</sup>. She asked if there is a map of all the jurisdictions and where the SMART property starts and ends, as well as the cities, counties, and Caltrans. She suggested having an overarching map to see each jurisdiction and priorities. She understands that staff works very closely with the City of Santa Rosa, City of Petaluma, and other cities; however, having and being able to see an overarching map of each of the jurisdictions and priorities SMART would be in a better place, from a regional transportation perspective we would be in a better place to approach some of these challenges. Mr. Gamlen responded that it would be a very helpful tool to develop. There is some information on maps posted on SMART's website, that show built and funded segments. One of the maps does show jurisdictional city limits,

however, I believe you are looking for something that is probably even more developed. We would need to work with the Transportation authorities in both counties and local municipalities to gather more information. There is always room for improvements on those materials.

#### Capital Improvement Plan Funding Opportunities FY 2022-2031

Chief Financial Officer, Heather McKillop provided an overview presentation. Highlights as follows:

- Financial Analysis
  - SMART's FY 22- FY 31 Short Range Transit Plan (S RTP) is due in this year;
  - The Capital Plan feed into the S RTP;
  - S RTP and Capital plan is updated every 2 years;
  - Sales Tax (Measure Q) funds sunset in FY 2029;
  - No funds assumed in FY 2030 or FY 2031;
  - Need sales tax reauthorized prior to FY 2029 expiration;
  - Current sunset of sales tax limits our ability to fund projects, issue debt, or pursue as many grants as we might want to
- Revenue Assumptions
  - Assumes economic recovery continues
  - Assumes no additional recessions or natural disaster between now and FY 2031
  - Funding sources continue with exception of Federal CARES Act type funding
  - Forecasts are used where available and inflated between 2-3%
  - Fares remain the same
  - fare revenues return to pre-pandemic levels by FY 2024
- Revenue Assumptions – Sales Tax
  - Cliff is near with the expiration of Sales Tax (Measure Q) funds
  - Funding sunsets in FY 2029
  - We have 4 opportunities to go to voters; 2022, 2024, 2026, and 2028
  - New or Extension sales tax provides more funding and more ability to leverage funds
  - The sales tax would allow us to bond another \$150 million - \$200 million which in turn can leverage additional funds
- Expenditure Assumptions
  - Debt is paid off in FY 2029
  - Assumes weekend service is added back in FY 2022
  - Assumes weekday service is increased (6-1-6 schedule) in FY 2022
  - Added back staffing and associated expenditures
  - Assumes no raises
  - Assumes 3% inflation per year
  - Assumes operating reserve is kept at 25% of operating budget
  - Assumes funding over 3 years for “Welcome Back” Campaign
  - Assumes Windsor project is constructed with RM3 funds
- Available Funds for Capital Through FY 2029
  - **\$46.6 million available**
  - Following Board Adopted Expenditures Principles
    - Provide for ongoing Operation and Maintenance of the Current System



- Prioritize Safety and Security Maintenance and Improvements
  - Capital Projects
- Board can modify principles if desired
- Available for Capital Investment **\$26.4 million**
  - Leveraging \$26.4 million could provide as much as **\$58 million** for construction
  - We will use the \$26.4 million for design, environmental, and to match both State and Federal grants
- Other Initiative that we heard during our Listening Session
  - Have **\$26.4 million** available
  - Reduce fares/ increase service & frequency/ provide connections to transit and other destinations
  - Could set aside \$5 million between FY 22-29 for these initiatives
  - If we set \$5 million aside, would leave **\$21.4 million** for capital projects and leveraging
  - \$21.4 million could leverage **\$48 million** in projects – more than double our funding
- Other Near Term Financial Opportunities
  - Federal Earmarks
  - Federal Infrastructure Bill
    - Possible Policy Conflict and Eligibility Concerns with MTC Policies
  - Federal Loan Programs
    - Transportation Infrastructure and Innovation Act (TIFIA)
    - Railroad Rehabilitation and Improvement Financing (RRIF)

#### Comments

Director Rogers stated that it is hard to capture all the assumptions that are made or that could be made; particularly for our long-term financial planning a recession is assumed every seven years. He asked what can be done to build into the financial model, the possibility of either a recession or a natural disaster and have we seen the losses of revenue in either of those scenarios historically for the agency. Ms. McKillop responded that a recessionary period can be built in and it is not something typically that the forecasters do because you do not know when to estimate them. She said that you don't know if we want to call the last year recession, but that would have been close to 11 to 12 years since the last one, so that's the problem if you build it in sooner you will a lot less money, and if you build it in later you have more money. The last major recession was in 2008-2009 and we can go back and look at that, however the \$26.4 million plus more would not be available. If a recession is assumed between now and fiscal year 2031, we can provide for dips based on now. The natural disasters that we had here have been more impactful from a revenue source as it relates to fair revenues and those type of things because we tend to offer free service during those difficult times, or we are not able to run service due to flooding situations, on the recessionary piece of it is just a matter of how severe every session that the Board would like, and scenarios can be produced. Director Rogers said that is something that he would be expecting to see in our long term forecasting, as he mentioned the City of Santa Rosa received last night an update on it, they use Management Partners who is assuming 2020 as a recession and then assuming additional recessions in 2027 as well as 2034 because historically occur every seven years. He would be more comfortable

with our long range projections if we assume what we have seen statistically in our trends and not assume that we are not going to see a recession or a natural disaster.

Chair Rabbitt suggested looking at SMART's reserve policy and make sure that the reserves have a smoothing period to get through a recession. He appreciates the comment and certainly a lot of things have happened in the last few years and does not think something new is going to happen soon.

Director Lucan said that the \$26.4 million that could be potentially used for capital or innovative items is over a 7-8 year period and we are not talking about spending or allocating the money at this stage. Even if SMART was to go the leveraging route and use some of the funds to do design or other items, would portion of funds be set aside for a local match if SMART were to get the grant. Ms. McKillop responded yes, we may want to include some money in the fiscal year 2022 budget either for match or for grants that have been submitted and that we want to be prepared to have the matching funds, such as the Quick Strike Program. If it is decided to go the leveraging direction you may want to still set aside some money for design in fiscal year 2022, but the entire \$26 million is not available in the first year but is available over time.

Director Lucan said that the \$26 million would essentially build over time and although we might discuss where we want to use the funds until those funds are allocated it gives SMART a buffer should those projections are not hit.

Chair Rabbitt asked if the leveraging ratios are based on SMART track record to date. Ms. McKillop responded yes and 20% is used for a match and the Feds would like a much higher match, however SMART has been very successful at the 20% matching criteria. Then for design we used a 25% of the construction costs.

Chair Rabbitt said that always having a project in your back pocket that is shovel ready seems to be a very opportune thing these days, especially as dollars become available for quick projects that already have designed and environmental. He is not sure how you set funds aside not knowing what the projects are. He asked if there is a figure to set aside to pay for design and environmental. Ms. McKillop responded that part of the \$26.4 million would be the amount set aside for environmental and design and its about 25% and over time, that would be about \$8 or \$9 million that we would like to set aside of that money.

Chair Rabbitt asked if the funds grow continuously, consistently, front or back end loaded and if there are any options. Ms. McKillop responded that is more front loaded and the reason for that is that assumptions were made for the Windsor project would open in 2023. It may not be an appropriate assumption, but that is the assumption that had been used now, since it is not known when Regional Measure 3 funds would become available. Based on that there is an additional incremental cost to run the Windsor projects which starts in 2023 so we do have a little more money in the first couple years because, over time, we have a higher operating cost.

General Manager Mansourian concluded the presentation. Highlights as follows:

- Wrap Up
  - Sales Tax (Measure Q) expires FY 2029

- Current Outstanding Debt will be paid off in FY 2029
- Projected funds of \$21.4 million to \$26.4 million could be leveraged to between \$48 million and \$58 million for construction
- We met with the bicycle coalitions of Marin and Sonoma Counties and have asked for them to provide us with their top projects in order of priority
- Looking for your direction on our recommended approach
  - Leveraging projected funds by providing “match” dollars, and
  - Investing in environmental and design to get projects “shovel” ready
- If you concur, we will bring back Rail and Pathway projects that could meet grant requirements within our financial constraints for your consideration and approval

Therefore, staff is recommending that \$5 million be set aside for amenities and that \$21.4 million be leverage and not spend or banked for emergencies, so therefore, we are looking at \$48 to \$58 million, so one direction from you today is, should we leverage it or do you rather spend the money as you go, which means maybe one project, the best.

Once that is determined staff will bring back to the Board a list of recommended projects on the rail as well as the pathway, for your consideration and can make any changes to that list Once the list is finalized, staff will then recommend that we start designing and obtaining environmental clearance for those projects, so we can get ready and as we apply for grants.

Also, a discussion needs to occur about the upcoming federal opportunities, the earmark, and the infrastructure bill. The current MTC policy does not allow us to apply for any rail project projects north of Windsor, since we are not in the Regional Transportation Plan we cannot compete for projects. Based on the direction given to staff, we will report back on April 21<sup>st</sup> Board meeting with the specific project to accept or modify the list to include the resources and projects in the upcoming budget

Chair Rabbitt stated that the rail money and bigger money is in the sales tax extension going forward for sure, and then it is a matter of the question of leveraging setting aside what dollar amount and then leveraging the rest more than doubling our dollars for projects going forward. On the fiscally constraint transportation Improvement Plan and the fact that it does not go north of Airport Blvd, within MTC. I know that myself, as well as my colleague Commissioner Connolly that we have had some conversations with MTC and will continue to have those. Certainly, as earmarks come forward, if SMART is fortunate enough to have one, we are not going to be the only entity in the Bay Area. The Transportation Improvement Plan was fiscally constrained because it was based upon the revenues and expenditures that were anticipated, and obviously with additional sources of revenue coming in that changed the amount that changed the other column as well going forward, so we'll continue to try to move forward to make sure that we are not in disadvantage and given the same opportunities that other entities.

Director Fudge asked if SMART receives federal money for the Healdsburg Bridge would that be enough incentive for MTC to then alter their Plans and include SMART in their transportation planning if we have shown movement in that direction for something that costs so much. General Manager Mansourian responded that we will not get any money until we apply for it through congressional folks and if there is a requirement that you be on a regional plan you will

not even be able to apply. He said that Chair Rabbitt was saying that since SMART has a new source of funds now, staff can argue and indicate that there is a new source of fund and perhaps for those funds SMART should be included. Chair Rabbitt responded yes, also there is a line item of revenue, that is unidentified or ambiguous within that Plan, that revenue if earmarks come through, and if the Transportation Plan to the extent that the President infrastructure bill is approved that that line item within the on the revenue side for the Transportation Plan could increase greatly by billions for allowing new projects to move forward. They will continue to work with SMART and with our Congressman to make sure that as we go forward, we're not going to find ourselves behind that we can't accept funds. The Congressman doesn't want to have an earmark that won't actually be able to get implemented. We will continue to have conversations and push MTC to make sure again that SMART is not disadvantaged.

Director Fudge stated that she was hoping that there was a different bucket of money and whether it was an earmark or not at the federal level that maybe would not be dependent on Regional approval or not. Chair Rabbitt said that it depends on how the dollars get distributed through the federal transportation authority.

Director Lucan asked for clarification of the federal earmark discussion, his understanding is that they are potentially some larger projects, and community project funding request, the deadline for those is coming up soon. He asked if the General Manager Mansourian is familiar with that and if there is anything SMART is applying for in this first round of requests. General Manager Mansourian responded that SMART is not applying for any of the small projects because small projects are limited, between \$1 and \$2 million and they literally need to be shovel ready and we do not have anything at this time. The Board direction has been to go north of Windsor, SMART is applying for grant to the improvements of the Healdsburg Bridge. The big money will be on the infrastructure plan and on the ongoing annual appropriations in the infrastructure bill. Director Lucan asked regarding these little projects if SMART does the leveraging approach, then, and if this becomes an annual thing that maybe this time next year, we will have projects that would apply for those smaller projects General Manager Mansourian responded that some gap projects could be perfect candidates if they are ready.

Director Bagby she asked if a MTC member or staff members can explain how North of Windsor can be left off MTC Regional Transportation Plan when we are in the voter approved Regional Measure 3 and will that qualify for federal funding or earmarks. Chair Rabbitt responded that the County is within Regional Measure 3 and SMART was awarded the \$40 million for the Windsor Extension project. Director Bagby stated that she thought that Healdsburg Extension was part of Regional Measure 3 funds. Director Connolly confirmed that Healdsburg Extension was not part of Regional Measure 3.

Chair Rabbitt stated that that the further north SMART goes the tougher it is to acquire the dollars. Director Bagby asked for MTC report and website link where she can find the justification and technical data for the projects. Chair Rabbitt will provide the reports to Director Bagby.

### Public Comments

David Schonbrunn, President of Train Riders Association and Transdef and both organizations are seeing a tremendous fight about the future of the Northwestern Pacific Railroad specifically because of Senator McGuire and his great Redwood trail. The Train Riders Association filed an extensive document with the Surface Transportation Board, which opposed SMART becoming the freight carrier for this corridor. On May 20, 2020, the Board approved SMART take on freight and created a huge number of unanswered questions and a large gap in trust. His organization does not believe that SMART's management claims want to operate freight service and the Board politely declined several offers on their part on how to create low cost capital extensions by working with freight railroads. This is the connection to the Capital Plan, the amount of money that SMART has for the Capital Plan is 1% of the total amount of money on the wish list. It means that SMART needs a strategic way to approach the wish list, and it simply does not work financially. If SMART gets out of the freight business, there are entities that are willing to invest in the existing rights-of-way. They can get them operating with either little or no public money so that's a \$300 million item in your Capital Plan get service, not just to Cloverdale, but up to Willits. The freight operator under appropriate agreements could provide a low cost passenger service connecting the North Bay to Windsor. These are the items that the Board should be thinking about and it's a mistake to take SMART's gold plated engineering standard which insists on building everything brand new and the costs is \$1.6 billion, the same thing can be done for a small fraction of the cost that if you work with the private sector. This is all about coming up with a strategic approach to deal with your capital wish list that the current plan does not work.

David Oster stated that it was excellent presentation, and it is difficult to talk about these things, particularly with some of the issues going on with SMART at this time. He understands that these are just estimates, however he has concerns regarding the future cost of the Novato to Suisun passenger rail extension. He asked if SMART could get an estimate of the cost to get to the Napa junction which is about 23 miles. He believes that that number would be a fraction of the \$1.3 billion and be comparable to the cost to go to Cloverdale depending on the number of stations.

Willard Richards stated that he has two items, he wishes to discuss, both of which have been mentioned. He asked that the Board and staff provide the public the information regarding extending rail north of Windsor is not in the MTC Bay Area Plan 2050 and has significant consequences on the ability to obtain Regional and Federal funding. Regarding David Schonbrunn's comments, he said that before SMART began rebuilding the tracks, NWPCo company upgraded the tracks from the Napa River to north of Santa Rosa enough to begin freight service, and believes the cost was \$65 million much less than SMART has spent upgrading tracks. He would like to see in the cost estimates, the possibility of the beginning low speed service on tracks with less upgrading and postponing the full upgrading. He was greatly pleased with the financial estimate presented today.

Steve Birdlebough stated that he has been an active participant in the State Route 37 Project meetings and its efforts to relieve traffic congestion in the short term. There is a good deal of interest in SMART being able to carry passengers to relieve traffic in that area. In the longer range the idea of passenger service to Napa junction can be an important factor. He suggested

reviewing cost estimates in a shorter term than we have been. There were some questions from Caltrans regarding how quickly SMART could do the project and said once funding is available it could be about six years, but people are thinking about 2040. It's very difficult to disconnect this project from SMART going north but need to move forward.

Jack Swearingen stated that Lionel Gambel was arguing for locomotive concepts during SMART's 2006 campaign. Mr. Swearingen thought it was going to take a fancy sleek modern train set to get Marin people out of their vehicles, and he disagreed with the Lionel on the marketing potential, and the new modern train cars have attracted ridership because they are new. Many things have changed, who would have thought about a recession, a pandemic and legislation that have really hammered at SMART. The Highway 37 initiative, freight, the Great Redwood Trail projects influence funding, priorities, and vision near term far term. He recalls that at the last Board meeting there was going to be an action item emerging from the analysis of listening sessions. Chair Rabbitt responded yes, the Capital Plan project discussion was requested by several people during the listening sessions, so this is all part of that will be more in the future.

Mike Arnold stated that according to the monthly finance report that is in the packet, SMART has \$59.6 million at the Bank of Marin and the Sonoma Treasure pool in SMART's operating accounts. Ms. McKillop presentation did not specify what happens to that reserve. Does it go away during the assumptions or is it going to continue to build, since the operating reserve at end of your last fiscal year has grown by over \$20 million. He recommends that some specificity be placed because there may be more funds available than just the \$26.4 million. He hopes the Board realizes that \$26 million is a lot of money and there are a lot of constituents and it is very difficult to get feedback from all the various constituents on how to best spend the funds and suggested placing this item into a workshop environment and to discuss the capital planning for the agency over the next several years. There is potentially significant amount of funds coming into the agency through the next federal funding, let alone, if an infrastructure plan.

Warren Wells stated that this meeting and the following meeting are crucially important for the roadmap for the direction of SMART during the next few years. It is sad that the budget is a statement of values and this Capital Improvement Plan presents an opportunity for the Agency to show the public, its current users, and voters of both counties what the values are. There is over \$2 billion of potential spending and only \$58 million in fully leveraged funds to spend, which raises the question, what's the best way to spend the limited amount of money available in a way that makes passage of the future sales tax reauthorization. Measure Q made a promise to the voters to have a commuter train and the bicycle pedestrian pathway. SMART has achieved great success with the trains and created a viable alternative to Highway 101 for thousands of riders and provides a transit alternative to those without easy access to cars, however significant pathway gaps remain. SMART must show commitment to completing the pathway and Marin County Bicycle Coalition (MCBC) is urging SMART to allocate \$4 million a year, over the next five years to advance the unbuild pathway segments to design and obtain environmental clearances. This will allow the segments to qualify for State and Federal grants coming out soon. However, recognizing that some of the remaining segments are in areas not competitive for grant funding, SMART may have to spend some its own money on construction to that end. MCBC ask for one completed path project segment in Marin per year for the next

five years. MCBC is prepared to provide the preferred gap closures and Marin County, that are within the City of Novato which would close gaps between existing pathway segments that requires substantial detours, often on high stress roads and through freeway interchanges. He thanked SMART's staff for involving MCBC, the Sonoma County Bicycle Coalition and Transportation Alternatives of Marin in the segment prioritization process this shows transparency is much appreciated and is crucial to establishing trust and goodwill among the agencies bicycle riding constituency.

Eris Weaver stated that she missed some of the financial section of the presentation due to an unexpected visitor at their office. However, Mr. Arnold has stated in previous meetings that the operating reserves is growing and is not sure is included in available funding for now. There are various things that need to be done and not enough money to do it. Using the money to leverage outside grant is an important thing that allows more to get built with the amount of money that is on hand and the public does not know. For the Measure to pass, people are going to need to see physical progress, which means additional paths that they can ride. She hopes pathway between Petaluma and Penngrove and then between Rohnert Park and Santa Rosa are completed before SMART is on the ballot, because that will be easy to point to people who commute between the cities. She said that the pieces that are fundable may not be the pieces that are going to be the most useful to have the most impact on the most users.

Patrick Seidler thanked the Board and staff for their work and the Capital Improvement Plan and the funding opportunities and thanked Bill Gamlen and Joanne Parker for meeting with the bicycle coalitions in both counties and the Transportation Alternatives of Marin to review the SMART pathway. He urged the Board and public to look at the letter that TAM submitted to the Board. The letter includes an attachment A, which is a slight modification and organizes the unbuilt SMART pathway segments. It breaks it up between Marin, Sonoma and Novato Narrows, the segment in Marin total \$31 million the segments in Sonoma total \$23 million. He asked the Board to do exactly what SMART's General Manager asked is to obtain all CEQA and NEPA environmental clearances for all pathway segments not environmentally cleared. There are 11 segments that have not been environmentally cleared, getting these segments cleared in the next year will have those segments shovel ready. He agrees with Mr. Wells comments of setting aside \$4 million a year for five years is acceptable and leverage those funds two to one. If this is done all the segments in Marin and Sonoma Counties will be completed other than the Novato Narrows. Having done this SMART will have the support of the sales tax measure. He urged the Board to follow the criteria set out by the General Manager plan on prioritizing completing the pathway and getting those segments done so we can renew the sales tax measure and to complete the pathway in the areas where the train is running, which is \$54 million.

Chair Rabbitt asked if the cost estimates for the segments of bike pedestrian pathway is excluding or assumes that SMART controls the right-of-way. Mr. Gamlen responded yes. Chair Rabbitt said then it does not consider the current litigation. Mr. Gamlen responded that staff have not budgeted a funding for the litigation at this point. Chair Rabbitt asked, on a typical project if you must include a land cost to a project costs any idea what would add to the overall project. General Manager Mansourian responded that is best not to put a number or a percentage. Chair Rabbitt asked if costs are part of the overall project costs and can only

increase the overall cost going forward. Mr. Gamlen responded that every piece of land is different, which we found in implementing some of the initial pathway segments that even in the smallest acquisitions, we spend a lot of money in appraisal fees, real estate consultants, and negotiations which is big piece of that as well, it really varies from location to location. Chair Rabbitt asked if a fixed amount of money per year is set aside that it could guarantee that leverage ratio would be the same as if it were over a longer period. General Manager Mansourian responded no.

