



**BOARD OF DIRECTORS**  
**REGULAR MEETING AGENDA**  
**September 19, 2018 – 1:30 PM**  
5401 Old Redwood Highway, 1<sup>st</sup> Floor  
Petaluma, CA 94954

1. Call to Order
2. Approval of the July 18, 2018 Board Meeting Minutes
3. Public Comment on Non-agenda Items
4. Board Member Announcements
5. General Manager's Report
6. Consent
  - a. Approval of Monthly Financial Reports
  - b. Approval of Certified Employment Group Contract Amendment No. 3
  - c. Approve a Resolution to Amend the Budgeted Programming and Grants Manager Salary Range to the Authorized Personnel Allocations for Fiscal Year 2018-19
  - d. Adopt and Support Senate Bill 1119 (Beall) to Amend the Low Caron Transit Operation Program
7. Approve a Resolution Adopting SMART's 2018 Title VI Program and Nondiscrimination Policy
8. Authorize the General Manager to Execute a Purchase Contract No. OP-EQ-18-004 with Transit Sourcing Services, Inc. in an amount of \$167,112 for 88 Diesel Multiple Unit Train Wheels
9. Authorize the General Manager to Execute Sole-Source Purchase Agreements with ZF North American, Inc. and Knorr Brake Holding Corporation in an amount of \$675,000 for Specialized Rail Parts and Equipment

10. Authorize the General Manager to Execute a Purchase Contract No. OP-EQ-18-001 with Delta Wheel Truing Solutions in amount of \$898,432.87 to Manufacture and Install a Wheel Truing Machine
11. Approve a Resolution Authorizing the Award Contract No. SYS-DB-18-001 to Modern Railway Systems, Inc for the Systems Work for the Windsor Extension Project for an amount of \$15,687,333
12. Authorize the General Manager to Amend Three Professional Services Contracts with WRA, Inc., Stantec, Inc. and RailPros, Inc. for the Windsor Extension Project and an Engineering Feasibility Study on existing railroad right-of-way to connect to Suisun City
13. Approve a Resolution Amending the Fiscal Year 2018-19 Adopted Budget to Provide Increased Appropriation Authority of \$8,080,137 for the Windsor Extension Project and an Engineering Feasibility Study on existing railroad right-of-way to connect to Suisun City
14. Closed Session – Conference with General Manager Farhad Mansourian, pursuant to California Government Code Section 54956.8 regarding real estate property negotiations.
  - Property: Sonoma -Marin Area Rail Transit District
  - Property Address: Right-of-Way (MP14.9-142.5 and MP B25.8 – B49.8)
  - Negotiating Parties: Farhad Mansourian, General Manager  
Douglas Bosco, Counsel for NWPCo.
15. Report out of Closed Session
16. Next Regular Meeting Board of Directors, October 3, 2018 – 1:30 PM – 5401 Old Redwood Highway, 1<sup>st</sup> Floor, Petaluma, CA 94954
17. Adjournment

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*DOCUMENTS:* Documents distributed by SMART for its monthly Board meeting or committee meetings, and which are not otherwise privileged, may be inspected at SMART’s office located at 5401 Old Redwood Highway, Suite 200, Petaluma, CA 94954 during regular business hours. Documents may also be viewed on SMART’s website at: [www.sonomamarintrain.org](http://www.sonomamarintrain.org). Materials related to an item on this Agenda submitted to SMART after distribution of the agenda packet are available for public inspection at the SMART Office. For information about accessing SMART meetings by public transit, use the trip planner at [www.511.org](http://www.511.org)



**BOARD OF DIRECTORS  
REGULAR MEETING MINUTES**

**July 18, 2018 - 1:30 PM**

5401 Old Redwood Highway, 1<sup>st</sup> Floor  
Petaluma, CA 94954

1. Call to Order

Chair Fudge called the meeting to order at 1:30pm. Directors Arnold, Eddie, Hillmer, Lucan, Mackenzie, Phillips, Russell and Zane were present. Director Pahre absent; Director Connolly and Rabbitt arrived later.

2. Approval of the June 6, 2018 Board Meeting Minutes

**MOTION:** Director Russell moved approval of June 6, 2018 minutes as presented. Director Mackenzie second. The motion carried 9-0-0. (Director Pahre absent; Directors Connolly and Rabbitt arrived later).

3. Public Comment on Non-Agenda Items

Duane Bellinger wished that SMART's 1-year celebration was at Corona Road platform. He expressed that the residents of East Petaluma could benefit from Corona Road platform. He also asked why SMART is building a third station in Novato.

Director Rabbitt arrived at 1:33pm

Mike Pechner suggested SMART discuss additional train service after Giant games.

4. Board Member Announcements

Director Mackenzie stated that Howard Jarvis Taxpayers Association has filed a lawsuit to stop Regional Measure 3, stating it needed a two-thirds majority pass in the June elections.

Director Phillips stated that the City of Novato is funding the construction of the Novato Downtown Station and SMART is not paying.

Director Zane said she attended the Public Utility Commission's meeting in San Francisco on Wednesday, July 11<sup>th</sup> to discuss if PG&E should be held accountable for the Wildfires that occurred on October 2017. Also, another topic of discussion was Safety and Trains with various representatives of the Safety Enforcement Division (SED).

5. General Manager's Report

General Manager Mansourian stated that SMART's Train Control Manager was in Washington, DC presenting the topic of Positive Train Control to forty-one other railroad agencies at the request of the Federal Railroad Administration.

Lastly, he said that since the start of passenger service in August 25<sup>th</sup> through July 12<sup>th</sup>, SMART has carried approximately 622,630 passengers, 55,549 bicycles and 2,688 passengers with wheelchairs. He thanked all SMART's riders for their continued support.

Comments:

Director Rabbitt asked for the percentage of expectation at this point. Mr. Mansourian responded that there are highs and lows at various dates. However, SMART has met the revenue budgeted.

Director Zane asked how SMART calculates ridership. Mr. Mansourian responded that there are a few ways: 1) Manual count from the Engineer-Conductors; 2) Clipper transactions (tag on/tag off); 3) Online purchase; 4) Eco-Passes and 5) Monthly passes. Also, the Metropolitan Transportation Commission conducted on-board surveys this summer. Director Zane asked if Clipper also counts the bicycle ridership. Mr. Mansourian responded that the bicycle ridership is counted manually. Director Zane asked which station highly used the bicycle lockers. Mr. Mansourian said that he will obtain and provide statistics.