General Manger Mansourian responded to a few comments. The bicycle advocates said that they want SMART to build more pathway and will report back with those projects. Mr. Arnold kept using \$59.6 million cash reserve and he is misusing the term. That is the amount that SMART has in the Bank as an operating agency to operate, there are three months left in the fiscal year and it is not money sitting aside ready to be used. Mr. Richards asked why SMART has not discussed the MTC Plan and that we need to inform the public, this topic/issue has been discussed at various meeting and the Board has taken??and maybe we need to do a better job announcing. In response to Mr. Oster comment the \$1.3 billion takes us to Suisun City. Regarding Mr. Schonbrunn comments, other than introducing his name everything else he said was false. The letter he wrote to Surface Transportation Board is full of objection about NCRA rail banking in the northern section and that is what NCRA is doing. He also said that he had in person meetings with Mr. Mansourian to discuss building options for less of the cost, that is false. Mr. Mansourian said that he has challenged Mr. Schonbrunn in person, if he has ever built anything and his response was no. It is very different, when you run an old railroad with a locomotive that travels at 10 miles an hour than a modern passenger rail service at 79 miles an hour, with positive train control and many things that the old railroads would not have. He is proud of the way SMART does engineering and we are one of the cheapest cost effective railroads, that other railroads ask us to provide information on how SMART operates. The fact of building a modern railroad and the associated pathway is very important. We have kept the estimate of \$108 million or the \$2.6 billion away from litigation, since we have no idea how much this litigation will hurt SMART. We do not know what the Federal Court decision will be and what the total cost will be. One of our colleagues thought that it would be great to design and get environmentally ready. But at the same time, they said build a project every year, however it is the same money, the same money cannot be used twice. We will demonstrate that more at our next meeting. Staff appreciates the direction that has been given regarding leverage funds. If SMART leverages, do you like the concept of shovel ready projects, staff will develop whether we should do that whole bunch in the first year or however else we must see what is coming at us in grants.

Chair Rabbitt stated that this is an informational item for direction to staff that is going to come back to the Board. What staff need is whether we want to leverage the dollars taking \$5 million off to set aside for any of the programs that were previously mentioned that might include fare adjustments over the next years. Then taking that \$21 million, does the Board want to leverage or spend it? In terms of the operating reserve, reserve policy and the protections against any potential recession within this next time, as Director Rogers pointed out, we want to make sure that we follow through. Perhaps a discussion regarding the reserve policy going forward, the monthly financial sheet it says investment report for the bank account, which he thinks leads people to believe that those dollars are not allocated.



Chris Rogers stated that he is torn on how to proceed, because he does have a significant concern about not building in a recession or a natural disaster into our long term planning. It would be helpful to see whether the 25% reserve policy would have fared through some of the things that we have seen whether it is 2008 recession or Tubbs fire. SMART had said to the public that the reason the rail and pathway segments are not yet built is because we could not have anticipated how deep the recession would have been in 2008 and he would hate for us to make that same mistake again in our long term planning and not have anything to fall back on or, and have to say to the public that we over promised on some of our capital improvement projects because we hit another recession. In terms of the 26 million, he agreed with taking the \$5 million off the top to address strategically some of the things that we have heard such as fares and then, how much of that remains for additional capital improvement projects, which will subject to that conversation around our reserve policy if that 25% is adequate, or if we must adjust that once we start to factor in a recession or a natural disaster.

Director Fudge stated that it is very important that SMART leverages and SMART has done well at that, we could have not been where we are, if we had not leveraged all the money that we had, especially going to Larkspur and even the Airport area. She agrees with setting aside the \$5 million for increased service and that is exactly what the public said they wanted, and that would show that we are really trying to implement what we can in terms of what we heard from them during the listening sessions. We cannot forget about the Windsor Extension project since roughly \$20 million has been invested toward the part that has been constructed, we do not want to lose what we have already constructed. If Regional Measure 3 fails and SMART does not receive the \$40 million, we need to figure how to finish the Windsor project and it needs to be planned into the budget. She was not aware that the case could be settled in 2023 that was probably a conservative estimate and that is the best way to handle things, however nobody knows at this point when that will be settled. She suggested thinking about as we go forward going north with design and environmental, even if we are not in the Regional Transportation Plan, but having more shovel ready projects, "I think we need to be thinking about those going forward as well", she added. We need to leverage and set aside the \$5 million. She does not know if there is a way that we could find money from other sources, like a loan to finish Windsor and that we could pay back if and when Regional Measure 3 money is available.

Director Lucan asked of the \$21million that would be set aside for capital, roughly how much of that would be needed to do remaining environmental and design versus how much would potentially be set aside for a local match. General Manager Mansourian responded that SMART has been using 20% for local match and 25% for additional engineering, environmental and permitting, which is 45% and is a high level rough assumption. Ms. McKillop said that if we set aside \$11.9 million for the environmental design, that will design \$48 million worth of projects, and if \$9.5 million is set aside for the match that will match \$48 million with the projects. Director Lucan said that when we set aside for the local match it gives SMART a little buffer over time if there is a recession that we were not expecting. He is in full agreement with this staff's recommendation, and it is the right one. We need to lean on the bicycle coalitions in Marin and Sonoma Counties and their members to assist with prioritization, when you ask 12 board members what their number one project is, the response ends up in being in the district that they represent, which makes it difficult when you have 12 members Board. We know which projects to go after first or should you know what grant to go after first or where to put that

shovel in the ground and certainly the Board will have a discussion. It will be helpful to set some prioritizations and get started on these projects to be built. This is exciting news for SMART and we have not been in this position before to look at getting some of these projects completed. He is very excited about where we are and have a good plan in place.

Director Arnold stated that her questions is not part of what is being consider today, however she asked the status of Highway 37 and SMART going to the East Bay. General Manager Mansourian responded that the first piece was funded by the State of California and the next phase SMART asked the State of California for additional funds to continue doing engineering design and environmental design. However, when the pandemic began, he was told that all the discretionary money went into fighting pandemic so when things get back to normal, we will reach out to the State of California. Also, the Rail Plan is not in MTC Regional Plan; therefore, the rail portion cannot get federal money, if its required.

Lastly, Chair Rabbitt provided the follow direction to staff; setting \$5 million aside to take care of the fare issues and the increased service issues and then the really on the local match in the environmental engineering and permitting really ends up being that little over \$20 million being the additional dollars and trying to leverage the dollars, as much as possible. He asked his colleagues if anyone adamantly opposed the direction going forward. He said that as much as you like seeing things built and built immediately at the same time, no project gets built these days without getting fund from various sources. It does take time to do that and that when you could leverage that those dollars and use all those different sources, it makes no sense to leave \$30 million on the table and walk away from it and just assume that it's going to be there, year after year, if there was a way to spend a fixed amount and make sure that you could leverage it in the same capacity, but don't know if that's ever been the case, or has proven to be the case, going forward a lot of leveraging opportunities are almost a little bit opportunistic and have to make sure you get in there. The Quick Strike Program is an example of that and hopefully we can be successful in those two projects that we have going forward. Just as the General Manager stated these numbers are just a snapshot in time, they will be the only thing that is going to be a constant is that they are going to change over the course of time. Hoping some cost might go down, however most cost will probably increase and then the cost of litigation is only going to make things more challenging for this organization, it is not just seeing the progress it's also hearing about the progress that has been made to date. The fact that the first phase of those segments were supposed to be left in the hands of the jurisdictions, he has had his own conversations with his hometown and they don't remember that when you go back and say remember how this all came to be, and the same people who are part of that conversation are trying to change that over the course of time; he gets it, the public wants to see a continuous pathway expedited as possible, however it is a huge cost that needs to be budgeted accordingly over the course of time.

Chair Rabbitt adjourned the Board to closed session at 4:02pm on the following:

9. Closed Session – Conference with legal counsel regarding existing litigation pursuant to California Government Code Section 54956.9(a); Filemon Hernandez, et al. v. Sonoma-Marín Area Rail Transit District (SMART) – United States District Court for the Northern District of California - CIV No. 4:21-cv-01782

10. Report out Closed Session

District Counsel, Tom Lyons reported out of closed session at 4:30pm on the following:

Conference with legal counsel regarding existing litigation pursuant to California Government Code Section 54956.9(a); Filemon Hernandez, et al. v. Sonoma-Marín Area Rail Transit District (SMART) – United States District Court for the Northern District of California - CIV No. 4:21-cv-01782

*Report Out:* Direction given to Counsel, nothing further to report.

11. Next Regular Meeting of the Board of Directors, April 21, 2021 – 1:30 PM

12. Adjournment – Meeting adjourned at 4:32pm

Respectfully submitted,

/s/

Leticia Rosas-Mendoza  
Clerk of the Board

Approved on: \_\_\_\_\_



**David Rabbitt, Chair**  
Sonoma County Board of Supervisors

**Barbara Pahre, Vice Chair**  
Golden Gate Bridge,  
Highway/Transportation District

**Judy Arnold**  
Marin County Board of Supervisors

**Kate Colin**  
Transportation Authority of Marin

**Damon Connolly**  
Marin County Board of Supervisors

**Debora Fudge**  
Sonoma County Mayors' and  
Councilmembers Association

**Patty Garbarino**  
Golden Gate Bridge,  
Highway/Transportation District

**Susan Gorin**  
Sonoma County Board of Supervisors

**Dan Hillmer**  
Marin County Council of Mayors and  
Councilmembers

**Eric Lucan**  
Transportation Authority of Marin

**Chris Rogers**  
Sonoma County Mayors' and  
Councilmembers Association

**Farhad Mansourian**  
General Manager

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April 21, 2021

Sonoma-Marin Area Rail Transit Board of Directors  
5401 Old Redwood Highway, Suite 200  
Petaluma, CA 94954

**SUBJECT:** Monthly Ridership Report – March 2021

Dear Board Members:

**RECOMMENDATIONS:** Information Item

**SUMMARY:**

We are presenting the monthly ridership report for activity for the month of March 2021. This report shows trends in ridership for SMART by tracking Totals, Average Weekday riders, and Average Weekend/Holiday riders via the two methods we employ to track riders on a daily basis: Onboard Counts and Clipper + Mobile App paid fares. The report details bicycles and wheelchairs counted as well.

As discussed in prior presentations to Your Board, both methods of counting are necessary to track progress. Onboard Counts capture all riders, including the riders who are riding during the Free Fare Days or Free Fare Programs offered by Your Board, riders with passes who neglect to tag on or off, as well as categories of riders such as children under five years old. Therefore, Clipper + Mobile App paid fare reports do not capture all riders.

This and future reports will compare the most recent month to the same month during the prior year, as is standard industry practice for tracking trends over time. The report also shows progress so far in the Fiscal Year compared to the same time in the last Fiscal Year, to enable tracking of riders relative to budget expectations.

SMART's rider data for February 2020 was posted on the SMART Ridership website (<http://sonomamarintrain.org/RidershipReports>) and SMART's detailed March 2020 data will be posted once validated.

The report covers the gradual increase of riders returning to SMART as Bay Area Counties lift their Shelter-In-Place restrictions and begin to phase the opening of schools, restaurants, retail shops, offices, and other places of work. In response to the pandemic, SMART annulled service on weekends starting March 21, 2020, and reduced weekday services, first from 38 to 34 trips, then to 32 trips and, starting April 6, 2020, reduced weekday service to 16 trips.

**FISCAL IMPACT:** None

**REVIEWED BY:** [ x ] Finance /s/ [ x ] Counsel /s/

Very truly yours,

/s/  
Joanne Parker  
Programming and Grants Manager

Attachment(s): Monthly Ridership Report – March 2021

**MARCH 2021 (COVID-19) SMART RIDERSHIP**

SMART Ridership Report  
Board of Directors,  
April 21, 2021

COVID-19 related public health orders to Stay at Home were re-issued by Sonoma and Marin Counties in the third week of December 2020 and extended into January 2021, having previously been relaxed in Fall 2020 to allow for some restaurants, retail shops, offices, and other places of work to reopen. On January 25, 2021, The California Department of Public Health lifted the Regional Stay-Home Order for the 11-county Bay Area region; however, Sonoma and Marin Counties remained in the purple tier under the Blueprint for a Safer Economy, meaning many restrictions remained in place. Sonoma and Marin Counties moved into the red tier on February 24<sup>th</sup> and March 14<sup>th</sup>, respectively, and into the “orange tier” on March 24<sup>th</sup> and April 7<sup>th</sup>, respectively, resulting in a significant reduction of COVID restrictions and permitting many businesses to resume service for the first time in over a year. Traffic levels are returning to pre-pandemic levels and transit agencies are beginning to see the first signs of ridership recovery.

SMART modified services in March 2020 due to the pandemic, with weekend service annulled starting March 21/22 and weekday service reduced first by 4 trips (down to 34) on March 23, 2020, then by another 18 trips, (down to 16), on April 6, 2020.

SMART’s March 2021 ridership was down 70% overall compared to March 2020. The decrease is less than seen in past reports as March 2020 ridership saw the initial impacts of the COVID-19 shutdown. Average weekday ridership rose steadily from April 2020 until October 2020, as COVID rates improved, and then took a dip in the winter months as pandemic conditions worsened and the stay-at-home orders were renewed; however, February 2021 and March 2021 have seen an increase in average weekday ridership.

Total ridership year-to-date is down 86%. Fare payments in February through the Clipper and SMART App systems were also down 84% from the previous year. The total number of bicycles is down 74%. However, the percentage of riders bringing bicycles onboard grew from 13% in March 2020 to 18% in March 2021.

MONTHLY TOTALS YEAR-OVER-YEAR	MAR 2020	MAR 2021	% Change
Total Ridership (Onboard Counts)	33,624	9,933	-70%
Total Paid Ridership (Clipper + App Only)	29,089	9,332	-68%
Average Weekday Ridership (Onboard Counts)	1,385	432	-69%
Average Weekday Paid Ridership (Clipper + App Only)	1,199	405	-66%
Average Weekend/Holiday Ridership (Onboard Counts)	632	0	-100%
Average Weekend/Holiday Paid Ridership (Clipper + App Only)	540	0	-100%
Total Bikes Onboard	4,451	1,825	-59%
Total Wheelchairs Onboard	169	15	-91%

**MARCH 2021 (COVID-19) SMART RIDERSHIP**SMART Ridership Report  
Board of Directors,  
April 21, 2021

FISCAL YEAR-TO-DATE (JUL - MAR)	Fiscal Year 2020	Fiscal Year 2021	% Change*
<b>Total Ridership (Onboard Counts)</b>	548,838	76,523	-86%
<b>Total Paid Ridership (Clipper + App Only)</b>	447,977	71,735	-84%
<b>Average Weekday Ridership (Onboard Counts)</b>	2,512	400	-84%
<b>Average Weekday Paid Ridership (Clipper + App Only)</b>	2,099	374	-82%
<b>Average Weekend/Holiday Ridership (Onboard Counts)</b>	961	0	-100%
<b>Average Weekend/Holiday Paid Ridership (Clipper + App Only)</b>	684	0	-100%
<b>Total Bikes Onboard</b>	60,583	15,786	-74%
<b>Total Wheelchairs Onboard</b>	2,062	219	-89%
<i>*NOTES: COVID-19 Stay at Home Orders issued third week of March 2020. SMART annulled services starting March 21. SMART experienced similar ridership reductions to other transit systems in the Bay Area and Nationally. Free fare days and free fare programs offered in Fiscal Year 2020 also contributed to lower Clipper + App numbers. Stay at Home Orders were re-issued in December 2020 and extended in January 2021.</i>			

Total ridership for March 2021 was 29% higher than February 2021, partially attributed to 3 additional days of weekday ridership. The largest increase was seen in youth ridership (58%), from 199 to 315 boardings.

In November 2020, SMART kicked off participation in the Clipper START program, which offers a 50% discounted fare to eligible low income-qualified adult riders. While riders using the Clipper START discount has continued to climb steadily from November 2020 (16 boardings) to March 2021 (52 boardings), Clipper START riders comprise only .5% of SMART's March 2021 ridership.



April 21, 2021

**David Rabbitt, Chair**  
Sonoma County Board of Supervisors

**Barbara Pahre, Vice Chair**  
Golden Gate Bridge,  
Highway/Transportation District

**Judy Arnold**  
Marin County Board of Supervisors

**Melanie Bagby**  
Sonoma County Mayors' and  
Councilmembers Association

**Kate Colin**  
Transportation Authority of Marin

**Damon Connolly**  
Marin County Board of Supervisors

**Debora Fudge**  
Sonoma County Mayors' and  
Councilmembers Association

**Patty Garbarino**  
Golden Gate Bridge,  
Highway/Transportation District

**Susan Gorin**  
Sonoma County Board of Supervisors

**Dan Hillmer**  
Marin County Council of Mayors and  
Councilmembers

**Eric Lucan**  
Transportation Authority of Marin

**Chris Rogers**  
Sonoma County Mayors' and  
Councilmembers Association

**Farhad Mansourian**  
General Manager

5401 Old Redwood Highway  
Suite 200  
Petaluma, CA 94954  
Phone: 707-794-3330  
Fax: 707-794-3037  
[www.sonomamarintrain.org](http://www.sonomamarintrain.org)

Sonoma-Marin Area Rail Transit Board of Directors  
5401 Old Redwood Highway, Suite 200  
Petaluma, CA 94954

**SUBJECT:** Resolutions Authorizing the Annual Filing of Grant Applications for Various State and Federal Fund Programs

Dear Board Members:

**RECOMMENDATIONS:**

Approve Resolution Numbers 2021-02, 2021-03, 2021-04, 2021-05 and 2021-06 authorizing the filing of annual applications for the following funds for SMART's operating and capital expenses to provide rail services:

- \$2,957,733 in Federal Transit Administration Formula 5307 Program funding for Preventive Maintenance and committing the necessary 20% in local matching funds; and
- Up to \$2,333,880 in State Transit Assistance Program funding for Operations; and
- Up to \$5,058,638 in State Rail Assistance Program funding for Operations; and
- \$215,494 in State Low Carbon Transit Program funding to Restart Rail Operations on SMART (Post-Pandemic); and
- \$309,308 in State Transit Assistance – State of Good Repair funding for SMART Capital Spare Parts.

**SUMMARY:**

With the start of passenger rail services, SMART began the process to become eligible to receive several Federal and State grants that are apportioned annually to transit and rail operators. Your Board has approved resolutions of local support for these fund sources each of the past 1-3 years, depending on the source, under separate agenda items and resolutions. To streamline administrative processes at SMART, for Fiscal Year 2021-22 budget years and going forward every effort will be made to consider these annual grants under one agenda item. The five fund sources under consideration today are shown with their latest expected revenue amounts for SMART, as estimated by the State Controller's Office (SCO), the California State Transportation Agency (CalSTA) and the Metropolitan Transportation Commission (MTC).



The first resolution covers Federal Transit Administration (FTA) Formula 5307 funds, available to SMART as an FTA Direct Recipient. That is a designation SMART has held since 2015, a designation that requires a number of reporting and compliance requirements but results in access to annual formula funding from the FTA. The 5307 funds can be used by SMART for specific capital projects or more flexibly for capitalized 'preventive' maintenance, a component of SMART's Operations department costs. The resolutions under consideration before you today (Resolution No. 2021-02) is the second year of funding from this annual fund source for SMART that is proposed to support the SMART operating budget. In addition to these annual formula allocations, SMART has benefited from the Federal COVID relief packages that have allocated operating support to transit operators through the 5307 Formula program.

The second resolution covers State Transit Assistance (STA) funds, available to SMART through an apportionment, application and allocation process involving numerous agencies including the State Controller's Office (SCO), the Metropolitan Transportation Commission (MTC) and the Transportation Authority of Marin (TAM) and Sonoma County Transportation Authority (SCTA). SMART receives apportionments directly from the SCO for "STA Revenue" funds and STA State of Good Repair funds (the subject of two resolutions today) based on SCO reporting rules on local sales tax collected from Measure Q and other sources. SMART receives apportionments via a process established by MTC, TAM and SCTA for "STA Population" funds. All claims for these funds are made through MTC. STA funds can be used to support transit operating and capital expenditures and the resolution under consideration before you today (Resolution No. 2021-03) is the fifth year of funding from this annual source recommended to support SMART's operating budget.

The third resolution covers State Rail Assistance (SRA) funds, with the program created by Senate Bill 1 in 2017 to continuously appropriate the revenue received from a ½ percent sales tax on diesel fuel for the State's three Intercity Passenger Rail agencies and five Commuter Rail agencies. The funds are divided according to formula and can be used for operating or capital projects and the resolutions before you today (Resolution No. 2021-04) is the fifth year of funding from this annual source recommended to support SMART's operating budget. This program also requires a new Authorized Agent and Certification form be approved by the Board every time there is a change in Authorized Agent, as was the case with SMART's Chief Financial Officer staff changes in 2020.

The fourth resolution covers Low Carbon Transit Operating Program (LCTOP) funds, a program funded by the State's Cap and Trade Greenhouse Gas Reduction Fund and managed by the California Department of Transportation (Caltrans). Since 2014, the LCTOP has received a continuous appropriation of 5% of the annual Cap and Trade credit auction proceeds and the SCO apportions funds in the second half of the year they are allocated. LCTOP funds can be used to support transit operating and capital expenditures that expand transit services, increase transit mode share or acquire zero emission vehicles and, for this year, can support restoration of operations from COVID-19 pandemic service levels. The resolution before you today (Resolution No. 2021-05) is the fifth year of funding from this annual source recommended to support SMART's operating budget, this year for restoration of services from current levels.

This program also requires a new Authorized Agent and Certification form be approved every year with the local resolution and that is attached naming SMART's General Manager and Chief Financial Officer as Authorized Agents.

The fifth resolution covers the application portion of the State Transit Assistance – State of Good Repair funds (STA-SGR), also referenced in the second resolution described above. These STA-SGR funds are another Senate Bill 1 (the 2017 Road Repair and Accountability Act) fund source and are apportioned by the SCO, managed by Caltrans and distributed by the MTC STA process. STA-SGR funds must be used in support of capital projects that maintain a transit system in good working order. The SMART Board has authorized the use of these funds for SMART Capital Spare Parts for the first four years and the resolution before you today (Resolution No. 2021-06) is the fifth year of funding from this annual source recommended for SMART's Capital Spare Parts project in support of SMART's Operations. This program also requires a new Authorized Agent and Certification form be approved by the Board every time there is a change in Authorized Agent, as was the case with SMART's Chief Financial Officer staff changes in 2020.

Collectively these five fund sources will provide up to \$10,875,053 in outside State and Federal grants in support of SMART's operations and SMART's Fiscal Year 2021-22 Annual Budget. We recommend your Board approve the attached Board resolutions (Resolution Nos. 2021-02, 2021-03, 2021-04, 2021-05 and 2021-06) authorizing the execution of these grants, authorizing the execution of any necessary documents to receive the funds, and authorizing the completion of the projects associated with these funds.

**FISCAL IMPACT:** SMART will assume these fund sources within the FY 2021/22 budget for these operating projects.

**REVIEWED BY:** [ x ] Finance /s/ [ x ] Counsel /s/

Very truly yours,  
/s/

Joanne Parker  
Programming and Grants Manager

**Attachments:**

- 1) Resolution Number 2021-02
- 2) Resolution Number 2021-03
- 3) Resolution Number 2021-04; State Rail Assistance Program Authorized Agent Form and Certifications
- 4) Resolution Number 2021-05; State Low Carbon Transit Operating Program Authorized Agent Form and Certifications
- 5) Resolution Number 2021-06; State Transit Assistance State of Good Repair Program Authorized Agent Form and Certifications

**RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT AUTHORIZING THE FILING OF AN APPLICATION FOR FEDERAL TRANSIT ADMINISTRATION FORMULA PROGRAM AND SURFACE TRANSPORTATION PROGRAM FUNDING FOR PREVENTIVE MAINTENANCE AND COMMITTING THE NECESSARY LOCAL MATCH FOR THE PROJECT AND STATING THE ASSURANCE OF THE SONOM-MARIN AREA RAIL TRANSIT DISTRICT TO COMPLETE THE PROJECT**

---

**WHEREAS**, Fixing America’s Surface Transportation (FAST, Public Law 114-94) continues and establishes new Federal Transit Administration formula programs (23 U.S.C. §53) and continues the Surface Transportation Program (23 U.S.C. 133); and

**WHEREAS**, pursuant to FAST, and the regulations promulgated thereunder, eligible project sponsors wishing to receive Federal Transit Administration (FTA) Section 5307 Urbanized Area, Section 5337 State of Good Repair, or Section 5339 Bus and Bus Facilities (collectively, FTA Formula Program) grants or Surface Transportation Program (STP) grants for a project shall submit an application first with the appropriate metropolitan transportation planning organization (MPO), for review and inclusion in the MPO’s Transportation Improvement Program (TIP; and

**WHEREAS**, the Metropolitan Transportation Commission (MTC) is the MPO for the San Francisco Bay region; and

**WHEREAS**, the Sonoma-Marín Area Rail Transit District (SMART) is an eligible project sponsor for FTA Formula Program or STP funds for the following project:

**SMART Preventive Maintenance**

**WHEREAS**, MTC requires, as part of the application, a resolution stating the following:

1. SMART makes the commitment of necessary local matching funds (20% for FTA 5307 Formula Program funds); and
2. SMART understands that the FTA Formula Program funding is fixed at the programming amount, and therefore any cost increase cannot be expected to be funded from FTA Formula Program funds; and
3. SMART provides assurance that the project will be completed as described in the application, and, if approved, as programmed in MTC’s TIP; and
4. SMART understands that the FTA Formula Program funds must be obligated within three years of programming in the TIP, or the project may be removed from the program.

**NOW, THEREFORE, BE IT RESOLVED** that by the Board of Directors that the SMART District is authorized to execute and file an application for funding under the FTA Formula Program in the amount of \$2,957,733 for Preventive Maintenance; and

**BE IT FURTHER RESOLVED** that the SMART Board of Directors, by adopting this resolution does hereby state that

1. SMART will provide \$739,434 in local, non-federal matching funds; and
2. SMART understands that the FTA Formula Program for the project is fixed at \$2,957,733, and that any cost increases must be funded by SMART from local matching funds, and that SMART does not expect any costs increases to be funded with FTA Formula and Surface Transportation Program funds; and
3. SMART Preventive Maintenance will be completed as described in this resolution and, if approved, for the amount shown in the Metropolitan Transportation Commission (MTC) Transportation Improvement Program (TIP) with obligation occurring within the timeframe established below; and
4. The program funds are expected to be obligated by January 31 within the year the project is programmed for in the TIP; and
5. SMART will comply with FTA requirements and all other applicable Federal and State and Local laws and regulations with respect to the proposed project; and

**BE IT FURTHER RESOLVED** that SMART is an eligible sponsor of projects in the program for FTA Formula Program and STP funds; and

**BE IT FURTHER RESOLVED** that SMART is authorized to submit an application for FTA Formula Program and STP funds for Preventive Maintenance; and

**BE IT FURTHER RESOLVED** that there is no legal impediment to SMART making applications for FTA Formula Program and STP funds; and

**BE IT FURTHER RESOLVED** that there is no pending or threatened litigation which might in any way adversely affect the proposed project, or the ability of SMART to deliver such a project; and

**BE IT FURTHER RESOLVED** that SMART agrees to comply with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution 3866; and

**BE IT FURTHER RESOLVED** that a copy of this resolution will be transmitted to the MTC prior to MTC programming the FTA Formula Program or Surface Transportation Program funded projects in the Transportation Improvement Program (TIP); and

**BE IT FURTHER RESOLVED** that the MTC is requested to support the application for the project described in the resolution and to program the project, if approved, in MTC's TIP.

**PASSED AND ADOPTED** at a regular meeting of the Board of Directors of the Sonoma-Marín Area Rail Transit District held on the 21<sup>st</sup> day of April, 2021, by the following vote:

**DIRECTORS:**

AYES:

NOES:

ABSENT:

ABSTAIN:

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David Rabbitt, Chair, Board of Directors  
Sonoma-Marín Area Rail Transit District

ATTEST:

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Leticia Rosas-Mendoza, Clerk of Board of Directors  
Sonoma-Marín Area Rail Transit District

**RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT AUTHORIZING THE SUBMITTAL OF A CLAIM FOR STATE TRANSIT ASSISTANCE FUNDS AND DESIGNATION OF THE GENERAL MANAGER AND/OR CHIEF FINANCIAL OFFICER AS THE AUTHORIZED AGENTS TO SUBMIT AND EXECUTE ALL REQUIRED DOCUMENTS FOR STATE TRANSIT ASSISTANCE FUNDS ON BEHALF OF THE DISTRICT FOR FISCAL YEARS 2021-2022**

---

**WHEREAS**, the Sonoma-Marín Area Rail Transit District (SMART) is an eligible project sponsor and may receive funding from State Transit Assistance (STA) Funds, including STA Revenue Funds (PUC 99314), STA Population Funds (PUC 99313), STA Revenue State of Good Repair Funds (PUC 99314), and STA Population State of Good Repair Funds (PUC 99313) for transit projects; and

**WHEREAS**, the state and regional statutes related to these state transit funds require implementing agencies to abide by various state and regional regulations; and

**WHEREAS**, the Metropolitan Transportation Commission (MTC) is the regional agency responsible for disbursement of STA funds, including the STA State of Good Repair funds programmed by the State Department of Transportation (Caltrans) and STA Revenue Funds apportioned by the State Controller's Office; and

**WHEREAS**, MTC has developed guidelines for the purpose of administering and distributing STA funds to eligible project sponsors, described in MTC's Annual Fund Application Manual; and

**WHEREAS**, SMART wishes to delegate authorization to submit and execute all required STA claim documents and any amendments thereto to the SMART General Manager and Chief Financial Officer; and

**WHEREAS**, SMART wishes to implement the SMART Commuter Rail Operations Project for Fiscal Year 2022 and beyond;

**NOW, THEREFORE, BE IT RESOLVED THAT THE** Board of Directors of the SMART District hereby

1. Authorizes the submittal of the SMART Commuter Rail Operations Project claim for State Transit Assistance Revenue and Population funds and the SMART Capital Spare Parts Project claim for State Transit Assistance State of Good Repair funds to the Metropolitan Transportation Commission for Fiscal Years 2022; and

**Resolution No. 2021-03**  
**Sonoma-Marín Area Rail Transit District**  
**April 21, 2021**

2. Agrees to comply with all conditions and requirements set for in MTC's Annual Fund Application Manual and applicable statutes, regulations and guidelines for all State Transit Assistance funded transit projects; and
3. Designates SMART's General Manager and/or Chief Financial Officer to be authorized to execute all required documents of the State Transit Assistance program and any Amendments thereto with the Metropolitan Transportation Commission which may be necessary for the completion of the aforementioned project.

**PASSED AND ADOPTED** at a regular meeting of the Board of Directors of the Sonoma-Marín Area Rail Transit District held on the 21<sup>st</sup> day of April, 2021, by the following vote:

**DIRECTORS:**

AYES:

NOES:

ABSENT:

ABSTAIN:

---

David Rabbitt, Chair, Board of Directors  
Sonoma-Marín Area Rail Transit District

ATTEST:

---

Leticia Rosas-Mendoza, Clerk of Board of Directors  
Sonoma-Marín Area Rail Transit District

**RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT AUTHORIZING THE EXECUTION OF THE CERTIFICATION AND ASSURANCES AND AUTHORIZED AGENT FORMS FOR STATE RAIL ASSISTANCE FUNDS AND AUTHORIZING THE EXECUTION OF THE STATE RAILASSISTANCE PROJECT, SMART COMMUTER RAIL OPERATIONS FOR FISCAL YEARS 2021/22 FOR AN ESTIMATED AMOUNT UP TO \$5,058,638**

---

**WHEREAS**, the Sonoma-Marín Area Rail Transit District (SMART) is an eligible project sponsor and may receive funding from State Rail Assistance (SRA) for transit projects; and

**WHEREAS**, the statutes related to state-funded transit project require implementing agencies to abide by various regulations; and

**WHEREAS**, Senate Bill 1 (2017) named the California State Transportation Agency (CalSTA) as the administering agency for the SRA; and

**WHEREAS**, CalSTA has developed guidelines for the purpose of administering and distributing SRA funds to eligible project sponsors (Agencies identified as eligible recipients of these funds); and

**WHEREAS**, SMART wishes to delegate authorization to execute these documents and any amendments thereto to Farhad Mansourian, General Manager, and Heather McKillop, Chief Financial Officer; and

**WHEREAS**, SMART wishes to implement the Fiscal Year 2022 SMART Commuter Rail Operations Project

**NOW, THEREFORE, BE IT RESOLVED THAT THE** Board of Directors of the SMART District hereby

1. Authorizes the submittal of the SMART Commuter Rail Operations Project for nomination and allocation request to CalSTA for State Rail Assistance funds for up to \$5,058,638 in FY2021/22; and
2. Agrees to comply with all conditions and requirements set for in the Certifications and Assurances and Authorized Agent documents and applicable statutes, regulations and guidelines for all SRA funded transit projects; and
3. Designates Farhad Mansourian, General Manager, and Heather McKillop, Chief Financial Officer, to be authorized to execute all required documents of the SRA program and any Amendments thereto with the California Transportation Agency which may be necessary for the completion of the aforementioned project.



**Resolution No. 2021-04**  
**Sonoma-Marin Area Rail Transit District**  
**April 21, 2021**

**PASSED AND ADOPTED** at a regular meeting of the Board of Directors of the Sonoma-Marin Area Rail Transit District held on the 21<sup>st</sup> day of April, 2021, by the following vote:

**DIRECTORS:**

AYES:

NOES:

ABSENT:

ABSTAIN:

\_\_\_\_\_  
David Rabbitt, Chair, Board of Directors  
Sonoma-Marin Area Rail Transit District

ATTEST:

\_\_\_\_\_  
Leticia Rosas-Mendoza, Clerk of Board of Directors  
Sonoma-Marin Area Rail Transit District



**Authorized Agent (Attachment C)**  
**2020-21 through 2024-25**

AS THE Chair, Board of Directors  
*(Chief Executive Officer/Director/President/Secretary)*

OF THE Sonoma-Marin Area Rail Transit District (SMART)  
*(Name of County/City Organization)*

I hereby authorize the following individual(s) to execute for and on behalf of the named Regional Entity/Transit Operator, any actions necessary for the purpose of obtaining State Rail Assistance (SRA) funds provided by CalSTA. I understand that if there is a change in the authorized agent, the project sponsor must submit a new form. This form is required even when the authorized agent is the executive authority himself. I understand the Board must provide a resolution approving the Authorized Agent. The Board Resolution appointing the Authorized Agent is attached.

Farhad Mansourian, General Manager OR  
*(Name and Title of Authorized Agent)*

Heather McKillop, Chief Financial Officer OR  
*(Name and Title of Authorized Agent)*

\_\_\_\_\_  
*(Name and Title of Authorized Agent)*

David Rabbitt  
*(Print Name)*

Chair, Board of Directors  
*(Title)*

\_\_\_\_\_  
*(Signature)*

Approved this 21 day of April, 2021

*Only needed if there is a change in the Authorized Agent(s).*

## **Certifications Assurances (Attachment D)**

### **2020-21 through 2024-25**

Lead Agency:	<b>Sonoma-Marin Area Rail Transit District (SMART)</b>
Project Name:	<b>FY22 SMART Commuter Rail Operations</b>
Prepared by:	<b>Joanne Parker</b>

The California State Transportation Agency (CalSTA) has adopted the following Certifications and Assurances for State Rail Assistance (SRA). As a condition of the receipt of SRA funds, project lead must comply with these terms and conditions.

#### **A. General**

1. The project lead agrees to abide by the current SRA Guidelines and applicable legal requirements.
2. The project lead must submit to CalSTA a signed Authorized Agent form designating the representative who can submit documents on behalf of the project sponsor and a copy of the board resolution appointing the Authorized Agent.

#### **B. Project Administration**

1. The project lead certifies that required environmental documentation (if applicable) is complete before requesting an allocation of SRA funds. The project lead assures that projects approved for SRA funding comply with Public Resources Code § 21100 and § 21150.
2. The project lead certifies that a dedicated bank account for SRA funds only will be established within 30 days of receipt of SRA funds.
3. The project lead certifies that when SRA funds are used for a transit capital project, that the project will be completed and remain in operation for its useful life.
4. The project lead certifies that it has the legal, financial, and technical capacity to carry out the project, including the safety and security aspects of that project.
5. The project lead certifies that they will notify CalSTA of pending litigation, dispute, or negative audit findings related to the project, before receiving an allocation of funds.
6. The project lead must maintain satisfactory continuing control over the use of project equipment and facilities and will adequately maintain project equipment and facilities for the useful life of the
7. Any interest the project lead earns on SRA funds must be used only on approved SRA projects.
8. The project lead must notify CalSTA of any changes to the approved project with a Corrective Action Plan (CAP).
9. Under extraordinary circumstances, a project lead may terminate a project prior to completion. In the event the project lead terminates a project prior to completion, the project lead must (1) contact CalSTA in writing and follow-up with a phone call verifying receipt of such notice; (2) pursuant to verification, submit a final report indicating the reason for the termination and demonstrating the expended funds were used on the intended purpose; (3) submit a request to reassign the funds to a new project within 180 days of termination.
10. Funds must be encumbered and liquidated within the time allowed

**C. Reporting**

1. The project lead must submit the following SRA reports:
  - a. Semi-Annual Progress Reports by August 15th (starting 2018) and February 15th (starting 20
  - b. A Final Report within six months of project completion.

**D. Record Retention**

1. The project lead agrees, and will assure that its contractors and subcontractors shall establish and maintain an accounting system and records that properly accumulate and segregate incurred project costs and matching funds by line item for the project. The accounting system of the project lead, its contractors and all subcontractors shall conform to Generally Accepted Accounting Principles (GAAP), and enable the determination of incurred costs at interim points of completion. All accounting records and other supporting papers of the project lead, its contractors and subcontractors connected with SRA funding shall be maintained for a minimum of three (3) years after the "Project Closeout" report, and shall be held open to inspection, copying, and audit by representatives of the State and the California State Auditor. Copies thereof will be furnished by the project lead, its contractors, and subcontractors upon receipt of any request made by the State or its agents. In conducting an audit of the costs claimed, the State will rely to the maximum extent possible on any prior audit of the project lead pursuant to the provisions of federal and State law. In the absence of such an audit, any acceptable audit work performed by the project lead's external and internal auditors may be relied upon and used by the State when planning and conducting additional audits.
2. For the purpose of determining compliance with Title 21, California Code of Regulations, Section 2500 et seq., when applicable, and other matters connected with the performance of the project lead's contracts with third parties pursuant to Government Code § 8546.7, the project sponsor, its contractors and subcontractors and the State shall each maintain and make available for inspection all books, documents, papers, accounting records, and other evidence pertaining to the performance of such contracts, including, but not limited to, the costs of administering those various contracts. All of the above referenced parties shall make such materials available at their respective offices at all reasonable times during the entire project period and for three (3) years from the date of final payment. The State, the California State Auditor, or any duly authorized representative of the State, shall each have access to any books, records, and documents that are pertinent to a project for audits, examinations, excerpts, and transactions, and the project lead shall furnish copies thereof if requested.
3. The project lead, its contractors and subcontractors will permit access to all records of employment, employment advertisements, employment application forms, and other pertinent data and records by the State Fair Employment Practices and Housing Commission, or any other agency of the State of California designated by the State, for the purpose of any investigation to ascertain compliance with this document.

**E. Special Situations**

CalSTA may perform an audit and/or request detailed project information of the project sponsor's SRA funded projects at CalSTA discretion at any time prior to the completion of the SRA funded project.

I certify all of these conditions will be met.

\_\_\_\_\_  
(Print Authorized Agent)

\_\_\_\_\_  
(Title)

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date)

**RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT AUTHORIZING THE EXECUTION OF THE CERTIFICATION AND ASSURANCES AND AUTHORIZED AGENT FORMS FOR THE LOW CARBON TRANSIT OPERATIONS PROGRAM (LCTOP) FOR THE FOLLOWING PROJECT: SMART RESTART COMMUTER RAIL OPERATIONS FOR \$215,494**

---

**WHEREAS**, the Sonoma-Marín Area Rail Transit District (SMART) is an eligible project sponsor and may receive funding from State Low Carbon Transit Operations Program (LCTOP) funds for transit projects; and

**WHEREAS**, the statutes related to state-funded transit project require implementing agencies to abide by various regulations; and

**WHEREAS**, Senate Bill 862 (2014) named the Department of Transportation (Department) as the administering agency for the LCTOP; and

**WHEREAS**, Department has developed guidelines for the purpose of administering and distributing LCTOP funds to eligible project sponsors (Agencies identified as eligible recipients of these funds); and

**WHEREAS**, SMART wishes to delegate authorization to execute these documents and any amendments thereto to Farhad Mansourian, General Manager, and/or Heather McKillop, Chief Financial Officer; and

**WHEREAS**, SMART wishes to implement the SMART Restart Commuter Rail Operations Project

**NOW, THEREFORE, BE IT RESOLVED THAT THE** Board of Directors of the SMART District hereby

1. Authorizes the submittal of the SMART Restart Commuter Rail Operations Project for project nomination and allocation request to the California Department of Transportation for Fiscal Year 2020-2021 Low Carbon Transit Operations Program funds for \$215,494; and
2. Agrees to comply with all conditions and requirements set for in the Certifications and Assurances and Authorized Agent documents and applicable statutes, regulations and guidelines for all LCTOP funded transit projects; and
3. Designates Farhad Mansourian, General Manager, and Heather McKillop, Chief Financial Officer, to be authorized to execute all required documents of the LCTOP program and any Amendments thereto or other required documents associated

with the LCTOP program with the California Department of Transportation which may be necessary for the completion of the aforementioned project.