Director Eddie stated that SMART has done very well considering the project is not complete. Once SMART starts operating the underserved community's ridership is expected to increase.

Director Phillips stated that the City of San Rafael has received approval from California Public Utility Commission for the Anderson Drive Crossing. Also, he said that he took the train from Marin Civic Center to Santa Rosa on Sunday and it was standing room only.

6. Consent

- a. Approve a Resolution to Authorize the Chair of the Board of Directors and the General Manager to Execute funding-related agreements for available funds from the Sonoma County Transportation Authority

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

**MOTION:** Director Phillips moved approval of the Consent Agenda as presented. Director Lucan second. The motion carried 11-0-0 (Director Pahre absent).

7. Authorize SMART to hold a Community Celebration on August 18, 2018 and to add extra train trips and offer free service August 18-19 to mark SMART's First Year of Service

General Manager Mansourian thanked the Board members leadership, community partners and the community for contributing to SMART's passenger service success. He acknowledged Operations Manager Duane Sayers, Superintendent of Transportation Jon Kerruish, Superintendent of Vehicle Maintenance Husani Longstreet, Superintendent of Maintenance of Way Marc Bader and the entire SMART staff for providing excellent service.

Director Connolly arrived at 1:45pm

SMART will mark a major milestone in August as we celebrate the 1-year anniversary of the start of passenger service. To celebrate our first year of service and to thank our community, we would like to hold a celebration on August 18<sup>th</sup> from 10am to 3pm at our Novato Hamilton Station. This event will feature some of the North Bay's food trucks, live music, vendors and activities for children.

Also, as our way to say "thank you", we will add an extra train trip in the morning and offer free service during the weekend of August 18<sup>th</sup> and 19<sup>th</sup>.

#### Comments

Chair Fudge clarified that the free service will be the entire weekend of August 18<sup>th</sup>- 19<sup>th</sup>.

Director Zane asked if Board members should wear their SMART attire and special badges. Mr. Mansourian responded sure. Director Zane asked how many Engineer-Conductors positions are still vacant and if housing still an issue to get qualified people. Mr. Mansourian responded that housing crisis is still an issue.

**MOTION:** Director Mackenzie moved to Authorize SMART to hold a Community Celebration on August 18, 2018 and to add extra train trips and offer free service August 18-19 to mark SMART's First Year of Service as presented. Director Hillmer second. The motion carried 11-0-0. (Director Pahre absent).

8. Authorize the General Manager to Execute Contract No. OT-PS-18-003 with Netwoven, Inc. in the amount of \$161,000 to perform Microsoft SharePoint Upgrades and Support Services

General Manager Mansourian said the SMART utilizes Microsoft software know as SharePoint to provide document management. SMART is planning a critical upgrade which requires a comprehensive data migration and customization support. A formal Request for Proposal was issued for the work required. We received five proposal of which, Netwoven, Inc. is the most advantageous to SMART.

Therefore, staff recommends approval of the Netwoven Contract in the amount of \$161,000 over a two-year period.

**MOTION:** Director Arnold moved to Authorize the General Manager to Execute Contract No. OT-PS-18-003 with Netwoven, Inc. in the amount of \$161,000 to perform Microsoft SharePoint Upgrades and Support Services as presented. Director Lucan second. The motion carried 11-0-0. (Director Pahre absent).

9. Authorize the General Manager to Enter into Purchase Agreements for a used Hyrail Rotary Dump Truck and a used Lowrailer Utilizing a Competitive Negotiation Process in an amount not to exceed \$270,000

Operations Manager Duane Sayers stated that the approval of this item is to solicit proposals and enter into purchase agreement for a used Hyrail Rotary Dump Truck and Lowrailer Utility vehicle for the purpose of maintaining SMART's Right-of-Way. These will be secured through a competitively negotiated process that will not exceed \$270,000.

The Hyrail Rotary Dump truck will be used to perform ballast restoration along the right-of-way and haul debris and material on the track and off the track. The Lowrailer will accommodate and transport most cement trucks and water trucks as well as off-road equipment such as excavators, loaders and high reached vehicles to rail only locations along the right-of-way. This versatile equipment will be used for Maintenance of Way projects including: vegetation removal, machinery hauling, ditch maintenance and drainage repair.

SMART has identified cost savings of \$310,000 by purchasing these pieces of equipment used as opposed to new and will be expected to have ten or more years of useful life remaining. SMART will be receiving dollar-for-dollar matching funds from the State of California. Therefore, staff recommends approval authorizing the General Manager Mansourian to enter into purchase agreements to secure purchases.

Comments:

Director Zane is concerned about the cost and useful life of the used equipment. She asked how long will the equipment last if purchased new. Maintenance of Way Superintendent Marc Bader responded approximately 20 years for the Hyrail Rotary Dump Truck and 30 years for the Lowrailer. She asked if its more beneficial to purchase new vs. used due to the life span and cost savings. Mr. Mansourian responded that SMART has considers various factors and with the threat of Repeal Senate Bill 1 (SB 1) this purchase saves SMART money. She asked the probability of SB 1 Repeal. Mr. Mansourian and Chair Fudge responded that its very high.

Director Arnold stated she is happy and approves staff recommendation.

Director Mackenzie stated that once SMART gets into the market for used equipment, there is a potential for SMART to purchase lightly used equipment (2-years old). He asked if SMART will be considering longevity and cost for any used equipment. Mr. Mansourian said that if your affirmative action today, allows staff the ability to negotiate and purchase. Also, affordable and good equipment does not stay on the market long.

Director Eddie asked the availability of this type of equipment. Operations Manager Sayers responded its about timing and looking for the best of the best and being able to inspect the equipment.

Director Zane stated that she will not object SMART purchasing used equipment if it's the best deal. However, SMART need to consider the longevity and authorize staff to spend more money if the equipment has more longevity.

Mr. Mansourian clarified that it SMART can't negotiate a good price, other options will be considered.

**MOTION:** Director Arnold moved to Authorize the General Manager to Enter into Purchase Agreements for a used Hyrail Rotary Dump Truck and a used Lowrailer Utilizing a Competitive Negotiation Process in an amount not to exceed \$270,000 as presented. Director Mackenzie second. The motion carried 11-0-0. (Director Pahre absent).