**PASSED AND ADOPTED** at a regular meeting of the Board of Directors of the Sonoma-Marín Area Rail Transit District held on the 21<sup>th</sup> day of April, 2021, by the following vote:

**DIRECTORS:**

AYES:

NOES:

ABSENT:

ABSTAIN:

\_\_\_\_\_  
David Rabbitt, Chair, Board of Directors  
Sonoma-Marín Area Rail Transit District

ATTEST:

\_\_\_\_\_  
Leticia Rosas-Mendoza, Clerk of Board of Directors  
Sonoma-Marín Area Rail Transit District



**FY 2020-2021 LCTOP  
Authorized Agent**

**AS THE      Chair, Board of Directors**

(Chief Executive Officer/Director/President/Secretary)

**OF THE      Sonoma-Marin Area Rail Transit District (SMART)**

(Name of County/City/Transit Organization)

I hereby authorize the following individual(s) to execute for and on behalf of the named Regional Entity/Transit Operator, any actions necessary for the purpose of obtaining Low Carbon Transit Operations Program (LCTOP) funds provided by the California Department of Transportation, Division of Rail and Mass Transportation. I understand that if there is a change in the authorized agent, the project sponsor must submit a new form. This form is required even when the authorized agent is the executive authority himself. I understand the Board must provide a resolution approving the Authorized Agent. The Board Resolution appointing the Authorized Agent is attached.

Farhad Mansourian, General Manager

(Name and Title of Authorized Agent)

OR

Heather McKillop, Chief Financial Officer

(Name and Title of Authorized Agent)

OR

Click here to enter text.

(Name and Title of Authorized Agent)

OR

Click here to enter text.

(Name and Title of Authorized Agent)

OR

Click here to enter text.

(Print Name)

Click here to enter text.

(Title)

\_\_\_\_\_  
(Signature)

Approved this      21      day of      April      ,      2021





## FY 2020-2021 LCTOP Certifications and Assurances

**Lead Agency:** Sonoma-Marin Area Rail Transit District (SMART)

**Project Title:** SMART Restart Commuter Rail Operations

**Prepared by:** Joanne Parker

The California Department of Transportation (Caltrans) has adopted the following Certifications and Assurances for the Low Carbon Transit Operations Program (LCTOP). As a condition of the receipt of LCTOP funds, Lead Agency must comply with these terms and conditions.

### **A. General**

1. The Lead Agency agrees to abide by the current LCTOP Guidelines and applicable legal requirements.
2. The Lead Agency must submit to Caltrans a signed Authorized Agent form designating the representative who can submit documents on behalf of the project sponsor and a copy of the board resolution appointing the Authorized Agent.

### **B. Project Administration**

1. The Lead Agency certifies that required environmental documentation is complete before requesting an allocation of LCTOP funds. The Lead Agency assures that projects approved for LCTOP funding comply with Public Resources Code § 21100 and § 21150.
2. The Lead Agency certifies that a dedicated bank account for LCTOP funds only will be established within 30 days of receipt of LCTOP funds.
3. The Lead Agency certifies that when LCTOP funds are used for a transit capital project, that the project will be completed and remain in operation for its useful life.
4. The Lead Agency certifies that it has the legal, financial, and technical capacity to carry out the project, including the safety and security aspects of that project.
5. The Lead Agency certifies that they will notify Caltrans of pending litigation, dispute, or negative audit findings related to the project, before receiving an allocation of funds.
6. The Lead Agency must maintain satisfactory continuing control over the use of project equipment and facilities and will adequately maintain project equipment and facilities for the useful life of the project.
7. Any interest the Lead Agency earns on LCTOP funds must be used only on approved LCTOP projects.
8. The Lead Agency must notify Caltrans of any changes to the approved project with a Corrective Action Plan (CAP).

9. Under extraordinary circumstances, a Lead Agency may terminate a project prior to completion. In the event the Lead Agency terminates a project prior to completion, the Lead Agency must (1) contact Caltrans in writing and follow-up with a phone call verifying receipt of such notice; (2) pursuant to verification, submit a final report indicating the reason for the termination and demonstrating the expended funds were used on the intended purpose; (3) submit a request to reassign the funds to a new project within 180 days of termination.

**C. Reporting**

1. The Lead Agency must submit the following LCTOP reports:
  - a. Semi-Annual Progress Reports by May 15th and November 15th each year.
  - b. A Close Out Report within six months of project completion.
  - c. The annual audit required under the Transportation Development Act (TDA), to verify receipt and appropriate expenditure of LCTOP funds. A copy of the audit report must be submitted to Caltrans within six months of the close of the year (December 31) each year in which LCTOP funds have been received or expended.
  - d. Project Outcome Reporting as defined by CARB Funding Guidelines.
  - e. Jobs Reporting as defined by CARB Funding Guidelines.
2. Other Reporting Requirements: CARB develops and revises Funding Guidelines that will include reporting requirements for all State agencies that receive appropriations from the Greenhouse Gas Reduction Fund. Caltrans and project sponsors will need to submit reporting information in accordance with CARB's Funding Guidelines, including reporting on greenhouse gas reductions and benefits to disadvantaged communities.

**D. Cost Principles**

1. The Lead Agency agrees to comply with Title 2 of the Code of Federal Regulations 225 (2 CFR 225), Cost Principles for State and Local Government, and 2 CFR, Part 200, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.
2. The Lead Agency agrees, and will assure that its contractors and subcontractors will be obligated to agree, that:
  - a. Contract Cost Principles and Procedures, 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31, et seq., shall be used to determine the allow ability of individual project cost items and
  - b. Those parties shall comply with Federal administrative procedures in accordance with 2 CFR, Part 200, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments. Every sub-recipient receiving LCTOP funds as a contractor or sub-contractor shall comply with

Federal administrative procedures in accordance with 2 CFR, Part 200, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

3. Any project cost for which the Lead Agency has received funds that are determined by subsequent audit to be unallowable under 2 CFR 225, 48 CFR, Chapter 1, Part 31 or 2 CFR, Part 200, are subject to repayment by the Lead Agency to the State of California (State). All projects must reduce greenhouse gas emissions, as required under Public Resources Code section 75230, and any project that fails to reduce greenhouse gases shall also have its project costs submit to repayment by the Lead Agency to the State. Should the Lead Agency fail to reimburse moneys due to the State within thirty (30) days of demand, or within such other period as may be agreed in writing between the Parties hereto, the State is authorized to intercept and withhold future payments due the Lead Agency from the State or any third-party source, including but not limited to, the State Treasurer and the State Controller.

#### **A. Record Retention**

1. The Lead Agency agrees and will assure that its contractors and subcontractors shall establish and maintain an accounting system and records that properly accumulate and segregate incurred project costs and matching funds by line item for the project. The accounting system of the Lead Agency, its contractors and all subcontractors shall conform to Generally Accepted Accounting Principles (GAAP) and enable the determination of incurred costs at interim points of completion. All accounting records and other supporting papers of the Lead Agency, its contractors and subcontractors connected with LCTOP funding shall be maintained for a minimum of three (3) years after the "Project Closeout" report or final Phase 2 report is submitted (per ARB Funding Guidelines, Vol. 3, page 3.A-16), and shall be held open to inspection, copying, and audit by representatives of the State and the California State Auditor. Copies thereof will be furnished by the Lead Agency, its contractors, and subcontractors upon receipt of any request made by the State or its agents. In conducting an audit of the costs claimed, the State will rely to the maximum extent possible on any prior audit of the Lead Agency pursuant to the provisions of federal and State law. In the absence of such an audit, any acceptable audit work performed by the Lead Agency's external and internal auditors may be relied upon and used by the State when planning and conducting additional audits.
2. For the purpose of determining compliance with Title 21, California Code of Regulations, Section 2500 et seq., when applicable, and other matters connected with the performance of the Lead Agency's contracts with third parties pursuant to Government Code § 8546.7, the project sponsor, its contractors and subcontractors and the State shall each maintain and make available for inspection all books, documents, papers, accounting records, and other evidence pertaining to the performance of such contracts, including, but not limited to, the costs of administering those various contracts. All of the above referenced parties shall make such materials available at their respective offices at all reasonable times



## FY 2020-2021 LCTOP

during the entire project period and for three (3) years from the date of final payment. The State, the California State Auditor, or any duly authorized representative of the State, shall each have access to any books, records, and documents that are pertinent to a project for audits, examinations, excerpts, and transactions, and the Lead Agency shall furnish copies thereof if requested.

3. The Lead Agency, its contractors and subcontractors will permit access to all records of employment, employment advertisements, employment application forms, and other pertinent data and records by the State Fair Employment Practices and Housing Commission, or any other agency of the State of California designated by the State, for the purpose of any investigation to ascertain compliance with this document.

### F. Special Situations

Caltrans may perform an audit and/or request detailed project information of the project sponsor's LCTOP funded projects at Caltrans' discretion at any time prior to the completion of the LCTOP.

I certify all of these conditions will be met.

---

(Print Authorized Agent)

---

(Title)

---

(Signature)

---

(Date)

**RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT AUTHORIZING THE SUBMITTAL OF APPLICATIONS, SUPPORTING DOCUMENTS AND EXECUTION OF FUNDING AGREEMENTS FOR FISCAL YEAR 2021-2022 STATE TRANSIT ASSISTANCE STATE OF GOOD REPAIR FUNDS FOR THE SMART CAPITAL SPARE PARTS PROJECT**

---

**WHEREAS**, the Sonoma-Marín Area Rail Transit District (SMART) is an eligible project sponsor and may receive State Transit Assistance funding from State of Good Repair Account (SGR) now or sometime in the future for transit projects; and

**WHEREAS**, the statutes related to state-funded transit projects require a local or regional implementing agency to abide by various regulations; and

**WHEREAS**, the State Controller's Office has released the Fiscal Year 2022 SGR apportionments and SMART is estimated to receive \$309,308 in SGR funds; and

**WHEREAS**, SMART's Capital Spare Parts Project is an eligible project per the SGR program guidelines; and

**WHEREAS**, Senate Bill 1 (2017) named the Department of Transportation (Department) as the administering agency for the SGR; and

**WHEREAS**, the Department has designated the Metropolitan Transportation Commission (MTC) as the regional entity responsible for coordinating the administration of all SGR projects and distribution of SGR funds to eligible project sponsors (local agencies) within the nine county Bay Area; and

**WHEREAS**, SMART wishes to delegate the submittal of applications, necessary supporting documents and any amendments thereto to SMART's General Manager or his designee,

**NOW, THEREFORE, BE IT RESOLVED THAT THE** Board of Directors of the SMART District hereby designates SMART's General Manager, Farhad Mansourian, or SMART's Chief Financial Officer, Heather McKillop, be authorized to execute all required documents of the SGR program and any amendments thereto with the Metropolitan Transportation Commission and State of California.

**PASSED AND ADOPTED** at a regular meeting of the Board of Directors of the Sonoma-Marín Area Rail Transit District held on the 21<sup>th</sup> day of April, 2021, by the following vote:

**DIRECTORS:**

AYES:

NOES:

ABSENT:

ABSTAIN:

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David Rabbitt, Chair, Board of Directors  
Sonoma-Marín Area Rail Transit District

ATTEST:

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Leticia Rosas-Mendoza, Clerk of Board of Directors  
Sonoma-Marín Area Rail Transit District

**Division of Rail and Mass Transportation****State Transit Assistance State of Good Repair Program****Authorized Agent Form**

## Authorized Agent

The following individual(s) are hereby authorized to execute for and on behalf of the named Regional Entity/Transit Operator, and to take any actions necessary for the purpose of obtaining State Transit Assistance State of Good Repair funds provided by the California Department of Transportation, Division of Rail and Mass Transportation. This form is valid at the beginning of Fiscal Year 2021-2022 until the end of the State of Good Repair Program. If there is a change in the authorized agent, the project sponsor must submit a new form. This form is required even when the authorized agent is the executive authority himself.

Farhad Mansourian, General Manager OR  
(Name and Title of Authorized Agent)

Heather McKillop, Chief Financial Officer OR  
(Name and Title of Authorized Agent)

\_\_\_\_\_  
(Name and Title of Authorized Agent)

AS THE Chair, Board of Directors  
(Chief Executive Officer / Director / President / Secretary)

OF THE Sonoma-Marín Area Rail Transit District  
(Name of County/City Organization)

David Rabbitt  
(Print Name)

Chair, Board of Directors  
(Title)

\_\_\_\_\_  
(Signature)

*Approved this 21 day of April, 2021*

*Only needed if there is a change in the Authorized Agent(s).*

## **State Transit Assistance State of Good Repair Program**

### **Recipient Certifications and Assurances**

**Recipient:** *Sonoma-Marín Area Rail Transit District (SMART)*

**Effective Date:** *April 21, 2021*.

In order to receive State of Good Repair Program (SGR) funds from the California Department of Transportation (Department), recipients must agree to following terms and conditions:

#### **A. General**

- (1) The recipient agrees to abide by the State of Good Repair Guidelines as may be updated from time to time.
- (2) The potential recipient must submit to the Department a State of Good Repair Program Project List annually, listing all projects proposed to be funded by the SGR program. The project list should include the estimated SGR share assigned to each project along with the total estimated cost of each project..
- (3) The recipient must submit a signed Authorized Agent form designating the representative who can submit documents on behalf of the recipient and a copy of the board resolution authorizing the agent.

#### **B. Project Administration**

- (1) The recipient certifies that required environmental documentation will be completed prior to expending SGR funds. The recipient assures that each project approved for SGR funding comply with Public Resources Code § 21100 and § 21150.
- (2) The recipient certifies that SGR funds will be used for transit purposes and SGR funded projects will be completed and remain in operation for the estimated useful lives of the assets or improvements.
- (3) The recipient certifies that it has the legal, financial, and technical capacity to deliver the projects, including the safety and security aspects of each project.



- (4) The recipient certifies that there is no pending litigation, dispute, or negative audit findings related to any SGR project at the time an SGR project is submitted in the annual list.
- (5) Recipient agrees to notify the Department immediately if litigation is filed or disputes arise after submission of the annual project list and to notify the Department of any negative audit findings related to any project using SGR funds.
- (6) The recipient must maintain satisfactory continuing control over the use of project equipment and/or facilities and will adequately maintain project equipment and/or facilities for the estimated useful life of each project.
- (7) Any and all interest the recipient earns on SGR funds must be reported to the Department and may only be used on approved SGR projects or returned to the Department.
- (8) The recipient must notify the Department of any proposed changes to an approved project list by submitting an amended project list.
- (9) Funds will be expended in a timely manner.

### **C. Reporting**

- (1) Per Public Utilities Code § 99312.1 (e) and (f), the recipient must submit the following SGR reports:
  - a. Annual Expenditure Reports within six months of the close of the fiscal year (by December 31<sup>st</sup>) of each year.
  - b. The annual audit required under the Transportation Development Act (TDA), to verify receipt and appropriate expenditure of SGR funds. A copy of the audit report must be submitted to the Department within six months of the close of each fiscal year in which SGR funds have been received or expended.

### **D. Cost Principles**

- (1) The recipient agrees to comply with Title 2 of the Code of Federal Regulations Part 200, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.
- (2) The recipient agrees, and will assure that its contractors and subcontractors will be obligated to agree, that (a) Contract Cost Principles and Procedures, 48 CFR, Federal Acquisition Regulations System, Chapter 1, Part 31, et seq., shall be used to determine the allowability of individual project cost items and (b) those parties shall

comply with Federal administrative procedures in accordance with 2 CFR, Part 200, Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments.

- (3) Any project cost for which the recipient has received payment that are determined by subsequent audit to be unallowable under 2 CFR, Part 200, are subject to repayment by the recipient to the State of California (State). Should the recipient fail to reimburse moneys due to the State within thirty (30) days of demand, or within such other period as may be agreed in writing between the Parties hereto, the State is authorized to intercept and withhold future payments due the recipient from the State or any third-party source, including but not limited to, the State Treasurer and the State Controller.

#### **E. Record Retention**

- (1) The recipient agrees, and will assure that its contractors and subcontractors shall establish and maintain an accounting system and records that properly accumulate and segregate incurred project costs and matching funds by line item for the project. The accounting system of the recipient, its contractors and all subcontractors shall conform to Generally Accepted Accounting Principles (GAAP), enable the determination of incurred costs at interim points of completion, and provide support for reimbursement payment vouchers or invoices. All accounting records and other supporting papers of the recipient, its contractors and subcontractors connected with SGR funding shall be maintained for a minimum of three (3) years from the date of final payment and shall be held open to inspection, copying, and audit by representatives of the State and the California State Auditor. Copies thereof will be furnished by the recipient, its contractors, and subcontractors upon receipt of any request made by the State or its agents. In conducting an audit of the costs claimed, the State will rely to the maximum extent possible on any prior audit of the recipient pursuant to the provisions of federal and State law. In the absence of such an audit, any acceptable audit work performed by the recipient's external and internal auditors may be relied upon and used by the State when planning and conducting additional audits.
- (2) For the purpose of determining compliance with Title 21, California Code of Regulations, Section 2500 et seq., when applicable, and other matters connected with the performance of the recipient's contracts with third parties pursuant to Government Code § 8546.7, the recipient, its contractors and subcontractors and the Department shall each maintain and make available for inspection all books, documents, papers, accounting records, and other evidence pertaining to the performance of such contracts, including, but not limited to, the costs of administering those various contracts. All of the above referenced parties shall make such materials available at their respective offices at all reasonable times during the entire project period and for three (3) years from the date of final payment. The State, the California State Auditor, or any duly authorized representative of the State, shall each have access to any books, records, and documents that are pertinent to a

project for audits, examinations, excerpts, and transactions, and the recipient shall furnish copies thereof if requested.

- (3) The recipient, its contractors and subcontractors will permit access to all records of employment, employment advertisements, employment application forms, and other pertinent data and records by the State Fair Employment Practices and Housing Commission, or any other agency of the State of California designated by the State, for the purpose of any investigation to ascertain compliance with this document.

#### **F. Special Situations**

- (1) Recipient acknowledges that if a project list is not submitted timely, the recipient forfeits its apportionment for that fiscal year.
- (2) Recipients with delinquent expenditure reports may risk future eligibility for future SGR funding.
- (3) Recipient acknowledges that the Department shall have the right to perform an audit and/or request detailed project information of the recipient's SGR funded projects at the Department's discretion from SGR award through 3 years after the completion and final billing of any SGR funded project.. Recipient agrees to provide any requested project information.

I certify all of these conditions will be met.

**SONOMA-MARIN AREA RAIL TRANSIT DISTRICT**

**BY:** \_\_\_\_\_



April 21, 2021

**David Rabbitt, Chair**  
Sonoma County Board of Supervisors

**Barbara Pahre, Vice Chair**  
Golden Gate Bridge,  
Highway/Transportation District

**Judy Arnold**  
Marin County Board of Supervisors

**Melanie Bagby**  
Sonoma County Mayors' and  
Councilmembers Association

**Kate Colin**  
Transportation Authority of Marin

**Damon Connolly**  
Marin County Board of Supervisors

**Debora Fudge**  
Sonoma County Mayors' and  
Councilmembers Association

**Patty Garbarino**  
Golden Gate Bridge,  
Highway/Transportation District

**Susan Gorin**  
Sonoma County Board of Supervisors

**Dan Hillmer**  
Marin County Council of Mayors and  
Councilmembers

**Eric Lucan**  
Transportation Authority of Marin

**Chris Rogers**  
Sonoma County Mayors' and  
Councilmembers Association

**Farhad Mansourian**  
General Manager

5401 Old Redwood Highway  
Suite 200  
Petaluma, CA 94954  
Phone: 707-794-3330  
Fax: 707-794-3037  
[www.sonomamarintrain.org](http://www.sonomamarintrain.org)

Sonoma-Marin Area Rail Transit Board of Directors  
5401 Old Redwood Highway, Suite 200  
Petaluma, CA 94954

**SUBJECT:** Performance Measures – Part II

Dear Board Members:

**RECOMMENDATION:** Information Item- **Discussion**

**SUMMARY:**

As we discussed at the April 7, 2021 Board meeting, SMART has now been operating a commuter rail line for just over three (3) years. We have been gathering data during our start up regarding our operations. We now have sufficient data to develop performance metrics so we can assess how we are doing.

Over the last six months, we have been working with Transportation Analytics, a transportation consultant, to help determine what are the best measures for SMART to address whether we are doing a good job, how to decide where we spend our limited resources, what information is needed for decision making, and how do we evaluate our progress over time.

Based on that work, we are recommending the following seven (7) measures.

1. Operating Expense per Vehicle Revenue Mile
2. Operating Expense per Passenger Mile
3. Passenger Trips per Vehicle Revenue Mile
4. Average Fare per Passenger
5. Pathway Usage
6. On-Time Performance
7. Customer Satisfaction

Measures 1-4 we currently report as part of our annual submittal to FTA's National Transit Database (NTD). Measures 5-7 will require some additional data collection for us to be able to provide information to the Board and public and we are recommending that we begin advancing that work with our new budget year.

In addition, we recognize that SMART provides many other types of community benefits that we could measure and report on such as climate benefits, economic development, mobility and mode choice, access to opportunities, and public health. These community benefits will take more work to quantify, track, and analyze since, SMART does not necessarily have direct control or influence in these areas and must work with agency partners, jurisdictions, and stakeholders to develop data and methods of analysis.

Our next steps will be to incorporate your feedback on our recommendations, include any data collection needs into the FY 21-22 budget, implement, and return with additional recommended metrics during the FY 22-23 budget cycle.

Very truly yours,

/s/  
Heather McKillop  
Chief Financial Officer

Attachment(s): Power Point Presentation



# SMART BOARD OF DIRECTORS

## PERFORMANCE MEASURES: PART 2

SELECTING METRICS TO GUIDE DECISION-MAKING - APRIL 21, 2021



# Agenda

- Present SMART data and recommended metrics from National Transit Database
- Present additional recommended metrics for near-term implementation
- Discuss next steps

# Where are we in this process?

- Recall from last time:
  - We have enough data to start analyzing trends; now we need to decide where to focus attention & resources
  - We want to move from reporting data to measuring performance



# EXAMPLE: Ridership Data

## Downloadable Excel File



### Ridership Counts

Paid Fare Media may not capture:

- Clipper Card users that don't tag on & off at the platforms
- Promotional Free Programs
- Free service days
- Riders under the age of 5
- Mobile app users who don't "activate" their ticket

*Preliminary data subject to revision*

Date	Day of the Week	FARE MEDIA		Onboard Count	Bicycles	Wheelchair
		Clipper Tags	Fare App Activations			
06/29/17	Thursday	-	-	3,000	-	-
07/01/17	Saturday	-	-	1,380	-	-
07/04/17	Tuesday	-	-	1,365	-	-
07/07/17	Friday	-	-	1,151	-	-
07/08/17	Saturday	-	-	2,885	-	-
07/09/17	Sunday	-	-	3,077	-	-
07/11/17	Tuesday	-	-	713	-	-
07/13/17	Thursday	-	-	3,524	-	-
07/15/17	Saturday	-	-	3,269	-	-
07/16/17	Sunday	-	-	3,035	-	-
07/18/17	Tuesday	-	-	678	-	-
07/19/17	Wednesday	-	-	4,018	-	-
07/20/17	Thursday	-	-	1,103	-	-
07/22/17	Saturday	-	-	3,735	-	-
07/23/18	Sunday	-	-	4,278	-	-
08/25/17	Friday	-	-	2,561	-	-
08/26/17	Saturday	1,358	308	1,932	-	-
08/27/17	Sunday	1,549	415	2,021	-	-
08/28/17	Monday	1,501	212	2,539	-	-
08/29/17	Tuesday	1,793	238	2,627	49	0
08/30/17	Wednesday	1,934	280	2,733	220	23
08/31/17	Thursday	1,990	286	2,860	259	3

## General Manager's Monthly Report

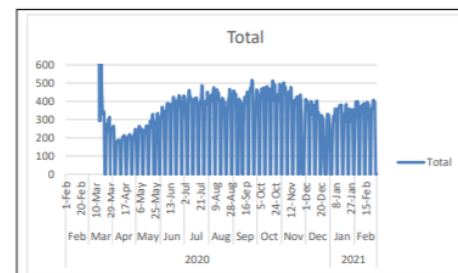
### RIDERSHIP INFORMATION

Passenger Ridership	
Daily Riders	Sum of Ridership
2020	175985
2021	14100
Jan	6728
Feb	7372
1-Feb	302
2-Feb	398
3-Feb	391
4-Feb	400
5-Feb	394
6-Feb	0
7-Feb	0
8-Feb	311
9-Feb	372
10-Feb	379
11-Feb	338
12-Feb	389
13-Feb	0
14-Feb	0
15-Feb	272
16-Feb	397
17-Feb	392
18-Feb	382
19-Feb	337
20-Feb	0
21-Feb	0
22-Feb	350
23-Feb	365
24-Feb	407
25-Feb	403
26-Feb	393
27-Feb	0
28-Feb	0
Grand Total	190085

Bike Ridership	
Weekly Riders	Sum of Bike Ridership (Weekly)
2020	27129
2021	2849
Jan	1366
Feb	1483
1-Feb	385
8-Feb	341
15-Feb	343
22-Feb	414
Grand Total	29978

ADA Ridership	
Weekly Riders	Sum of ADA Ridership Weekly
2020	679
2021	18
Jan	10
Feb	8
1-Feb	1
8-Feb	3
15-Feb	3
22-Feb	1
Grand Total	697



# EXAMPLE: Ridership Data Analysis

## DECEMBER 2020 (COVID 19) SMART RIDERSHIP

SMART Ridership Report  
Board of Directors,  
January 20, 2021

December 2020 saw COVID-19 related public health orders to Stay at Home reinstated across counties in the Bay Area, reversing the earlier lifting of restrictions. Though Sonoma County had never left the most restricted tier (Purple) in 2020, Marin County had moved into less restricted tiers in Fall 2020 allowing, for example, indoor dining and schools to reopen. With those openings, SMART, along with other Bay Area Transit Agencies, had seen slight increases in ridership compared to the early months of the pandemic (April & May). Compared to November 2020, average weekday ridership decreased by 26% with the reissuing of Stay at Home Orders for Sonoma and Marin Counties in the second week of December 2020.

SMART modified services in March 2020 due to the pandemic, with weekend service annulled starting March 21/22 and weekday service reduced first by 4 trips (down to 34) on March 23<sup>rd</sup>, then by another 18 trips, (down to 16), on April 6.

SMART's December 2020 ridership was down 87% overall compared to December 2019. Total ridership year-to-date is down 86%. Fare payments in December through the Clipper and SMART App systems were also down 86% from the previous year. The total number of bicycles is down 73%. However, the percentage of riders bringing bicycles onboard grew from 8% in December 2019 to 23% in December 2020.

MONTHLY TOTALS YEAR-OVER-YEAR	Dec 2019	Dec 2020	% Change
Total Ridership (Onboard Counts)	58,199	7,414	-87%
Total Paid Ridership (Clipper + App Only)	49,907	6,983	-86%
Average Weekday Ridership (Onboard Counts)	2,391	337	-86%
Average Weekday Paid Ridership (Clipper + App Only)	2,090	317	-85%
Average Weekend/Holiday Ridership (Onboard Counts)	814	0	-100%
Average Weekend/Holiday Paid Ridership (Clipper + App Only)	666	0	-100%
Total Bikes Onboard	4,754	1,690	-64%
Total Wheelchairs Onboard	246	23	-91%

FISCAL YEAR-TO-DATE (JUL - DEC)	Fiscal Year 2020	Fiscal Year 2021	% Change*
Total Ridership (Onboard Counts)	371,564	52,450	-86%
Total Paid Ridership (Clipper + App Only)	294,744	48,886	-83%
Average Weekday Ridership (Onboard Counts)	2,565	410	-84%
Average Weekday Paid Ridership (Clipper + App Only)	2,094	381	-82%
Average Weekend/Holiday Ridership (Onboard Counts)	940	0	-100%
Average Weekend/Holiday Paid Ridership (Clipper + App Only)	629	0	-100%
Total Bikes Onboard	41,767	11,112	-73%
Total Wheelchairs Onboard	1,379	184	-87%

\*NOTES: COVID-19 Stay at Home Orders issued third week of March 2020. SMART annulled services starting March 21. SMART experienced similar ridership reductions to other transit systems in the Bay Area and Nationally. Free fare days and free fare programs offered in Fiscal Year 2020 also contributed to lower Clipper + App numbers. Stay at Home Orders were re-issued in December 2020 and extended in January 2021.

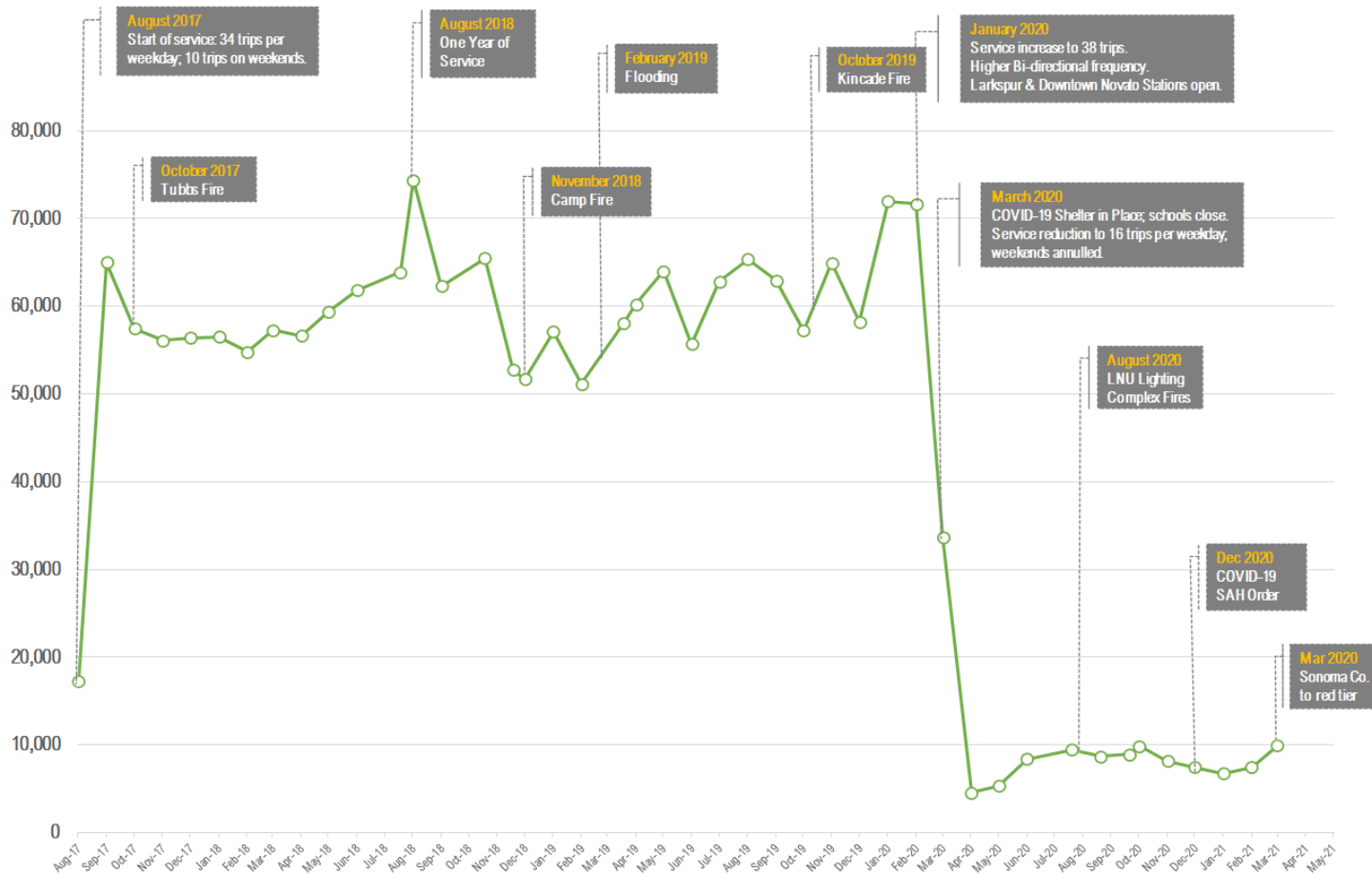
- Monthly Board report includes calculations relative to prior periods and narrative summary of notable trends and developments

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# EXAMPLE: Ridership Data Enhanced Presentation

SMART Ridership



# Performance Metrics from the National Transit Database (NTD)

# SMART NTD AGENCY PROFILE: FY2018-19

<http://www.sonomamarintrain.org>  
5401 Old Redwood Highway  
Suite 200  
Petaluma, CA 94954

## Sonoma-Marín Area Rail Transit District 2019 Annual Agency Profile

Programming and Grants Manager: Ms. Joanne Parker  
707-794-3062

### General Information

#### Urbanized Area Statistics - 2010 Census

Santa Rosa, CA 98 Square Miles  
308,231 Population  
123 Pop. Rank out of 498 UZAs

#### Other UZAs Served

13 San Francisco-Oakland, CA, 0 California Non-UZA, 428 Petaluma, CA

#### Service Area Statistics

2,596 Square Miles  
763,651 Population

#### Service Consumption

18,371,183 Annual Passenger Miles (PMT)  
716,847 Annual Unlinked Trips (UPT)  
2,420 Average Weekday Unlinked Trips  
1,043 Average Saturday Unlinked Trips  
877 Average Sunday Unlinked Trips

#### Service Supplied

923,002 Annual Vehicle Revenue Miles (VRM)  
32,890 Annual Vehicle Revenue Hours (VRH)  
11 Vehicles Operated in Maximum Service (VOMS)  
14 Vehicles Available for Maximum Service (VAMS)

#### Database Information

NTDID: 90299  
Reporter Type: Full Reporter

### Financial Information

#### Sources of Operating Funds Expended

Source	Amount	Percentage
Fares and Directly Generated	\$10,065,590	29.6%
Local Funds	\$18,958,445	55.7%
State Funds	\$5,000,758	14.7%
Federal Assistance	\$0	0.0%

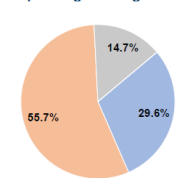
**Total Operating Funds Expended** **\$34,024,793** 100.0%

#### Sources of Capital Funds Expended

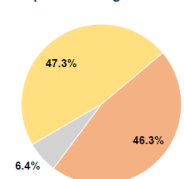
Source	Amount	Percentage
Fares and Directly Generated	\$0	0.0%
Local Funds	\$20,841,363	46.3%
State Funds	\$2,883,978	6.4%
Federal Assistance	\$21,270,383	47.3%

**Total Capital Funds Expended** **\$44,995,724** 100.0%

#### Operating Funding Sources



#### Capital Funding Sources



#### Summary of Operating Expenses (OE)

Category	Amount	Percentage
Labor	\$17,779,961	64.7%
Materials and Supplies	\$3,660,576	13.3%
Purchased Transportation	\$0	0.0%
Other Operating Expenses	\$6,049,653	22.0%
<b>Total Operating Expenses</b>	<b>\$27,490,190</b>	<b>100.0%</b>
Reconciling OE Cash Expenditures	\$6,534,603	
Purchased Transportation (Reported Separately)	\$0	

### Modal Characteristics

#### Modal Overview

Mode	Directly	Purchased	Revenue	Systems	Facilities and	Other	Total
	Operated	Transportation	Vehicles	Guideways	Stations		
Commuter Rail	11	-	\$5,690,630	\$31,000,342	\$7,278,518	\$1,026,234	\$44,995,724
Total	11	-	\$5,690,630	\$31,000,342	\$7,278,518	\$1,026,234	\$44,995,724

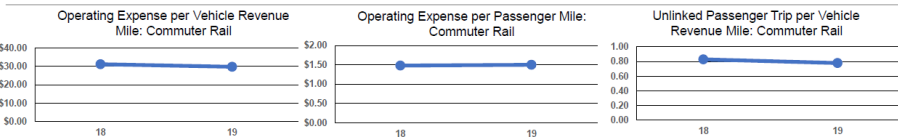
#### Operation Characteristics

Mode	Operating Expenses	Fare Revenues	Uses of Capital Funds	Annual Passenger Miles	Annual Unlinked Trips	Annual Vehicle Revenue Miles	Annual Vehicle Revenue Hours
Commuter Rail	\$27,490,190	\$4,094,540	\$44,995,724	18,371,183	716,847	923,002	32,890
<b>Total</b>	<b>\$27,490,190</b>	<b>\$4,094,540</b>	<b>\$44,995,724</b>	<b>18,371,183</b>	<b>716,847</b>	<b>923,002</b>	<b>32,890</b>

Fixed Guideway Directional Route Miles	Vehicles Available for Maximum Service	Vehicles Operated in Maximum Service	Percent Spare Vehicles	Average Fleet Age in Years*
85.8	14	11	21.4%	6.0
85.8	14	11	21.4%	

#### Performance Measures

Mode	Service Efficiency		Mode	Service Effectiveness	
	Operating Expenses per Vehicle Revenue Mile	Operating Expenses per Vehicle Revenue Hour		Operating Expenses per Unlinked Passenger Trip	Unlinked Trips per Vehicle Revenue Mile
Commuter Rail	\$29.78	\$835.82	Commuter Rail	\$38.35	0.8
<b>Total</b>	<b>\$29.78</b>	<b>\$835.82</b>	<b>Total</b>	<b>\$38.35</b>	<b>0.8</b>



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# Common Transit Industry Performance Metrics in NTD

## Data Items

- Service Supplied
  - **Vehicle Revenue Miles**
  - Vehicle Revenue Hours
- Service Consumed
  - **Passenger Miles**
  - **Passenger Trips**
- Financial Inputs
  - **Operating Expense**
  - **Fare Revenue**

## Derived Metrics

- ① **Operating Expense per Vehicle Revenue Mile**
- ② Operating Expense per Vehicle Revenue Hour
- ③ **Operating Expense per Passenger Mile**
- ④ Operating Expense per Passenger Trip
- ⑤ **Passenger Trips per Vehicle Revenue Mile**
- ⑥ Passenger Trips per Vehicle Revenue Hour
- ⑦ **Average Fare**
- ⑧ Farebox Recovery Ratio
- ⑨ Average Trip Length

**Bold green text** indicates key data & recommended metrics

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# Why These Metrics?

- Operating Expense per Vehicle Revenue Mile
  - Measures cost-efficiency: How are SMART's financial resources being used to produce transit service being supplied?
- Operating Expense per Passenger Mile
  - Measures cost-effectiveness: How much does it cost to move people along SMART's 45-mile corridor?
- Passenger Trips per Vehicle Revenue Mile
  - Measures service-efficiency: How are SMART passengers utilizing the transit service being supplied?
- Average Fare per Passenger
  - Measures cost-effectiveness: How much does the average person pay to ride SMART?

# SMART NTD AGENCY PROFILE: FY2018-19

<http://www.sonomamartintrain.org>  
5401 Old Redwood Highway  
Suite 200  
Petaluma, CA 94954

## Sonoma-Marín Area Rail Transit District 2019 Annual Agency Profile

Programming and Grants Manager: Ms. Joanne Parker  
707-794-3062

### General Information

#### Urbanized Area Statistics - 2010 Census

Santa Rosa, CA 98 Square Miles  
308,231 Population  
123 Pop. Rank out of 498 UZAs

#### Other UZAs Served

13 San Francisco-Oakland, CA, 0 California Non-UZA, 428 Petaluma, CA

#### Service Area Statistics

2,596 Square Miles  
763,651 Population

#### Service Consumption

18,371,183 Annual Passenger Miles (PMT)  
716,847 Annual Unlinked Trips (UPT)  
2,420 Average Weekday Unlinked Trips  
1,043 Average Saturday Unlinked Trips  
877 Average Sunday Unlinked Trips

#### Service Supplied

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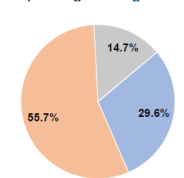
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#### Sources of Capital Funds Expended

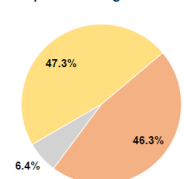
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#### Operating Funding Sources



#### Capital Funding Sources



#### Summary of Operating Expenses (OE)

Category	Amount	Percentage
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### Modal Characteristics

#### Modal Overview

Mode	Directly	Purchased	Revenue	Systems	Facilities and	Other	Total
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Total	11	-	\$5,690,630	\$31,000,342	\$7,278,518	\$1,026,234	\$44,995,724

#### Operation Characteristics

Mode	Operating Expenses	Fare Revenues
Commuter Rail	\$27,490,190	\$4,094,540
<b>Total</b>	<b>\$27,490,190</b>	<b>\$4,094,540</b>

#### Uses of

Capital Funds
\$44,995,724
<b>\$44,995,724</b>

Annual Passenger Miles	Annual Unlinked Trips	Annual Vehicle Revenue Miles
18,371,183	716,847	923,002
<b>18,371,183</b>	<b>716,847</b>	<b>923,002</b>

Annual Vehicle Revenue Hours
32,890
<b>32,890</b>

Fixed Guideway Directional Route Miles
85.8
<b>85.8</b>

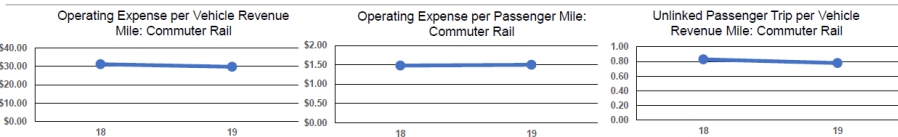
Vehicles Available for Maximum Service
14
<b>14</b>

Vehicles Operated in Maximum Service
11
<b>11</b>

Percent Spare Vehicles	Average Fleet Age in Years*
21.4%	6.0
<b>21.4%</b>	<b>6.0</b>

### Performance Measures

Mode	Service Efficiency		Mode	Service Effectiveness	
	Operating Expenses per Vehicle Revenue Mile	Operating Expenses per Vehicle Revenue Hour		Operating Expenses per Unlinked Passenger Trip	Unlinked Trips per Vehicle Revenue Mile
Commuter Rail	\$29.78	\$835.82	Commuter Rail	\$38.35	0.8
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# SMART NTD AGENCY PROFILE: FY2018-19

## Operation Characteristics

Mode	Operating Expenses	Fare Revenues
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<b>Total</b>	<b>\$27,490,190</b>	<b>\$4,094,540</b>