10. Approve a Resolution and Authorize the General Manager to Enter into Purchase and Service Agreements in an aggregate amount of \$700,000 and to Award Contract No. VS-SV-18-001 to Alstom Transportation in an amount not to exceed \$300,000 for the major repair work of the Diesel Multiple Unit 110 and Provide Additional Expenditure of \$600,000

Chief Financial Officer Erin McGrath gave an overview and stated that the approval of this resolution and agreements will allow for repairs of Diesel Multiple Unit 110 (DMU 110) that was involved in an accident at Todd Road on May 31<sup>st</sup> that caused extensive damage to the train. Since the accident occurred, SMART has been working on expediting the repairs to return DMU 110 back to service in a timely manner.

The parts and work required are highly specialized and will require sole source purchases, as well as limited choices of who can perform the work. SMART anticipates more than one sole source service contract to complete the work. We will track all purchase an contracts expenditure and will report back to the Board at a later date. At this time SMART has identified Alston Transportation Inc, as a qualified local vendor with expertise in performing collision-damages repair work. Our preliminary estimate of the cost to fully repair the DMU 110 is \$700,000 and it could change.

Therefore, staff recommends approval of \$100,000 for the insurance coverage deductible and an additional \$600,000 in appropriation authority to pay any outstanding cost to be reimbursed by the insurer.

Mr. Mansourian stated that SMART's insurance carrier is also pursuing other necessary claims against the party at fault.

### Comments

Director Rabbitt said that this is SMART's first major accident and asked if the insurance carrier has been responsive, since SMART does not want to have any claims denied. Ms. McGrath responded that they have been very responsive and have assigned an experience adjuster to our case.

Director Zane suggested that SMART have a secure commitment from the Insurance Company stating that repairs will be fully reimbursed. She asked why the insurance of party at fault is not paying for repairs. Ms. McGrath responded that SMART's Insurance Carrier is in contact with the other insurance company. District Counsel Lyons confirmed that all insurance companies are working together, however repairs are need to place DMU 110 back into service. Director Zane asked if the California Public Utility Commission (CPUC) investigates all train accidents and if SMART will be receiving report from them. Mr. Mansourian responded that CPUC was informed of the accident, however the Federal Railroad Administration (FRA) has jurisdiction and investigated accident. SMART submitted all reports to the FRA.

Mike Pechner said the Alstom Company repairs all of Amtrak trains in Mare Island.

**MOTION:** Director Eddie moved to Approve a Resolution and Authorize the General Manager to Enter into Purchase and Service Agreements in an aggregate amount of \$700,000 and to Award Contract No. VS-SV-18-001 to Alstom Transportation in an amount not to exceed \$300,000 for the major repair work of the Diesel Multiple Unit 110 and Provide Additional Expenditure of \$600,000 as presented. Director Mackenzie second. The motion carried 11-0-0. (Director Pahre absent)

11. Authorize the General Manager to Execute a Funding Agreement with Sonoma County Transit for Sonoma County Transit Route 56 and Related Bus Stop Improvements at Airport Boulevard/Sonoma County Airport SMART Station

Chief Financial Officer Erin McGrath gave a brief overview of the project. She stated that Funding Agreement with Sonoma County Transit has been a collaborate partnership to increase transportation service North of Airport Station. This agreement outlines the creation of Sonoma County Transit Route 56 (*SMART's North County Express Bus Service*) and the construction of the bus turnout at Sonoma County Airport Station.

The schedule of service was launched with the start of SMART' passenger service in August 2017 and run through March 2018. In March 2018 modifications were made to offering the service on weekdays only and providing both northbound and southbound service in each weekday commute period.

### Comments

Chair Fudge suggested that SMART contact the Sonoma County Transit Manager Bryan Albee to circulate/outreach transportation connection from the Sonoma County Airport Station to

the Charles M. Schulz Sonoma County Airport.

Director Zane suggested that SMART contact Airport Manager Jon Stout to discuss transportation connection and where it can be posted at the Airport.

Director Rabbitt stated that it's a cooperative agreement between agencies. If SMART advertises in Marin and Sonoma Counties with the Sonoma County Airport and Sonoma County Transit agencies it will benefit everyone. He said that Muni is available at the San Francisco Airport as a method of transportation.

Rick Coates stated that he talked to a tourist from Germany that took public transportation from Cloverdale to the train station.

**MOTION:** Director Zane moved to Authorize the General Manager to Execute a Funding Agreement with Sonoma County Transit for Sonoma County Transit Route 56 and Related Bus Stop Improvements at Airport Boulevard/Sonoma County Airport SMART Station as presented. Director Lucan second. The motion carried 11-0-0. (Director Pahre absent).

12. Approve the Resolutions Authorizing the General Manager to Execute Change Order NOV-001 to Contract No. CV-DB-16-001 with Stacy and Witbeck/Herzog JV and Amend the Fiscal Year 2018-19 budget in an amount of \$5,200,000 to complete the Novato Downtown Station

Chief Engineer Bill Gamlen gave a brief overview of the project and stated that the approval of three recommended actions will allow the contractors to complete the Novato Downtown Station.

On April 6, 2016, SMART's Board approved a third station in Novato at Grant Street at the request of the City of Novato (City). Because this station was a third for the City and SMART had already constructed two, the City committed to pay for all of the construction costs. At that time, the City had only secured enough funding (Phase One \$2.4M) to build the concrete platform, install some of the underground electrical conduits and modify the trackwork – essentially, complete work that would be much more difficult to complete once SMART was in revenue service.

The City has identified funding for the remaining work to complete the Downtown Novato Station. The cost of the work is estimated at \$5.2M. The City is requesting that SMART construct the remaining improvements consisting of installing two platform shelters, platform amenities, railings, lighting and modifying the train control system to control the gauntlet tracks that shift the train to the platform. SMART determined that it is most efficient to utilize the Larkspur Extension design-build contract to complete the work, primarily because the train control subcontractor is the same firm that designed, installed and commissioned the train control system on the Initial Operating Segment.

Thus, staff has negotiated a change order for \$4,649,758 for the remaining construction work to complete the Downtown Station and extends the term of the contract by sixty (60) calendar days. The difference in the budgeted amount and change order amount is for the ticket vending machine, PG&E power to station, testing and flagging at the station and contingency to complete the work.