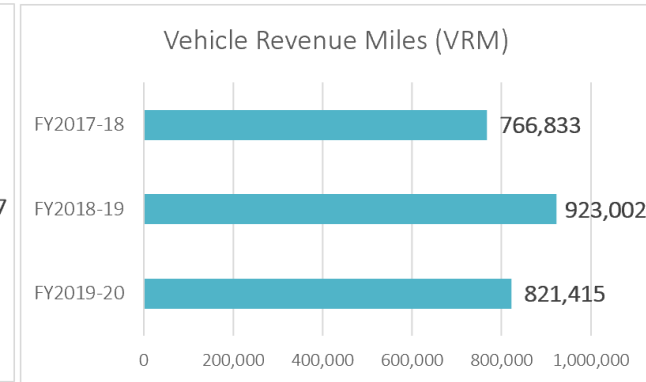
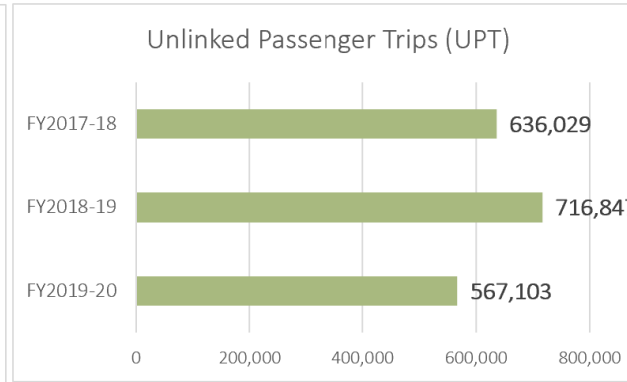
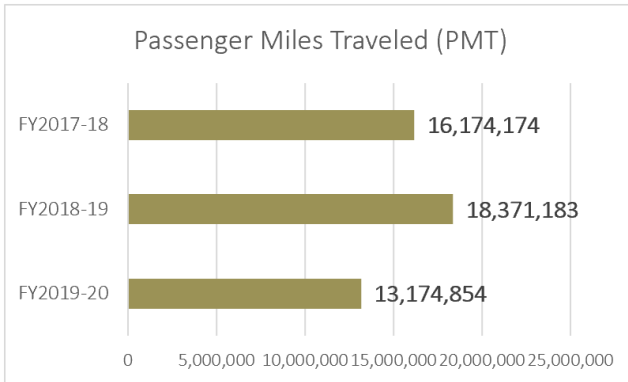
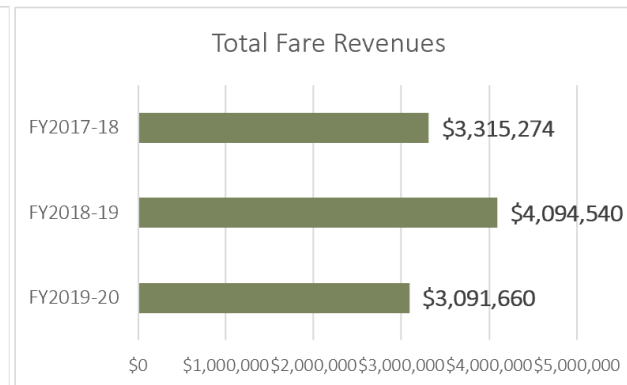
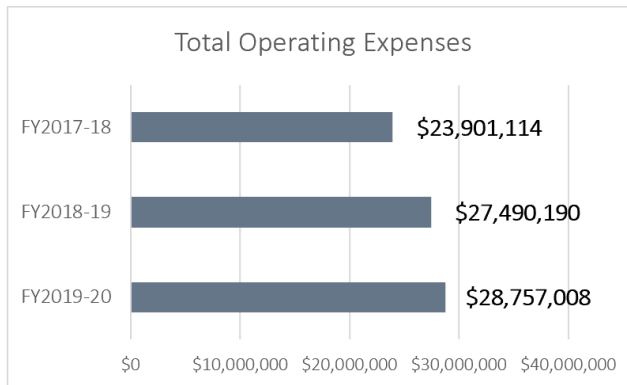
Annual Passenger Miles	Annual Unlinked Trips	Annual Vehicle Revenue Miles
18,371,183	716,847	923,002
<b>18,371,183</b>	<b>716,847</b>	<b>923,002</b>

**Passenger Miles** are the sum of the distances ridden by all passengers in a fiscal year.

**Unlinked Trips** are the total amount of riders/ number of boardings per fiscal year

**Vehicle Revenue Miles** is the total number of miles that the train traveled while in revenue service

# SMART ANNUAL RESULTS: Data Trends



**NOTES:** (1) FY2017-18 is for ~10 months of operations. (2) FY2019-20 values are pending final approval from FTA and formal publication.

# SMART NTD AGENCY PROFILE: FY2018-19

<http://www.sonomamarintrain.org>  
5401 Old Redwood Highway  
Suite 200  
Petaluma, CA 94954

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32,890 Annual Vehicle Revenue Hours (VRH)  
11 Vehicles Operated in Maximum Service (VOMS)  
14 Vehicles Available for Maximum Service (VAMS)

### Modal Characteristics

#### Modal Overview

Mode	Vehicles Operated in Maximum Service		Uses of Capital Funds				Total
	Directly Operated	Purchased Transportation	Revenue Vehicles	Systems and Guideways	Facilities and Stations	Other	
Commuter Rail	11	-	\$5,690,630	\$31,000,342	\$7,278,518	\$1,026,234	\$44,995,724
Total	11	-	\$5,690,630	\$31,000,342	\$7,278,518	\$1,026,234	\$44,995,724

#### Operation Characteristics

Mode	Operating Expenses	Fare Revenues	Uses of Capital Funds	Annual Passenger Miles	Annual Unlinked Trips	Annual Vehicle Revenue Miles	Annual Vehicle Revenue Hours	Fixed Guideway Directional Route Miles	Vehicles Available for Maximum Service	Vehicles Operated in Maximum Service	Percent Spare Vehicles	Average Fleet Age in Years*
Commuter Rail	\$27,490,190	\$4,094,540	\$44,995,724	18,371,183	716,847	923,002	32,890	85.8	14	11	21.4%	6.0
<b>Total</b>	<b>\$27,490,190</b>	<b>\$4,094,540</b>	<b>\$44,995,724</b>	<b>18,371,183</b>	<b>716,847</b>	<b>923,002</b>	<b>32,890</b>	<b>85.8</b>	<b>14</b>	<b>11</b>	<b>21.4%</b>	<b>6.0</b>

#### Performance Measures

Mode	Operating Expenses per Vehicle Revenue Mile
Commuter Rail	\$29.78
<b>Total</b>	<b>\$29.78</b>

#### Service Efficiency

Mode	Operating Expenses per Vehicle Revenue Hour
Commuter Rail	\$835.82
<b>Total</b>	<b>\$835.82</b>

#### Service Effectiveness

Mode	Operating Expenses per Passenger Mile
Commuter Rail	\$1.50
<b>Total</b>	<b>\$1.50</b>

#### Service Effectiveness

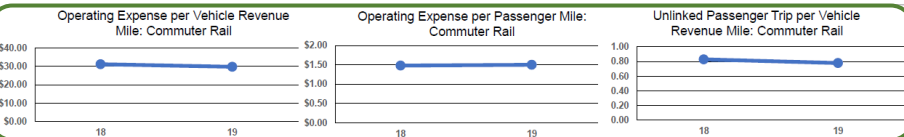
Mode	Operating Expenses per Unlinked Passenger Trip
Commuter Rail	\$38.35
<b>Total</b>	<b>\$38.35</b>

#### Service Effectiveness

Mode	Unlinked Trips per Vehicle Revenue Mile
Commuter Rail	0.8
<b>Total</b>	<b>0.8</b>

#### Service Effectiveness

Mode	Unlinked Trips per Vehicle Revenue Hour
Commuter Rail	21.8
<b>Total</b>	<b>21.8</b>



### Financial Information

#### Sources of Operating Funds Expended

Fares and Directly Generated	\$10,065,590	29.6%
Local Funds	\$18,958,445	55.7%
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Federal Assistance	\$0	0.0%

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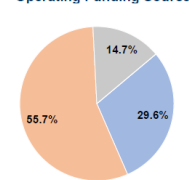
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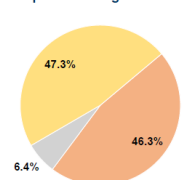
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Reconciling OE Cash Expenditures	\$6,534,603	
Purchased Transportation (Reported Separately)	\$0	

#### Operating Funding Sources



#### Capital Funding Sources



# SMART NTD AGENCY PROFILE: FY2018-19

## Performance Measures

### Mode

Commuter Rail

Total

Operating Expenses per  
Vehicle Revenue Mile

\$29.78

\$29.78

### Mode

Commuter Rail

Total

Operating Expenses per  
Passenger Mile

\$1.50

\$1.50

Unlinked Trips per  
Vehicle Revenue Mile

0.8

0.8

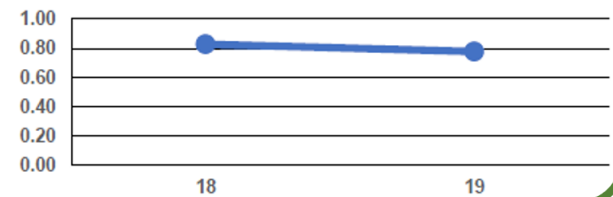
Operating Expense per Vehicle Revenue  
Mile: Commuter Rail



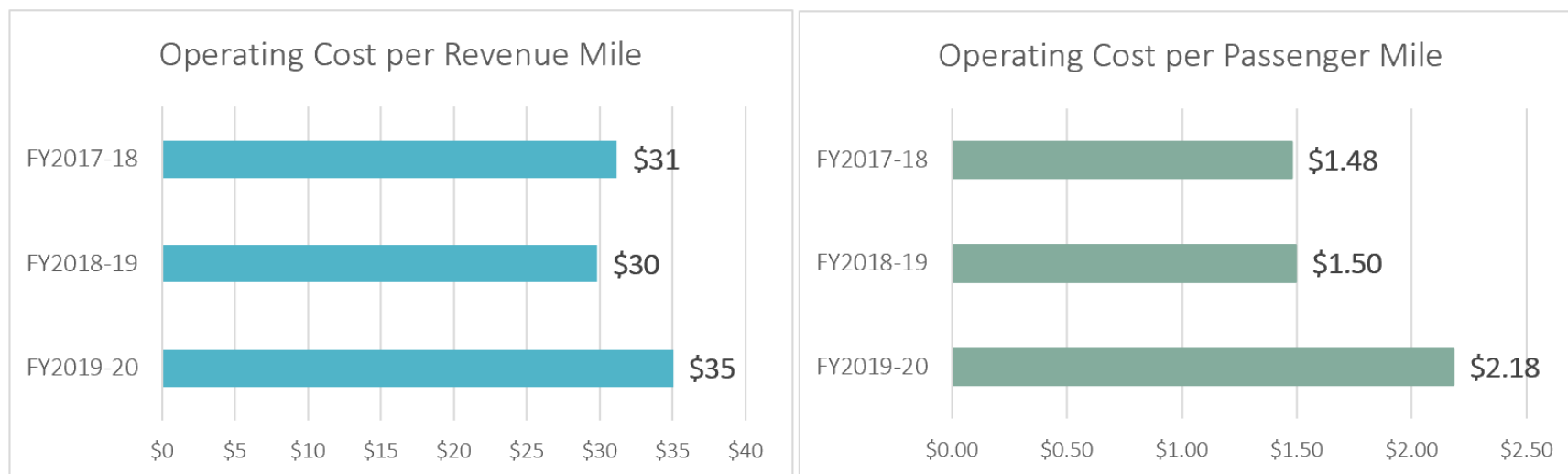
Operating Expense per Passenger Mile:  
Commuter Rail



Unlinked Passenger Trip per Vehicle  
Revenue Mile: Commuter Rail



# SMART ANNUAL RESULTS: Metrics (1)

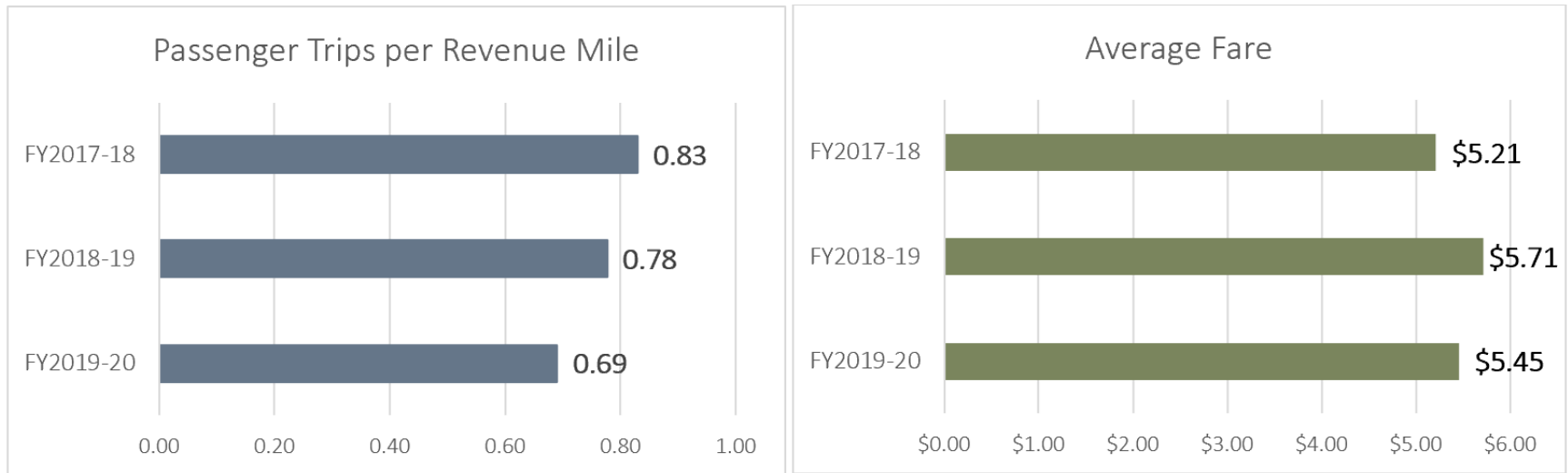


Note: FY2019-20 values are pending FTA approval & publication

FY2018-19 ranges for the 31 commuter rail agencies who report to NTD

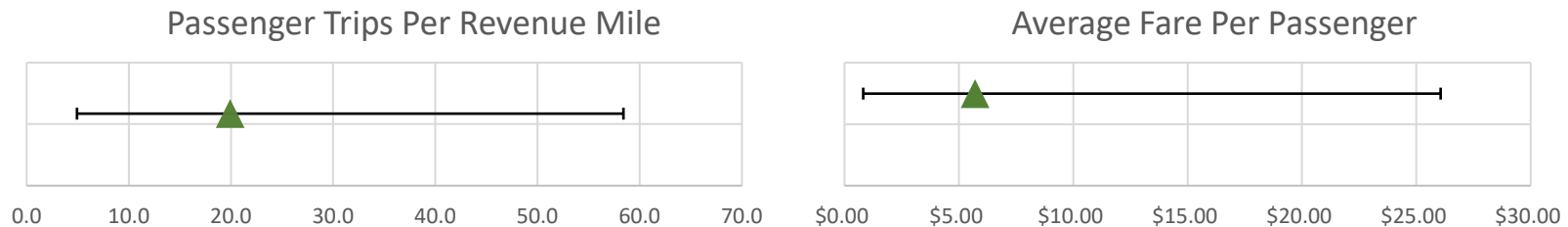


# SMART ANNUAL RESULTS: Metrics (2)



Note: FY2019-20 values are pending FTA approval & publication

FY2018-19 ranges for the 31 commute rail agencies who report to NTD



Note: ▲ = SMART

# Performance outcomes reflect policy choices

- Providing more service hours  $\Rightarrow$  increases total costs
- Offering amenities to attract discretionary riders  $\Rightarrow$  increases unit costs
- Increasing fares to boost revenues  $\Rightarrow$  makes service unaffordable for some and reduces ridership
- Decreasing fares to boost ridership  $\Rightarrow$  could reduce farebox ratio or attract so many passengers that trains are crowded
- Cutting staff to reduce costs  $\Rightarrow$  will take longer to increase service in future (due to hiring & training lag)

# Customized SMART Metrics



# Approach for additional metrics

- Metrics from NTD are already collected annually
  - Metrics for NTD reporting have been provided for the last 5 years
  - Available at the following link:  
<https://www.transit.dot.gov/ntd/transit-agency-profiles/sonoma-marin-area-rail-transit-district>
- Additional metrics require varying levels of resources to define, collect data, and analyze results, so prioritize a few simple metrics to add to near-term reporting effort
  - Include the relevant items in the Draft FY2021-22 Budget
- Continue to pursue development of more complex metrics as part of a longer-term process
  - Undertake planning efforts to define these new metrics over next 12 months
  - Bring back similar presentation with options to consider during next budget cycle

# Metric 1: Pathway Usage

- Pathway data is needed for many reasons:
  - What is the cost vs usage of the pathway
  - Existing grant reporting and new funding applications
  - Future environmental work & capital project evaluation
  - Operational monitoring
- Metric would be based on counts of bicyclists and pedestrians using the path at key locations and at various times
  - Likely collected using combination of field surveys and automatic equipment

# Metric 2: On-Time Performance

- Useful for both internal and public purposes:
  - Captures the main outcome of operations & maintenance efforts: are trains moving as planned?
  - Illustrates service reliability for transit customers
- Metric would report the share of train arrivals that occur within a specified time window relative to the schedule
  - Raw data is available from existing sources

# Metric 3: Customer Experience

- Measuring Customer Satisfaction
  - Crowding
  - Vehicle cleanliness
  - Safety
  - Wayfinding
  - On time performance
  - Cost
- Needs survey data collection from transit passengers and pathway users
  - Typically conducted once per year

# The seven recommended metrics have different reporting timeframes

- Survey data → annual reporting
  - Pathway Usage
  - Customer Experience
- Financial data → semi-annual reporting
  - Operating Cost per Vehicle Revenue Mile
  - Operating Cost per Passenger Mile
  - Average Fare
- Operational data → quarterly reporting
  - Passenger Miles per Vehicle Revenue Mile
  - On-Time Performance
- Still going to report data such as ridership, sales & use collections, fare collections, etc.

# Beyond the first seven metrics...

- SMART provides many other types of community benefits that we could measure and report on:
  - Climate Benefits
  - Economic Development
  - Mobility & Mode Choice
  - Access to Opportunities
  - Public Health
- These areas will take more work to develop:
  - Review which metrics fit SMART's priorities
  - Determine implementation needs & resources
  - Coordinate with agency partners, jurisdictions, stakeholders

# Wrap Up & Next Steps

- Incorporate Board feedback on today's recommendations
- Include associated line items in draft FY2021-22 budget
- Implement over next 12 months, with budget approval
- Return with status update and new recommended metrics during next budget cycle



# Connect with us:

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



## Customer Service:

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

(707) 794- 3330







April 21, 2021

**David Rabbitt, Chair**  
Sonoma County Board of Supervisors

**Barbara Pahre, Vice Chair**  
Golden Gate Bridge,  
Highway/Transportation District

**Judy Arnold**  
Marin County Board of Supervisors

**Melanie Bagby**  
Sonoma County Mayors' and  
Councilmembers Association

**Kate Colin**  
Transportation Authority of Marin

**Damon Connolly**  
Marin County Board of Supervisors

**Debora Fudge**  
Sonoma County Mayors' and  
Councilmembers Association

**Patty Garbarino**  
Golden Gate Bridge,  
Highway/Transportation District

**Susan Gorin**  
Sonoma County Board of Supervisors

**Dan Hillmer**  
Marin County Council of Mayors and  
Councilmembers

**Eric Lucan**  
Transportation Authority of Marin

**Chris Rogers**  
Sonoma County Mayors' and  
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**Farhad Mansourian**  
General Manager

5401 Old Redwood Highway  
Suite 200  
Petaluma, CA 94954  
Phone: 707-794-3330  
Fax: 707-794-3037  
[www.sonomamarintrain.org](http://www.sonomamarintrain.org)

Sonoma-Marín Area Rail Transit Board of Directors  
5401 Old Redwood Highway, Suite 200  
Petaluma, CA 94954

**SUBJECT:** Welcome Back Campaign

Dear Board Members:

**RECOMMENDATION:** Information Item – Discussion

**SUMMARY:**

As Sonoma and Marin counties open back up from the Coronavirus pandemic, the reduction in restrictions is having a positive effect on SMART's ridership – February's ridership compared to January was 10% more and March's ridership compared to February was 35% more. Additionally, since the beginning of the year, customer service and social media comments indicate an increasing interest in the restoration of weekend service.

SMART has anticipated this shift in the public's interest in getting back on the train and is planning a "Welcome Back" marketing campaign to increase the public's awareness of the benefits of taking the train and the safety of train travel.

Over the past four months, SMART has worked with Civic Edge, a San Francisco-based marketing consulting firm, to lay the groundwork for a Welcome Back campaign – strengthening SMART's social media presence, increasing public engagement, producing a portfolio of fresh photographs and a new marketing video.

We are looking forward to your comments and direction.