Therefore, staff recommends that your Board approves the following actions: 1) Adopt Resolution Number 2018-17 to authorize the General Manager to execute Change Order NOV-001 with Stacy and Witbeck/Herzog JV in the amount of \$4,649,758 and a time extension of sixty (60) calendar days; 2) Adopt Resolution Number 2018-18 to amend the Fiscal Year 2018-19 budget to include \$5,200,000 in expenditure authority and corresponding revenue; and 3) Authorize the General Manager to execute a Funding Agreement with the City of Novato to include this additional work to complete the downtown Novato Station.

#### Comments

Director Lucan thanked the Board for the receptiveness of this item. Mr. Gamlen for the history of the project, and SMART's staff for the work on this project. It has been a great effort with the Novato community to be able to add the Downtown Novato Station.

**MOTION:** Director Lucan moved to Adopt Resolution to authorize the General Manager to execute Change Order NOV-001 with Stacy and Witbeck/Herzog JV in an amount of \$4,649,758 and a time extension of sixty (60) calendar days as presented. Director Arnold second. The motion carried 11-0-0. (Director Pahre absent).

**MOTION:** Director Hillmer moved to Adopt Resolution to amend the Fiscal Year 2018-19 budget to include \$5,200,000 in expenditure authority and corresponding revenue as presented. Director Lucan second. The motion carried 11-0-0. (Director Pahre absent).

**MOTION:** Director Mackenzie moved to Authorize the General Manager to execute a Funding Agreement with the City of Novato to include this additional work to complete the downtown Novato Station as presented. Director Arnold second. The motion carried 11-0-0. (Director Pahre absent).

13. Authorize the General Manager to Execute a First Amendment to SMART's Lease Agreement with Cornerstone Properties, SA, LLC, the owner of the building housing SMART's administrative functions in Petaluma

Chief Engineer Bill Gamlen requested approval for the General Manager Mansourian execute the First Amendment to SMART's Lease Agreement with Cornerstone Properties to reduce office space area. In September 2012, SMART entered into a 6-year lease for 28,112 square feet of office space for the Administrative Department and providing office space for the consultants and contractors.

The needs have changed, since many employees are located at the Rail Operations Center, Signal and Way Facility and Roblar Road Facility. SMART evaluated and determined that less office space is needed for the current and future staffing needs. The new proposed lease area is approximately \$17,324 square feet, which is about 38% reduction space. The amendment is for an additional four years, with no increase the first year and a 2.5% increase each additional year. SMART will pay for the tenant improvements and move cost. The move will take place in next the 60 days. The office consolidation will result in a savings of approximately \$1,170,000 the next four years.

#### Comments

Chair Fudge clarified the Board room is not affected and the use will remain the same.

Director Phillips asked for clarification of new lease cost for less square feet. Mr. Gamlen responded that there is no increase in cost per square feet.

Patricia Tuttle Brown asked if the tenant improvements are included in the savings amount. Mr. Mansourian responded that the tenant improvements of approximately \$150k will be deducted from the overall savings.

**MOTION:** Director Phillip moved to Authorize the General Manager to Execute a First Amendment to SMART's Lease Agreement with Cornerstone Properties, SA, LLC, the owner of the building housing SMART's administrative functions in Petaluma as presented. Director Rabbitt second. The motion carried 11-0-0. (Director Pahre absent).

General Manager Mansourian requested a brief recess at 2:21pm

Chair Fudge resumed Board meeting at 2:23pm

14. Update on Senate Bill 1029 North Coast Rail Authority (NCRA): Right-of-Way: Great Redwood Trail Agency: Sonoma-Marin Area Rail Transit

General Manager Mansourian stated that your Board on May 16, 2018 approved to support Senate Bill 1029 (SB 1029). Since that date, both the California Senate and the State Assembly approved the bill unanimously. It is pending approval from the Appropriations Committee. At this time, various agencies are negotiating an agreement to determine the financial debt obligations. SMART continues to work with Senator McGuire to ensure that SMART's financial interest are protected in the legislation.

#### Comments

Jack Swearingen asked where the rail ends and the trail begins. Mr. Mansourian responded that the current proposal states that SMART's right-of-way will extend from Downtown Healdsburg to Town of Willits. Another agency will be responsible north of Willits and South of Willits will be part of SMART and the interest is to have a Pathway constructed when funds become available.

Chair Fudge announced that the next regular meeting of the Board of Directors is September 19, 2018.

Chair Fudge adjourned the Board to closed session at 2:31PM on the following:

15. Closed Session - Conference with General Manager, Farhad Mansourian, pursuant to California Government Code Section 54956.8 regarding real estate property negotiations.  
Property: Sonoma-Marín Area Rail Transit District – RR Sq. property  
2 w. 3rd Street and 34 W. 6th St, Santa Rosa  
APN (s) #: 010-171-019, 010-166-003  
Negotiating Parties: Farhad Mansourian, Cornerstone Properties, Forma LLC,  
Laulima Development and Lyon Street Ventures LLC
16. Report out of Closed Session

Chair Fudge reported out of closed session at 3:00pm on the following:

Conference with General Manager, Farhad Mansourian, pursuant to California Government Code Section 54956.8 regarding real estate property negotiations.

Property: Sonoma-Marín Area Rail Transit District – RR Sq. property  
2 w. 3rd Street and 34 W. 6th St, Santa Rosa  
APN (s) #: 010-171-019, 010-166-003  
Negotiating Parties: Farhad Mansourian, Cornerstone Properties, Forma LLC,  
Laulima Development and Lyon Street Ventures LLC

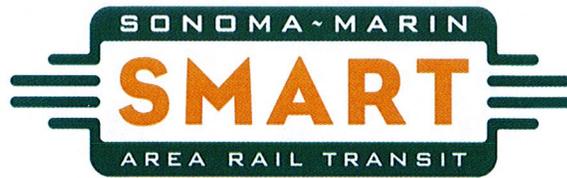
*Report Out: The Board Members authorized the General Manager to negotiate with the top two finalists.*

17. Next Regular Meeting Board of Directors, September 19, 2018 – 1:30 PM – 5401 Old Redwood Highway, 1<sup>st</sup> Floor, Petaluma, CA 94954
18. Adjournment – Meeting adjourned at 3:02pm.

Respectfully submitted,

Leticia Rosas-Mendoza  
Clerk of the Board

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



**Debora Fudge, Chair**  
Sonoma County Mayors and  
Councilmembers Association

September 19, 2018

**Judy Arnold, Vice Chair**  
Marin County Board of Supervisors

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

**Damon Connolly**  
Marin County Board of Supervisors

**Jim Eddie**  
Golden Gate Bridge,  
Highway/Transportation District

**SUBJECT:** Monthly Finance Reports

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

Dear Board Members:

**Eric Lucan**  
Transportation Authority of Marin

**RECOMMENDATION:** Information Item

**Jake Mackenzie**  
Sonoma Mayors and Councilmembers  
Association

**SUMMARY:**

This financial report shows transactions for the first two months of the fiscal year. Because of the lag time in sales tax receipts, the report does not reflect any sales tax as all receipts are booked toward the prior fiscal year. Spending is within overall budgetary authority as approved by your Board. The Capital budget reflects the addition of the Novato station work approved at your last Board meeting. Additional changes proposed this month will be added for the next monthly report.

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

**Gary Phillips**  
Transportation Authority of Marin

**David Rabbitt**  
Sonoma County Board of Supervisors

**Carol Russell**  
Sonoma Mayors and Councilmembers  
Association

Very truly yours,

Erin McGrath  
Chief Financial Officer

**Shirlee Zane**  
Sonoma County Board of Supervisors

**Farhad Mansourian**  
General Manager

Attachment(s): Monthly Financial Report  
Contract Summary

5401 Old Redwood Highway  
Suite 200  
Petaluma, CA 94954  
Phone: 707-794-3330  
Fax: 707-794-3037  
www.sonomamarintrain.org

**Sonoma-Marín Area Rail Transit District**  
**Monthly Finance Reports**  
*Through August 2018*

**Budget Report**

	FY 2018-19 Budget	YTD	Remaining Budget
<b>Revenues</b>			
<b>Administration</b>			
Sales/Use Taxes	\$ 26,703,833	\$ -	\$ 26,703,833
Interest Earnings	295,000	-	295,000
Rent - Real Estate	302,000	86,124	215,876
Miscellaneous Revenue	1,075,000	66	1,074,934
Subtotal	28,375,833	86,189	28,289,643
<b>Operations</b>			
Fund Balance	4,560,824	4,560,824	-
Sales/Use Taxes	11,418,499	-	11,418,499
Fare & Parking Revenue	3,690,000	763,096	2,926,904
State Grants	6,709,939	-	6,709,939
Other Charges	645,000	11,266	633,734
Subtotal	27,024,263	5,335,187	21,689,076
<b>Capital</b>			
Fund Balance	20,011,091	20,011,091	-
Federal Funds	24,535,682	-	24,535,682
State Grants	10,261,000	-	10,261,000
Other Governments/ Misc.	11,057,019	-	11,057,019
Measure M	228,000	-	228,000
MTC - RM2	3,211,740	-	3,211,740
Subtotal	\$ 69,304,532	\$ 20,011,091	\$ 49,293,441
<b>Revenue Total</b>	<b>\$ 124,704,628</b>	<b>\$ 25,432,468</b>	<b>\$ 99,272,160</b>
<b>Expenditures</b>			
<b>Administration</b>			
Salaries & Benefits	\$ 5,415,504	\$ 440,250	\$ 4,975,253
Services & Supplies	6,751,550	356,243	6,395,307
Machinery & Equipment	138,200	-	138,200
Debt Service/ Other Charges	16,095,850	-	16,095,850
Subtotal	28,401,104	796,493	27,604,610
<b>Operations</b>			
Salaries & Benefits	14,211,105	993,310	13,217,795
Services & Supplies	9,922,561	752,563	9,169,998
Buildings & Capital Improvements	2,890,597	77,310	2,813,287
Subtotal	27,024,263	1,823,182	25,201,080
<b>Capital</b>			
Salaries & Benefits	1,413,881	87,143	1,326,738
Services & Supplies	977,618	61,369	916,249
Other Charges	1,100,000	17,411	1,082,589
Machinery & Equipment	19,134,836	-	19,134,836
Infrastructure	46,678,197	230,999	46,447,198
Subtotal	\$ 69,304,532	\$ 396,922	\$ 68,907,610
<b>Expenditure Total</b>	<b>\$ 124,729,899</b>	<b>\$ 3,016,598</b>	<b>\$ 121,713,301</b>

**Sonoma-Marín Area Rail Transit District**  
**Monthly Finance Reports**  
*Through August 2018*

**Investment Report**

	<b>Amount</b>
<b>Bond Reserve Fund</b>	
Sonoma County Treasury Pool	\$ 17,239,620
<b>Interest Fund</b>	
Sonoma County Treasury Pool	3,231,259
<b>Project Fund</b>	
Sonoma County Treasury Pool	375,040
<b>Principal Fund</b>	
Sonoma County Treasury Pool	3,517,917
<b>SMART Operating Accounts</b>	
Bank of Marin	9,647,139
Sonoma County Treasury Pool	30,274,117
<b>Total</b>	<b>\$ 64,285,092</b>

**Capital Project Report**

	<b>Budget</b>	<b>Actual</b>	<b>Remaining</b>
<b>Additional Railcar Purchase</b>			
Revenues	\$ 11,000,000	\$ 550,000	\$ 10,450,000
Expenditures	\$ 11,000,000	\$ 550,000	\$ 10,450,000
<b>San Rafael to Larkspur Extension</b>			
Revenues	\$ 55,435,059	\$ 15,432,262	\$ 40,002,797
Expenditures	\$ 55,435,059	\$ 18,167,615	\$ 37,267,444