Very truly yours,

/s/  
Matt Stevens  
Acting Communications & Marketing Manager

Attachment(s): Power Point Presentation

# SMART BOARD OF DIRECTORS Welcome Back Campaign

April 21, 2021





# Welcome Back Campaign

## Introduction

- Sonoma and Marin Counties are opening back up
- Reduction on pandemic driven restrictions is having a positive effect on our ridership
- February ridership compared to January was 10% more and March ridership compared to February was 35% more, so we're clearly seeing that there is a movement

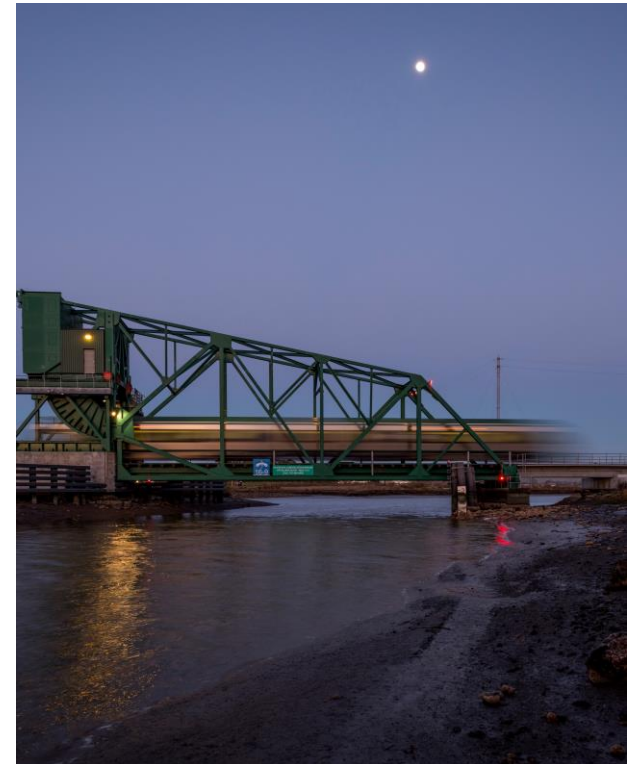


# Welcome Back Campaign

## During The Past Year

### **SMART continued to move forward:**

- Provided passenger service to nearly a quarter million essential workers this past year
- Refinanced its construction debt saving nearly \$3.5 million per year
- Created new in-house Signal Technician training program
- Led the industry in train sterilization by installing ultraviolet (UV) light sterilization upgrades on all 18 of its train cars
- Joined Bay Area low-income fare program offering 50% discounts to qualifying passengers



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# Welcome Back Campaign

## During The Past Year

### SMART continued to move forward:

- Conducted SMART Board of Directors “Listening Tour”
  - League of Women Voters
  - City of Santa Rosa
  - Town of Windsor
  - City of Cloverdale
  - City of Healdsburg
  - City of Novato
  - City of Larkspur
  - City of San Rafael
- Offering free rides to those traveling to vaccination appointments at the Marin Center and at the GGT Larkspur Ferry parking lot



# Welcome Back Campaign

## Laying the Groundwork for a Welcome Back Campaign

### What SMART has been working on:

- 4-month multimedia marketing campaign to enhance the narrative regarding SMART's benefits to the North Bay
- Utilized expert marketing consultants to increase social media engagement by nearly 100 percent
- Ramped-up SMART briefings to Chambers of Commerce and civic organizations
- Produced marketing video to kick-start welcome back campaign





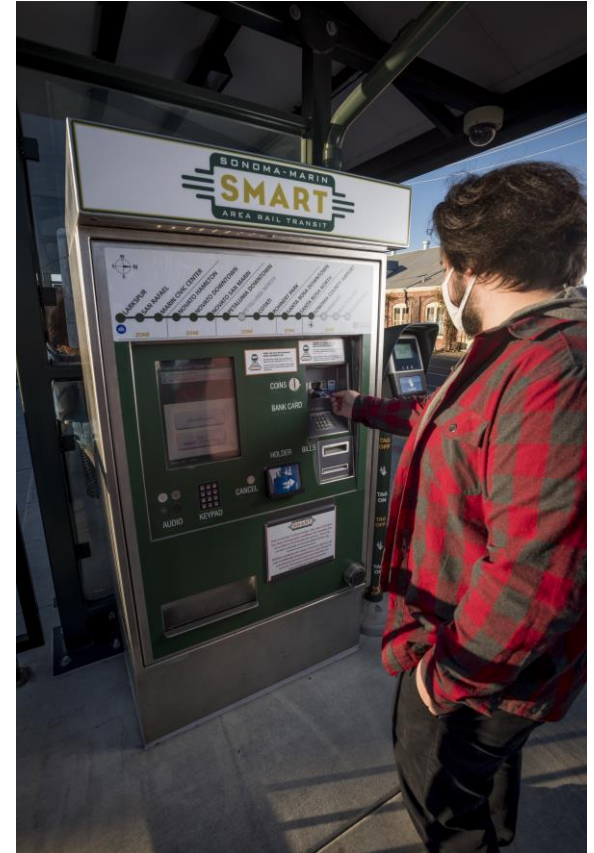
# Welcome Back Campaign



# Welcome Back Campaign

## Planning & Preparation

- Inclusion of marketing experts to increase and leverage social engagement
- Engage market research to identify what connects with the local and regional community
- Kick-off “Welcome Back Campaign” brainstorm ideas:
  - “You have a lot of catching up to do”
  - “Return to fun”
  - “Tips on trips”
- Partnerships:
  - Tourism bureaus in Marin and Sonoma
  - Other transit agencies
  - Local commercial sectors





# Welcome Back Campaign

## Messaging & Media

- Target past riders & new riders alike
- Utilize multimedia approach to reach people where they are:
  - Targeted digital advertising
  - Social media
  - Cooperative advertising with transit partners
  - Downtown signage and banners at key spots in San Rafael, Novato, and Santa Rosa
  - Electronic billboard on 101 in Rohnert Park
- Develop fresh art for ads & digital ad campaign
- Increase focus on Latin-X social media channels
- Promote safety & comfort of traveling by train

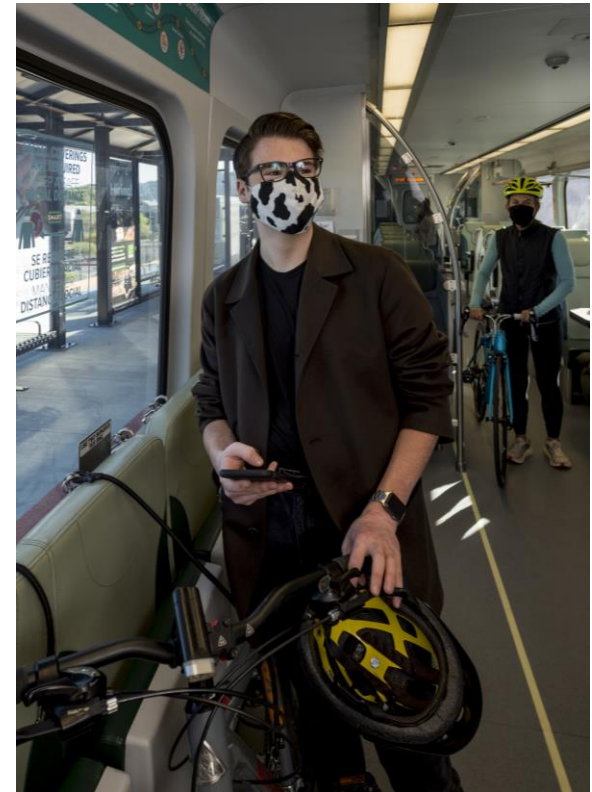


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# Welcome Back Campaign

## Public Relations/Media Relations

- *Feet on the Street* events such as Concerts in the Park and Farmers Markets
- Public speaking (civic and community organizations)
- Press kick-off event, reach out to Marin IJ, Press Democrat, Pacific Sun, El Tocolate, La Voz
- SMART #CommunityTies video to play on Marin TV and Sonoma TV (English & Spanish)
- Include San Francisco and East Bay markets for recreational trips



# Welcome Back Campaign

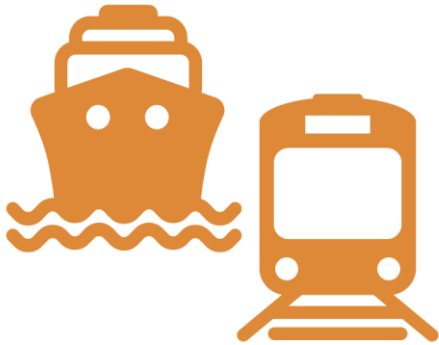
## Campaign Kickoff



- Tied to levels of service restoration
- “Get on Board” free fare day/weekend/week with strategic partners, such as Convention and Visitors Bureau, live event promotions, local event producers
- Leverage local influencers already contacted for campaign

# Welcome Back Campaign

## Weekend Service & Promotions



- Cross-promotional opportunities with Golden Gate Transit, Marin Country Mart, National Park Service, and others
- Customer service and social media comments indicate significant pent-up demand for the restoration of weekend service
- Revisit SMART's success with the Sail & Rail ferry/train combo pass that can be purchased on the SMART E-ticket app.

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# Welcome Back Campaign

## Staff/Consultant Roles



- Staff
  - Partnerships & cross promotions
  - Press & media relations
  - Public speaking
  - Localized signage
  - Contract management
- Consultant
  - Market research
  - Creative (art)
  - Ad buys (digital/print)
  - Social media platforms
  - Local/regional influencers

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# Welcome Back Campaign

The Public is Excited About Getting Back & So Are We!



# Welcome Back Campaign

## Questions/Comments



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**David Rabbitt, Chair**  
Sonoma County Board of Supervisors

**Barbara Pahre, Vice Chair**  
Golden Gate Bridge,  
Highway/Transportation District

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April 21, 2021

Sonoma- Marin Area Rail Transit Board of Directors  
5401 Old Redwood Highway, Suite 200  
Petaluma, CA 94954

**SUBJECT:** Capital Improvement Plan FY 2022-29

Dear Board Members:

**RECOMMENDATIONS:**

Approval of Capital Improvement Projects for Fiscal year 2022-29

**SUMMARY:**

Following the Board of Directors April 7<sup>th</sup> meeting, and based on direction we received to leverage SMART funds and make selected projects "shovel ready", we have completed a list of recommended capital projects for Rail and Pathway connecting our stations as listed in this report.

Our approach is to use our funds to advance selected capital projects to a "shovel ready" state and secure grant funding for the construction of these projects. "Shovel Ready" can be accomplished by completing the design, preparing Environmental Analysis either at the State and or at the Federal level (CEQA and/or NEPA) and applying for the environmental construction permits. This approach leverages our local sales tax dollars to the fullest and allows us to deliver as much projects as possible.

**GRANT SUCCESS:**

We have experienced great success in leveraging our Measure Q Sales Tax funds to maximize outside grants for both the rail and pathway projects connecting our stations. As of 2021, this includes \$355 million in outside agency grants for SMART's Rail and Pathway capital as well as operating support, doubling SMART's Measure Q investment. This success in leveraging Measure Q taxpayer funds is due to prior board policy decisions to provide SMART staff with flexibility so we can maximize our professional expertise to take advantage of fluid funding environments.

SMART has extensive geographic diversity within its service boundaries, from the Bay Area's fifth largest city to some of the most rural communities. This allows SMART the opportunity to tailor a range of project types depending on grant funding requirements.



For instance, some funding agencies may want to focus on supporting transportation investments in regionally designated priority development areas, or they may want to focus on transportation projects that support affordable housing developments, sometimes active transportation investments may be a priority, or it might be a focus on rural community connectivity (both transportation and broadband internet access), regardless, we want to have the flexibility to be able to pursue grants that support moving our projects and programs forward.

**CAPITAL PROJECT SELECTION:**

On April 7, 2021; we reported to you that our total capital project needs and wants totaled \$2.6 billion. In that meeting, we presented the available/projected capital funding for Rail and Pathway connecting our stations through the remainder of the Measure Q Sales Tax that expires in 2029 which totals \$21.4 million. We also reported that we believed we could leverage that funding to \$48 million in construction grants.

Based on our knowledge of upcoming grants and the desired completion of our pathway connecting our stations and completion of our rail extensions, we have developed the following project recommendations for your consideration:

**RECOMMENDED RAIL PROJECTS:**

Staff recommends the following two (2) Rail Projects:

- **Healdsburg Bridge:** \$3.4M from Sonoma County Transportation Authority Measure M designated for use by SMART for the Design, environmental clearance and required match for a \$13.6M federal construction grant.

We are working with Congressman Huffman to seek Federal funds for the construction of this bridge. I must remind us again that while we are not aware of the rules for the new proposed Federal earmark opportunities and infrastructure initiatives, if they require projects be in a Regional Transportation Plan, the Metropolitan Transportation Commission's (MTC) decision not to include our expansion projects north of Windsor will be a major potential obstacle in applying or obtaining these funds.

- **Petaluma 2<sup>nd</sup> Station at Corona:** \$2M SMART funds towards a proposed \$10M State Grant for construction of second station at Corona.

SMART is preparing to submit a joint application in June to the State's Affordable Housing Sustainable Communities for funding our Petaluma North Station at Corona Road. The project proposal will also include a menu of other active transportation investments, as well as support for a City of Petaluma 131-unit affordable housing project adjacent to the future SMART station. SMART's proposed partners in the application process include the City of Petaluma, including Petaluma Transit, and the affordable housing project developer Danco Communities, who has agreed to donate 1.272 acres to SMART for the construction of parking facility for this rail station. We expect to have the results of this grant in the October-November 2021 time frame.

**RECOMMENDED PATHWAY PROJECTS CONNECTING OUR STATIONS:**

SMART's enabling legislation authorized the District to construct and operate a passenger rail system and "rail transit facilities", which includes ancillary bicycle and pedestrian pathways connecting our station sites. To implement these authorized transit objectives SMART continues to concentrate on pathway projects that close the connection gaps between our station sites, this has the dual benefit of offering our passengers convenient First/Last mile opportunities, in addition to multi-modal access to our stations for our pedestrian, bicyclist and individuals with disabilities riders. From the outset SMART envisioned the pathways as a way that commuters can access the trains without driving to a station and then, with their bicycles on the train or bicycle lockers, they can pedal or walk from their stop to work or home, thus complementing SMART's overall rail strategy of creating a green alternative to commuting by car.

Therefore, our strategy for the recommended pathway projects is based on the "Closing Gaps" concepts. We examined the existing pathways network connecting our stations and then identified the gaps in that network between each of the two stations. We also examined the benefits of closing such gaps by determining the total uninterrupted pathway (both on SMART property and on municipalities properties) that will be realized once we complete our gap-closure project. We have reformatted the pathway segments that we presented in the Capital Plan at the April 7<sup>th</sup> Board meeting to identify the gaps between stations. Attached is SMART Pathway Connecting Stations – April 2021 Table.

We are also recommending \$2M to be added to an existing State grant for enhancement of grade crossings for the existing \$10.8M, 5.7 miles pathway in Sonoma County scheduled to be completed in 2022/23. To show how the recommended projects complete the existing gap between the stations, we are enclosing a table for your reference.

**Note that all the proposed pathway projects discussed above are pre-conditioned on a successful resolution to any legal challenges regarding pathway construction on the SMART right-of-way.**

**FLEXIBILITY:**

Our demonstrated success in getting over \$355M in grants has been based on flexibility and almost perfect timing. Our professional staff constantly scan the Grant universe for an opportunity. They then match the requirement of a particular grant with our cache of pending projects and ultimately select the most competitive project for that grant.

To continue our successful history, we will continue this practice until our entire list of projects to be constructed is complete.

**RENEWAL OF SALES TAX:**

SMART is a fiscally responsible agency that lives within its means. The primary revenue source is the quarter cent sales tax that was approved by the voters of Marin and Sonoma Counties in 2008. The twenty-year tax expires in 2029.

Upon the renewal of this sales tax depending on the term and the exact conditions, we could issue an additional \$150M-\$200M in bonds and those funds can be used to finance more projects and expansions. We must focus and not lose sight that there are very limited election opportunities remaining to accomplish this.

#### **WINDSOR EXTENSION & PATHWAY COONECTING AIRPORT TO WINDSOR STATION:**

This project is partially funded by Regional Measure 3 (RM3). A tax payor group is suing Metropolitan Transportation Commission (MTC) challenging the legality of the vote. The taxpayer group has lost twice in lower courts and have now appealed it to the California Supreme Court.

If MTC is successful, we will be able to complete the project to Windsor, although the delay in construction most likely will increase the project cost and we will have to address that when the time comes. If MTC is not successful, you will need to re-evaluate the Capital Plan. This project is halfway constructed, and we cannot go further north until this project is completed.

#### **FINANCIAL SUMMARY:**

Please see chart below to see financial summary of our recommendation and see how the designated \$21.4 million can be applied toward our recommendations.

<b>Projects</b>	<b>Design, Environmental, &amp; Permit</b>	<b>SMART Funds</b>	<b>Leveraging Grants</b>
<b>Pathway Projects Connecting Stations</b>			
McInnis to Smith Ranch	Match for Pending Grant	\$0.3M	\$2.2M
Payran to Lakeville	Match for Pending Grant	\$0.3M	\$0.8M
Pathway – Completion of Remaining 11 Segments	See Exhibit for Specific Segments	\$10.8M	\$38.1M
Additional Enhancements for Existing Pathway Projects in Sonoma County	Design phase has identified additional safety features which were not covered by the existing grant	\$2.0M	\$10.8M
<b>Rail Projects</b>			
Healdsburg Bridge	Potential Congressional Earmark	\$3.4M	\$13.6M
Petaluma 2 <sup>nd</sup> Station		\$2.0M	\$10.0M
<b>Match</b>			
Match for Future Grants	Available to match future grant opportunities	\$2.6M	\$13.0M
<b>Totals</b>		<b>\$21.4M</b>	<b>\$88.5M</b>

**RECOMMENDATION SUMMARY:**

- 1) Approve the recommended specific Rail & Pathway projects connecting our stations.
- 2) We will include the final approved list in our Short-Range Transit Plan which will be provided for your Board's review and approval in July and will reflect the relevant budgets as part of our 2021-22 budget review and approvals.
- 3) Direct Staff to provide two updates each year on the forecasted financing and status of grants during the adoption of the budget and at midyear budget report.

Very truly yours,

/s/

Farhad Mansourian

General Manager

Attachment(s):

- 1) April 7, 2021 Board Staff Report
- 2) April 7, 2021 Capital Projects PowerPoint Presentation
- 3) Pathway Capital Projects List Connecting SMART stations



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April 7, 2021

Sonoma- Marin Area Rail Transit Board of Directors  
5401 Old Redwood Highway, Suite 200  
Petaluma, CA 94954

**SUBJECT:** Capital Improvement Plan and Funding Opportunities

Dear Board Members:

**RECOMMENDATIONS:** Informational and Discussion Item

**SUMMARY:**

SMART staff has completed a comprehensive review of the existing passenger rail and pathway systems and reviewed planned segments and extensions to prepare an estimate of capital needs to keep the systems running as designed, enhance safety and security and to evaluate needs to construct the remainder of the planned 70-mile Larkspur to Cloverdale rail and pathway system. Staff also included the Novato to Suisun passenger rail extension to complete the comprehensive list of projects. The report today will present the capital cost estimate as well as funding options.

SMART is a young passenger rail system that has been in service for approximately three and half years. While much of the system was rebuilt and replaced prior to beginning passenger service, We are not unique and like all transit and rail systems has many ongoing needs. These needs range from enhancing safety by adding grade crossing cameras to key grade crossings in the system to replacing worn systems components like track switches, replacing wheels on the trains, overhauling the train engines, enhancement and replacement of grade-crossing signal systems, train control systems, and the radio communications network just to name a few examples. Today we will examine these needs and explain the costs associated with them.

SMART is a fiscally responsible agency that lives within its means. The primary revenue source is the quarter cent sales tax that was approved by the voters of Marin and Sonoma Counties in 2008. The twenty-year tax expires in 2029.

Today we will present you with projected available funds, as well as other potential funding sources to pursue some of the needed and desired improvements.

We look forward to your feedback and that of the public in the following areas:

- 1) Review and provide feedback on the capital projects needs and projected revenues.
- 2) Review and provide feedback on general approaches to using projected available revenues to either:
  - a. reserve these funds for additional emergency purposes.
  - b. use these funds by themselves to construct/repair a few smaller discrete components; or
  - c. Leverage these funds so we can accomplish a lot more. We have a shiny track record on more than doubling our own funds. Specifically we believe by completing any needed additional project phases (environmental review and final engineering) to advance overall system toward construction; and set aside the required grant match so we can have a list of “shovel ready” projects that would/could compete well for Federal and State grant funds.
- 3) Review and provide feedback on the new Federal earmark opportunities and infrastructure initiatives and the issues with applying for State and Federal grants given the Metropolitan Transportation Commission’s (MTC) decision not to include our expansion projects north of Windsor or east to Suisun in the Plan Bay Area 2050 (Regional Transportation Plan) and the negative effects of this decision.
- 4) Once we have your directions on these issues, we will return on April 21<sup>st</sup>, and will provide you with a list of recommended Rail and Pathway projects for your review and approval so we can include them in our upcoming FY 21-22 budget and the Short Range Transit Plan.