## Contract Summary

Active Contracts as of August 31, 2018

Contractor	Scope	Fiscal Year 18/19 Projected	Fiscal Year 18/19 Actuals-To-Date
A.J. Janitorial Service	Janitorial Services for Operations Facilities	\$17,935	\$2,760
A.J. Janitorial Service	SMART Station Janitorial and Related Services	\$78,600	\$12,200
Alcohol & Drug Testing Services, LLC	DOT Drug and Alcohol Testing	\$25,000	\$1,464
Alliant Insurance Services	Insurance Brokerage & Risk Management Services	\$83,256	\$8,256
Alstrom Transportation	DMU Collision-Damaged Repair Work and Overhauls	\$300,000	\$0
Aramark Uniform Services	Employee Uniform Provider and Cleaning Service	\$32,000	\$1,903
Asbury Environmental Services (AES)	Recycling & Disposal Service for Used Oil, Fuel Filters, Rags, and Related Equipment	\$8,156	\$0
Bettin Investigations	Background Investigations	\$10,000	\$816
Big Cat Advertising	Digital Advertisement Services	\$18,000	\$3,000
Burke, Williams & Sorensen, LLP	Litigation Support Services	\$150,000	\$0
Certified Employment Group	Temporary Staffing Services	\$6,200	\$730
DeAngelo Brothers, LLC (DBI Services)	Vegetation Abatement, Debris Removal, and Related Services	\$30,000	\$0
Dr. Mark Clementi	Pre-Employment Psychological Evaluations	\$25,000	\$3,095
eLock Technologies, LLC	Station Bike Lockers and Maintenance Services	\$11,280	\$2,820
Empire Cleaners	Uniform Dry-Cleaning, Laundering, and Related Services	\$27,000	\$2,761
Emtec Consulting Services, LLC	Oracle Accounting System Support Services	\$41,950	\$8,925
ePath Learning, Inc.	Cloud-Based Training / Learning Management Software	\$6,180	\$6,180
Everbridge, Inc.	Nixle Computer Software (Cloud-based)	\$16,000	\$0
George Hills Company, Inc.	Third Party Claims Administration Services	\$50,000	\$415
GHD, Inc.	SWPP Compliance, AutoCAD Management, Traffic and Hydraulic Analysis for CP4	\$60,000	\$7,875
Golden Gate Bridge, Highway and Transportation District	Customer Service Support Services	\$220,331	\$41,294
Golden Gate Bridge, Highway and Transportation District	Weekend Bus Service between San Rafael Transit Center and Larkspur Ferry	\$53,000	\$0
GP Crane & Hoist Services	Cal/OSHA Crane Inspection Services	\$8,341	\$0
Granicus, Inc.	Media Streaming & Internet Broadcasting Services	\$13,799	\$1,366
Hanford A.R.C.	Implementation and Monitoring Las Gallinas Creek Riparian Enhancement Plan	\$66,170	\$757
Heavy Equipment Transportation, Inc.	Transportation Services for Heavy Machinery and Equipment	\$1,180	\$0
Holland Company	Track Geometry and Measurement Services	\$24,000	\$0
Hulcher Services, Inc.	Derailment & Hazmat Services	\$40,000	\$0
Innovative Business Solutions	Payroll Processing Services	\$26,373	\$3,638
Industrial Railways Company	Provision of Ballast Car, Operator to Load Ballast Car	\$89,621	\$0
Intellectra, Inc.	Internet/Cellular Tower Maintenance Services	\$39,414	\$2,750
Intelligent Technology Solutions, Inc.	Maximo MMS Implementation and Support Services	\$133,911	\$0
James Flageollet	Legal Services	\$84,503	\$9,750
Lescure Company, Inc.	Train Wash Re-Design	\$20,000	\$0
LTK Engineering Services	Vehicle and Systems Design and Construction Management Services	\$317,075	\$11,004
Managed Health Network	Employee Assistance Program (EAP) Services	\$4,800	\$0
Masabi LLC	SMART Mobile Ticketing Pilot Project	\$58,730	\$4,900
MaxAccel	Compliance Management Software Design/Implementation/Asset Management	\$12,867	\$2,000
Maze & Associates	Financial Audit Services	\$49,850	\$0
MGridner, LLC	Project Management Services	\$100,000	\$3,452
Netwoven Inc.	Design Information Architecture for Document and Project Management Technology	\$4,927	\$3,596
Netwoven Inc.	SharePoint Maintenance, Support, Implementation, and Related Services	\$99,000	\$0
North Bay SAP Services	Substance Abuse Professional Services	\$3,800	\$0
Nossaman LLP	Legal Services - Railroad Regulatory Issues & Transit Capital Projects	\$67,736	\$0
Occupational Health Centers of CA	Pre-Employment Evaluation Services	\$3,687	\$938
Ojo Technology, Inc.	Installation of Security Access Control Systems at ROC and SMART Headquarters	\$70,715	\$0
Parodi Investigative Solutions	Pre-Employment Background Investigation Services	\$20,000	\$0
Paychex	Payroll Processing Services	\$4,800	\$0
Pivotal Vision, LLC	Security Software Licensing	\$2,200	\$0
Platinum Advisors, LLC	State Legislative Advocacy Services	\$60,000	\$10,000

Contractor	Scope	Fiscal Year 18/19 Projected	Fiscal Year 18/19 Actuals-To-Date
Portola Systems, Inc.	SMART Station Network Configuration Services	\$116,207	\$108,826
Precision Wireless	Tech Support and Maintenance for Land Mobile Radio	\$30,000	\$0
RailPros, Inc.	Professional Engineering Services for Larkspur Extension	\$472,000	\$25,278
Santa Rosa Fire Equipment Service, Inc.	SMART Fire Equipment Maintenance	\$10,000	\$0
ServPro of Lake Mendocino and Sonoma County	Biohazard Clean-Up and Hazmat Services	\$22,004	\$0
Sonoma County Fleet Operation Division	Non-Revenue Fleet Maintenance Services	\$71,047	\$2,205
Sonoma County Probation Department	Right-of-Way Vegetation Control, Brush and Debris Removal, and Homeless Camp Clean-up	\$50,000	\$0
Sperry Rail Service	Rail Flaw Detection Services	\$13,125	\$0
SPTJ Consulting	Network Infrastructure, Security, Migration and Setup Services	\$396,630	\$19,238
Stacy and Witbeck	Railroad Track Maintenance, Alignment, and Restoration	\$221,888	\$0
Stacy and Witbeck/Herzog, JV	Design/Build Construction of Civil, Track & Structures Improvements of Larkspur Extension	\$35,799,878	\$2,689,498
Stacy and Witbeck/Herzog, JV	Design/ Build Construction of Civil, Track & Structures Improvements of IOS-1	\$250,000	\$0
Stantec Consulting Services, Inc.	Environmental Permit Management and Construction Compliance Monitoring	\$48,000	\$0
Sue Evans	Real Estate Support Services	\$50,000	\$7,035
Sumitomo Corporation	Manufacture & Delivery of Rail Vehicles	\$17,714,836	\$0
Summit Signal, Inc.	Emergency Call-Out Services for Track and Signals	\$10,000	\$0
Swiftly, Inc.	AVL Mobile Application and Website Interface	\$8,500	\$0
The GBS Group	Internet Connectivity (Wi-Fi) for SMART Trains	\$226,780	\$82,029
United Mechanical Incorporated	HVAC Maintenance Services at SMART Facilities	\$19,320	\$0
Van Scoyoc Associates	Federal Legislative Advocacy Services	\$33,125	\$0
VenTek Transit Inc.	Fare Vending Machine Operations and Maintenance Services	\$233,956	\$37,136
Viewu	Cloud-Based Storage of Security Data	\$1,080	\$0
West Coast Arborists, Inc.	Tree Trimming, Removal, and Related Services	\$50,000	\$0
William Campagna	Disability Access Consultant Services	\$12,000	\$0
WRA Environmental Consultants	Environmental Permitting, Management, & Support Services	\$79,000	\$31,627
	<b>Totals</b>	\$58,636,763	\$3,161,517

\*Actuals-To-Date includes invoices that have been approved as of August 31, 2018, but may not have been processed in SMART's Financial System.



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

**Judy Arnold, Vice Chair**  
Marin County Board of Supervisors

**Damon Connolly**  
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Sonoma County Board of Supervisors

**Farhad Mansourian**  
General Manager  
  
5401 Old Redwood Highway  
Suite 200  
Petaluma, CA 94954  
Phone: 707-794-3330  
Fax: 707-794-3037  
www.sonomamarintrain.org

September 19, 2018

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

**SUBJECT:** Approval of Certified Employment Group Contract Amendment  
No. 3

Dear Board Members:

**RECOMMENDATION:**  
Authorize the General Manager to execute Contract Amendment No. 3  
with Certified Employment Group for Temporary Staffing Services in the  
amount of \$25,000 for a contract not to exceed amount of \$158,233.

**SUMMARY:**  
Since July of 2015, Certified Employment Group has assisted SMART with  
a number of temporary staffing needs in both the Administration and  
Operations Departments. Currently the District contracts with Certified  
Employment Group for temporary staffing assistance with purchasing and  
equipment procurement. Due to an increased volume of purchasing  
needs, the District anticipates the need for additional temporary staffing  
services in this area. We recommend that the District amend the current  
contract with Certified Employment Group by an amount of \$25,000 for a  
not to exceed amount of \$158, 233.

**FISCAL IMPACT:** Funding for temporary staffing is included in the budget  
for the 2018-2019 fiscal year.

**REVIEWED BY:** [ X ] Finance  [ X ] Legal 

Very truly yours,  
  
Lisa Hansley  
Human Resources Manager

c: Certified Employment Group Contract Amendment No. 3

**THIRD AMENDMENT TO AGREEMENT FOR CONSULTANT SERVICES  
BETWEEN THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT  
AND CERTIFIED EMPLOYMENT GROUP**

This Third Amendment dated as of September 19, 2018 (the “Second Amendment”) to the Agreement for Consultant Services by and between the Sonoma-Marin Area Rail Transit District (“SMART”) and Certified Employment Group (“CONSULTANT”), dated as of July 27, 2015 (the “Original Agreement,” and as amended by the First Amendment, Second Amendment, and this Third Amendment, the “Agreement”).

**RECITALS**

WHEREAS, SMART and CONSULTANT previously entered into the Original Agreement to provide temporary staffing services, Direct Hire Search Services, and computer skills testing; and

WHEREAS, SMART desires to increase the amount of the Agreement by \$25,000 for a total not-to-exceed amount of \$158,233.

NOW, THEREFORE, in consideration of the recitals set forth above and the covenants contained herein, it is mutually agreed by and between the parties that:

**AGREEMENT**

1. **“PRICING/FEES AND BILL RATES”** Section of the Agreement is amended as follows:

The Agreement amount shall be increased by \$25,000.00 for the provision of services, with a total not-to-exceed amount of \$158,233.

Except to the extent the Agreement is specifically amended or supplemented hereby, the Agreement, together with all supplements, amendments and exhibits thereto is, and shall continue to be, in full force and effect as originally executed, and nothing contained herein shall, or shall be construed to, modify, invalidate, or otherwise affect any provision of the Agreement.

**IN WITNESS WHEREOF**, the parties hereto have executed this Third Amendment as set forth below.

**SONOMA-MARIN AREA RAIL TRANSIT DISTRICT**

Dated: \_\_\_\_\_

By \_\_\_\_\_  
Farhad Mansourian, General Manager

**CERTIFIED EMPLOYMENT GROUP**

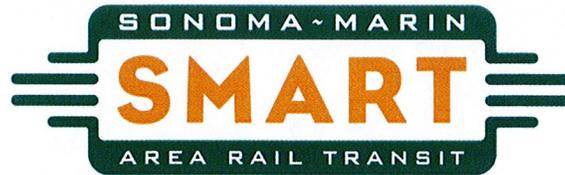
Dated: \_\_\_\_\_

By \_\_\_\_\_  
Its \_\_\_\_\_

**APPROVED AS TO FORM:**

Dated: \_\_\_\_\_

By \_\_\_\_\_  
District Counsel



September 19, 2018

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

**Judy Arnold, Vice Chair**  
 Marin County Board of Supervisors

**Damon Connolly**  
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Sonoma-Marina Area Rail Transit Board of Directors  
 5401 Old Redwood Highway, Suite 200  
 Petaluma, CA 94954

**SUBJECT:** Amendment to SMART Salary Ranges and Position Allocation  
 Authorizations – Programming and Grants Manager

Dear Board Members:

**RECOMMENDATION:**

Adopt Resolution Number 2018-15 to amend the budgeted Administrative position authorizations to adjust the salary range for the Programming and Grants Manager position in Fiscal Year 2018-19.

**SUMMARY:**

The District's Authorized Personnel Allocations for Fiscal Year 2018-19 include one full-time Programming and Grants Manager position. This position plays a crucial role in our growth as it is responsible for identifying, securing and managing grant and other external funding opportunities for the District's Capital and Operating programs. Since 2011, we have been successful in securing over \$280 million for SMART capital and operating projects. As we have successfully transitioned to operations, we are evaluating our organizational structures to ensure that staffing meets the daily needs of the District. As a result, we are consolidating our Grants, Programming and Planning functions, with our Programming and Grants Manager responsible for overseeing both. A recent salary survey of local transit agencies found that the current authorized salary range was below average for the area given the scope of responsibility for the position.

In light of the labor market and the increased responsibilities we recommend increasing the budgeted salary range for the position by five percent.

	Bottom of Range	Top of Range
Current Salary Range	\$130,354	\$158,434
Requested Salary Range	\$136,942	\$166,454
Change	\$6,588	\$8,020

**FISCAL IMPACT:** Adjusting the top step of the position will result in an increased cost of \$10,426 in salaries and benefits which will be absorbed within the Fiscal Year 2018-19 budget.