Very truly yours,

/s/

Farhad Mansourian  
General Manager

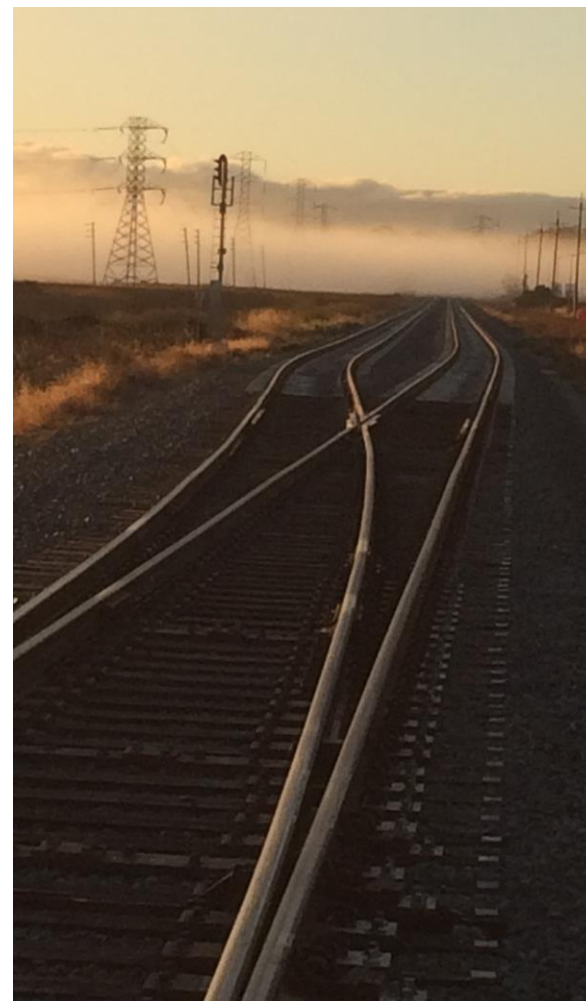
Attachment(s): PowerPoint Presentation

# SMART BOARD OF DIRECTORS FY 2022 – FY 2031 CAPITAL PLAN April 7, 2021



# Capital Project Categories

- **Safety and Security**
- **Operational Maintenance Needs**
- **Train Control and Communications**
- **Bicycle and Pedestrian Pathway**
- **Double-tracking the railroad**
- **Passenger/Freight Rail Extensions**





# Capital Planning Time Frames

**I. Near Term: 0 to 5 years**

**II. Mid-Term: 5 to 10 years**

**III. Long Term: +10 years**



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# Capital Summary - 10+ years

**SAFETY & SECURITY ENHANCEMENTS** \$ 2,282,600

Grade Xing Cameras, Intrusion Detection, etc.

**OPERATIONAL MAINTENANCE NEEDS** \$ 37,650,094

Vehicle Overhauls, Track Replacement, Bridge Rehabilitation/replacement, etc.

**TRAIN CONTROL & COMMUNICATION** \$ 7,296,200

Radio System Upgrade, Train Control Modifications, etc.

**DOUBLE TRACKING** \$ 820,845,362

Upgrade 12 sections of single-track to double track

**PASSENGER/FREIGHT RAIL EXTENSIONS** \$ 1,628,000,000

Windsor shortfall, Healdsburg, Cloverdale, and North Petaluma Station

**BICYCLE & PEDESTRIAN PATHWAYS**

See following sheets for  
detail

*These are planning cost estimates that have been prepared in 2021 dollars with general estimates for design, construction, procurement, permitting, and administration.*

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# Bicycle & Pedestrian Pathway

SMART Pathway Segment Summary - UPDATED March 2021				DRAFT												
Seg No.	Location Descriptions			Estimated Segment Costs							Funding	Environmental & Design Status			Comments	
	Start	End	Distance (miles)	(Environmental Clearance**)	Engineering	Permits & Wetland Mitigation	Real Estate	Construction	Non-Construction Contingency	Total	Funding	CEQA Clearance	NEPA Status	Design Status	**A Portion of Engineering	
Current Segments - Funded & In Design																
	South Point Blvd.	Corona Rd.	0.70	\$0	\$0	\$75,180	\$0	\$826,980	\$7,518	\$909,678	Measure M, ATP	Complete	Complete	75%	Construction planned 2022	
	Corona Rd.	Ely Rd.	1.16	\$0	\$0	\$343,170	\$0	\$2,331,120	\$34,317	\$2,708,607	Measure M, ATP	Complete	Complete	75%	Construction planned 2022	
	Ely Rd.	Main St.	1.06	\$0	\$0	\$418,800	\$0	\$3,207,600	\$41,880	\$3,668,280	Measure M, ATP	Complete	Complete	75%	Construction planned 2022	
	Golf Course Dr.	Todd Rd.	1.78	\$0	\$0	\$805,390	\$0	\$4,345,440	\$80,539	\$5,231,369	Measure M, ATP	Complete	Complete	75%	Construction planned 2022	
	Todd Rd.	West Robles Ave.	0.50	\$0	\$0	\$227,326	\$5,000	\$890,076	\$23,233	\$1,145,635	Measure M, ATP	Complete	Complete	75%	Construction planned 2022	
	West Robles	Bellevue	0.53	\$0	\$0	\$183,998	\$5,000	\$701,448	\$18,900	\$909,346	Measure M, ATP	Complete	Complete	20%	Construction planned 2022	
	Prince Greenway/JRT	3rd Street	0.06	\$0	\$15,198	\$8,940	\$5,000	\$98,340	\$2,914	\$130,392	CA Housing Grant	Complete	Not Cleared	20%	Funded in 2020; Const planned 2022	
	Airport Blvd.	Windsor River Rd.	3.00	\$0	\$375,014	\$187,507	\$0	\$3,750,136	\$70,628	\$4,383,285	State SB1; RM3	Complete	Not Cleared	100%	Construction began 2020 & paused 2021	
	Current Segments Total =			8.79	\$0	\$390,212	\$2,250,311	\$15,000	\$16,151,140	\$279,928	\$19,086,591					
Remaining Segments (South to North)																
	McInnis Pkwy.	Smith Ranch Rd.	0.74	\$0	\$0	\$235,140	\$0	\$2,134,512	\$23,514	\$2,393,166	Quick Strike TBD	Complete	Complete	95%	Bay Trail funded Design	
	Smith Ranch Rd.	Main Gate Rd.	2.65	\$0	\$595,152	\$532,980	\$150,000	\$5,455,560	\$127,813	\$6,861,505	TBD	Complete	Complete	20%	Lots of ROW needed	
	State Access Rd.	Bay Trail	1.40	\$114,127	\$570,636	\$439,674	\$25,000	\$4,184,664	\$103,531	\$5,323,505	TBD	Needed	Complete	20%	No CEQA, Ph II	
	Hannah Ranch Rd.	Vintage Way	0.38	\$87,870	\$298,758	\$226,740	\$5,000	\$1,933,140	\$326,432	\$2,790,070	TBD	Needed	Complete	20%	No CEQA, Ph II, Developer?	
	Vintage Way	No. Side Novato Cr.	0.64	\$0	\$303,926	\$304,272	\$30,000	\$2,785,992	\$63,820	\$3,488,010	TBD	Complete	Complete	20%	Exist. On-street Route	
	Grant Ave.	Olive Ave.	0.26	\$0	\$201,499	\$1,027,080	\$23,000	\$1,847,076	\$125,158	\$3,223,813	TBD	Complete	Complete	20%	Possible developer Construction	
	Olive Ave.	Rush Creek Pl.	0.38	\$0	\$430,442	\$2,020,758	\$0	\$3,945,718	\$245,120	\$6,642,038	TBD	Complete	Complete	20%	Possible developer Construction	
	Lakeville St.	Payran St.	0.30	\$0	\$0	\$89,736	\$0	\$987,096	\$8,974	\$1,085,806	Quick Strike TBD	Complete	Complete	75%	Design will complete in 2021	
	Main St.	E. Railroad Ave.	1.48	\$0	\$462,816	\$931,655	\$7,500	\$4,242,480	\$140,197	\$5,784,648	TBD	Complete	Complete	20%	Difficult to build once trains running	
	E. Railroad Ave.	Manor Dr.	1.06	\$47,495	\$237,474	\$159,716	\$15,000	\$1,741,476	\$41,219	\$2,194,885	TBD	Needed	Complete	20%	Path on Somo Village property	
	3rd St.	6th St.	0.05	\$19,287	\$65,576	\$38,574	\$0	\$424,314	\$10,415	\$538,879	TBD	Needed	Complete	20%		
	Guernville Rd.	W. Steele Ln.	1.30	\$0	\$295,011	\$245,843	\$0	\$2,704,271	\$54,085	\$3,299,210	TBD	Complete	Not Cleared	20%		
	W. Steele Ln.	San Miguel Blvd.	1.30	\$0	\$307,215	\$256,013	\$0	\$2,816,141	\$56,323	\$3,435,692	TBD	Complete	Not Cleared	20%		
	San Miguel Blvd.	Airport Blvd.	3.11	\$0	\$615,816	\$513,180	\$0	\$5,644,980	\$112,900	\$6,886,876	TBD	Complete	Not Cleared	20%		
	Windsor River Rd.	Healdsburg Station	5.10	\$0	\$1,061,061	\$1,326,326	\$0	\$9,726,394	\$238,739	\$12,352,520	TBD	Complete	Not Cleared	20%		
	Healdsburg Station	Cloverdale Station	15.2	\$0	\$3,849,818	\$4,562,273	\$0	\$33,456,667	\$821,209	\$42,489,967	TBD	Complete	Not Cleared	20%		
Remaining Segments Sub-Totals			35.35	\$268,779	\$9,095,201	\$12,909,960	\$255,500	\$84,030,480	\$2,499,448	\$108,790,590						
Totals, All Segments Listed Above			44.13	\$268,779	\$9,485,413	\$15,160,271	\$270,500	\$100,181,620	\$2,779,377	\$127,877,180						

These are planning cost estimates that have been prepared in 2021 dollars with general estimates for design, construction, procurement, permitting, and administration.

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# Bicycle & Pedestrian Pathway

Remaining Segments to be Funded			
START	FINISH	MILEAGE	COST
McInnis Pkwy.	Smith Ranch Rd.	0.74	\$ 2,393,166
Smith Ranch Rd.	Main Gate Rd.	2.65	\$ 6,861,505
State Access Rd.	Bay Trail	1.40	\$ 5,323,505
Hannah Ranch Rd.	Vintage Way	0.38	\$ 2,790,070
Vintage Way	No. Side Novato Cr.	0.64	\$ 3,488,010
Grant Ave.	Olive Ave.	0.26	\$ 3,223,813
Olive Ave.	Rush Creek Pl.	0.38	\$ 6,642,038
Lakeville St.	Payran St.	0.30	\$ 1,085,806
Main St.	E. Railroad Ave.	1.48	\$ 5,784,648
E. Railroad Ave.	Manor Dr.	1.06	\$ 2,194,885
3rd St.	6th St.	0.05	\$ 538,879
Guerneville Rd.	W. Steele Ln.	1.30	\$ 3,299,210
W. Steele Ln.	San Miguel Blvd.	1.30	\$ 3,435,692
San Miguel Blvd.	Airport Blvd.	3.11	\$ 6,886,876
Windsor River Rd.	Healdsburg Station	5.10	\$ 12,352,520
Healdsburg Station	Cloverdale Station	15.2	\$ 42,489,967
<b>TOTALS =</b>		<b>35.35</b>	<b>\$ 108,790,590</b>
Notes:			
1. Highlighted segments have pending grant applications.			
2. Cost Estimates could be impacted by recent legal challenges			

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These are planning cost estimates that have been prepared in 2021 dollars with general estimates for design, construction, procurement, permitting, and administration.



# Capital Summary Costs

<b>SAFETY &amp; SECURITY ENHANCEMENTS</b>	<b>\$ 2,282,600</b>
Grade Xing Cameras, Intrusion Detection, etc.	
<b>OPERATIONAL MAINTENANCE NEEDS</b>	<b>\$ 37,650,094</b>
Vehicle Overhauls, Track Replacement, Bridge Rehabilitation/replacement, etc.	
<b>TRAIN CONTROL &amp; COMMUNICATION</b>	<b>\$ 7,296,200</b>
Radio System Upgrade, Train Control Modifications, etc.	
<b>DOUBLE TRACKING</b>	<b>\$ 820,845,362</b>
Upgrade 12 sections of single-track to double track	
<b>PASSENGER/FREIGHT RAIL EXTENSIONS</b>	<b>\$ 338,000,000</b>
Windsor shortfall, Healdsburg, Cloverdale, and North Petaluma Station	
<b>BICYCLE &amp; PEDESTRIAN PATHWAYS</b>	<b>\$ 108,790,590</b>
Remaining segments between Civic Center and Cloverdale	
<b>TOTAL =</b>	<b>\$ 1,314,864,864</b>
<b>NOVATO TO SUISUN PASSENGER RAIL EXTENSION</b>	<b>\$ 1,300,000,000</b>
Connection to the Capitol Corridor	

*These are planning cost estimates that have been prepared in 2021 dollars with general estimates for design, construction, procurement, permitting, and administration.*

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# QUESTIONS



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# Financial Analysis

- SMART's FY 22- FY 31 Short Range Transit Plan (SRTP) is due in this year
- The Capital Plan feeds into the SRTP
- SRTP and Capital plan is updated every 2 years
- Sales Tax (Measure Q) funds sunset in FY 2029, no funds assumed in FY 30 or FY 31
- Need sales tax reauthorized prior to FY 2029 expiration
- Current sunset of sales tax limits our ability to fund projects, issue debt, or pursue as many grants as we might want to

# Revenue Assumptions

- Assumes economic recovery continues
- Assumes no additional recessions or natural disaster between now and FY 2031
- Funding sources continue with exception of Federal CARES Act type funding
- Forecasts are used where available and inflated between 2-3%
- Fares remain the same and fare revenues return to pre-pandemic levels by FY 2024



# Revenue Assumptions - Sales Tax

- Cliff is near with the expiration of Sales Tax (Measure Q) funds
  - Funding sunsets in FY 2029
  - We have 4 opportunities to go to voters
    - 2022, **2024**, 2026, and **2028**
  - New or Extension sales tax provides more funding and more ability to leverage funds
  - The sales tax would allow us to bond another \$150 million - \$200 million which in turn can leverage additional funds

# Expenditure Assumptions

- Debt is paid off in FY 2029
- Assumes weekend service is added back in FY 22
- Assumes weekday service is increased (6-1-6 schedule) in FY 22
- Added back staffing and associated expenditures
- Assumes no raises
- Assumes 3% inflation per year
- Assumes operating reserve is kept at 25% of operating budget
- Assumes funding over 3 years for “Welcome Back” Campaign
- Assumes Windsor project is constructed with RM3 funds

# Available Funds for Capital Through FY 2029

- **\$46.6 million available**
- Following Board Adopted Expenditures Principles
  - Provide for ongoing Operation and Maintenance of the Current System
  - Prioritize Safety and Security Maintenance and Improvements
  - Capital Projects
  - Board can modify as they wish
- Available for Capital Investment **\$26.4 million**
  - Leveraging \$26.4 million could provide as much as **\$58 million** for construction
  - We will use the \$26.4 million for design, environmental, and to match both State and Federal grants

# Other Initiatives That We Heard During Our Listening Sessions

- Have **\$26.4 million** available
- Reduce fares/ increase service & frequency/ provide connections to transit and other destinations
  - Could set aside \$5 million between FY 22-29 for these initiatives
- If we set \$5 million aside, would leave **\$21.4 million** for capital projects and leveraging
- \$21.4 million could leverage **\$48 million** in projects – more than double our funding

# Other Near Term Financial Opportunities

- Federal Earmarks
- Federal Infrastructure Bill
  - Possible Policy Conflict and Eligibility Concerns with MTC Policies
- Federal Loan Programs
  - Transportation Infrastructure and Innovation Act (TIFIA)
  - Railroad Rehabilitation and Improvement Financing (RRIF)

# QUESTIONS



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# Wrap Up

- Sales Tax (Measure Q) Expires FY 2029
- Current Outstanding Debt will be paid off in FY 2029
- Projected funds of \$21.4 million to \$26.4 million could be leveraged to between \$48 million and \$58 million for construction

# Wrap Up

- We met with the bicycle coalitions of Marin and Sonoma Counties and have asked for them to provide us with their top projects in order of priority
- Looking for your direction on our recommended approach
  - Leveraging projected funds by providing “match” dollars, and
  - Investing in environmental and design to get projects “shovel” ready
- If you concur, we will bring back Rail and Pathway projects that could meet grant requirements within our financial constraints for your consideration and approval



# Connect with us:

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



## Customer Service:

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SMART Pathway Connecting Stations - April 2021						
Start	End	Distance (miles)	Status	SMART FUNDED Design, Environmental & Permitting	CONSTRUCTION (Grants)	TOTAL COST
Larkspur Station	Downtown San Rafael Station	2.4	Complete			-
SR Downtown Station	Civic Center Station	2.7	Complete			-
Civic Center Station	Hamilton Station	4.1	-			\$ 9,254,671
Civic Center Station	McGinnis Pkwy	0.7	Complete			
McInnis Pkwy.	Smith Ranch Rd.	0.74	Grant Pending	\$235,140	\$2,158,026	\$2,393,166
Smith Ranch Rd.	Main Gate Rd.	2.65	recommended	\$1,278,132	\$5,583,373	\$6,861,505
Hamiton Station	Novato DT Station	4.22				\$11,601,585
Hamilton Station	State Access Rd	0.40	complete	\$0		-
State Access Rd.	Bay Trail	1.40	recommended	\$1,128,616	\$4,288,195	\$5,323,505
Bay Trail	Hannah Ranch Rd	0.60	complete	\$0		-
Hannah Ranch Rd.	Vintage Way	0.38	recommended	\$530,498	\$2,259,572	\$2,790,070
Vintage Way	No. Side Novato Cr.	0.64	recommended	\$638,198	\$2,849,812	\$3,488,010
No. Side Novato Cr.	Franklin Avenue	0.50	complete	\$0		-
Franklin Ave	Novato DT Station	0.30	complete	\$0		-
Novato DT Station	Novato North Station	0.94				\$9,865,851
Grant Ave.	Olive Ave.	0.26	recommended	\$1,251,579	\$1,972,234	\$3,223,813
Olive Ave.	Rush Creek Pl.	0.38	recommended	\$2,451,200	\$4,190,838	\$6,642,038
Rush Creek Pl	Novato North Station	0.30	complete			
NOVATO	PETALUMA	10.20				\$0
Caltrans	Marin Sonoma Narrows	8.30	complete			-
S. Petaluma Blvd	Petaluma Station	1.90	complete			-
Petaluma Station	Cotati Station	8.06				\$6,870,454
Petaluma Station	Lakeville St	0.20	complete			
Lakeville St.	Payran St.	0.30	grant pending	\$89,736	\$996,070	\$1,085,806
Payran St	South Point Blvd	1.20	complete			-
South Point Blvd.	Corona Rd.	0.70	funded	\$0		\$0
Corona Rd.	Ely Rd.	1.16	funded	\$0		\$0
Ely Rd.	Main St.	1.06	funded	\$0		\$0
Main St.	E. Railroad Ave.	1.48	recommended	\$1,401,971	\$4,382,677	\$5,784,648
E. Railroad Ave.	Manor Dr.	1.06	SoMo Village	\$0		\$0
Manor Dr.	Cotati Station	0.90	complete			-
Cotati Station	Rohnert Park Station	1.30				\$0
Cotati Station	Rohnert Park Station	1.30	complete			
Rohnert Park Station	Santa Rosa Downtown Station	4.04				\$0
Rohnert Park Station	Golf Course Dr	1.10	complete			-
Golf Course Dr.	Todd Rd.	1.78	funded	\$0	\$0	\$0
Todd Rd.	West Robles Ave.	0.50	funded	\$0	\$0	\$0
West Robles	Bellevue	0.53	funded	\$0	\$0	\$0
Prince Greenway/JRT	3rd Street	0.06	funded	\$0	\$0	\$0
3rd Street	SR Downtown Station	0.07	complete			-
Santa Rosa Downtown Station	Santa Rosa North Station	1.45				\$538,879
3rd St.	6th St.	0.05	recommended	\$104,150	\$434,729	\$538,879
6th St.	8th St.	0.10	complete			-
8th St.	College Ave.	0.50	complete			-
College Ave.	Guerneville Rd.	0.80	complete			-
Santa Rosa North Station	Airport Station	4.73				\$10,810,760
Guerneville Rd.	W. Steele Ln.	0.32	recommended	\$80,032	\$408,161	\$488,193
W. Steele Ln.	San Miguel Blvd.	1.30	recommended	\$563,228	\$2,872,464	\$3,435,692
San Miguel Blvd.	Airport Blvd.	3.11	recommended	\$1,128,996	\$5,757,880	\$6,886,876
Airport Station	Windsor Station	3.00				\$0
Airport Blvd.	Windsor River Rd.	3.00	in-process	\$0	\$0	\$0
Total =		47.12		\$10,881,476	\$38,154,030	\$48,942,200