**REVIEWED BY:**  Finance   Counsel 

Very truly yours,



**Lisa Hansley**  
**Human Resources Manager**

**Attachment(s):** Resolution No. 2018-15 Amending the Authorized Personnel and Salary Allocations for Fiscal Year 2018-19

**RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT AMENDING RESOLUTION NO. 2018-12 TO REVISE THE ANNUAL BUDGET FOR FISCAL YEAR 2018-19 TO PROVIDE FOR REVISED POSITION AUTHORITY**

---

**WHEREAS**, as part of its approval of the Annual Budget for Fiscal Year 2018-19, the Board duly considered the annual expenditures necessary for the Sonoma-Marin Area Rail Transit District; and

**WHEREAS**, on June 6, 2018, the Board adopted Resolution No. 2018-12 approving the annual budget for Fiscal Year 2018-19; and

**WHEREAS**, Resolution No. 2018-12 considered the creation of employee positions and fixed the compensation and salary for those positions; and

**WHEREAS**, the Board desires to Amend the Annual Budget to provide the revised position authority and to increase appropriation authority for increased salary and benefit expenditures.

**NOW, THEREFORE, BE IT RESOLVED THAT THE** Fiscal Year 2018-19 Budget for the Sonoma-Marin Area Rail Transit District attached as Exhibit A to Resolution 2018-XX is hereby amended to revise Table 5, Fiscal Year 2018-19 Proposed Position Authorizations, to reflect position revisions as shown below:

Position	FTE	Annual		Hourly	
		Low	High	Low	High
Programming and Grants Manager	1	\$136,942	\$166,454	\$65.84	\$80.03

**BE IT FURTHER RESOLVED** except as specifically amended or supplemented by this Resolution, Resolution No. 2018-12, together with all supplements, amendments and exhibits thereto is, and shall continue to be, in full force and effect as originally adopted, and nothing contained herein shall, or shall be construed to, modify, invalidate or otherwise affect any provision of Resolution No. 2018-12.

**Resolution No. 2018-15**  
**Sonoma-Marín Area Rai Transit District**  
**September 19, 2018**

**PASSED AND ADOPTED** at a regular meeting of the Board of Directors of the Sonoma-Marín Area Rail Transit District held on the 19<sup>th</sup> day of September, 2018, by the following vote:

**DIRECTORS:**

AYES:

NOES:

ABSENT:

ABSTAIN:

---

Debora Fudge, Chair, Board of Directors  
Sonoma-Marín Area Rail Transit District

ATTEST:

---

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



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

**Judy Arnold, Vice Chair**  
 Marin County Board of Supervisors

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September 19, 2018

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

**SUBJECT:** Support Senate Bill 1119 (Beall) to amend the Low Carbon Transit Operations Program.

Dear Board Members:

**RECOMMENDATIONS:**

Adopt a support position on Senate Bill 1119 and send support letter to Governor's Office.

**SUMMARY:**

Senate Bill 1119 (Beall) has passed the California Legislature and is on the Governor's desk awaiting signature. The legislation will modify the rules of the Low Carbon Transit Operations Program (LCTOP), regarding expenditures benefiting State-recognized Disadvantaged Communities (DAC). LCTOP is one of the funding sources the SMART District is eligible to receive by formula now that we are in passenger revenue service and SMART has received \$141,995 in Fiscal Year 2018. Currently the LCTOP law requires 50% of funds to be spent within the DAC in a manner approved by the Air Resources Board. The administrative cost to document that expenditure is significant enough for some operators, including SMART, that it shifts the benefit of these funds away from transit riders.

The State categorizes communities as disadvantaged via the Air Resources Board's Cal EnviroScreen tool. In the middle of Fiscal Year 2018, the third iteration of Cal Enviro Screen was released to the public. With this version 3.0, for the first time, SMART's service area included a Disadvantaged Community, a single Census tract in the Southwest Santa Rosa area. SMART's Annual Budget for Fiscal Year 2018 had already been adopted assuming that this first year of SMART's receipt of formula LCTOP funds would support transit operations and transit pass programs. This use of LCTOP funds was endorsed by resolution by Your Board in March 2018.

The modifications allowed by this SB1119 legislation will in general allow transit operators greater flexibility in using these funds. In particular, the legislation will allow for the funds to be used for new or expanded transit service connecting to other transit services serving the Disadvantaged Community and for transit fare subsidies, such as transit passes. In SMART's case, this legislation will streamline administration of the funds, enable deployment of all of these funds into transit operations for use by the public, and ensure efficient use of tax payer resources.

**FISCAL IMPACT:** SB1119 would allow SMART to more efficiently administer and utilize grant funds for their intended purpose.

Very truly yours,

A handwritten signature in black ink, appearing to read 'Joanne Parker', is written over a circular stamp or seal.

Joanne Parker  
Programming and Grants Manager

Attachments:     1) Draft Letter to Governor Supporting SB1119  
                      2) SB1119 Legislation (modifications highlighted)



September 19, 2018

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

**Judy Arnold, Vice Chair**  
Marin County Board of Supervisors

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The Honorable Jerry Brown  
Governor, State of California  
State Capitol, Suite 1173  
Sacramento, CA 95814

**RE: SB 1119 (Beall) – SUPPORT Low-Carbon Transit Operations Program**

Dear Governor Brown:

On behalf of the Sonoma-Marin Area Rail Transit District (SMART), I write to you today to request that you **SIGN** SB 1119 (Beall), which would provide flexibility within the Low-Carbon Transit Operations Program (LCTOP). As a new operating transit agency, SMART is using this Greenhouse Gas Reduction Fund (GGRF)-supported program in support of transit passes. In Fiscal Year 2018 we received our first allocation of LCTOP funds of approximately \$142,000, or just over .5% of our annual operating budget. This also happened to be the first year that our service area had a State-designated Cal EnviroScreen 3.0 disadvantaged community appear in one census tract located in Southwest Santa Rosa.

Because under current law, the LCTOP requires that a transit system with a disadvantaged community within its service area spend at least 50 percent of its formula share to benefit that community, the new appearance of this one census tract meant we had to completely reorganize where we had intended to spend these LCTOP formula funds. For years we had planned to use these modest funds to launch our passenger services, as allowed by the program. The new designation of the disadvantaged community in our area meant that we had to carry an additional administrative burden and expense of tracking funds to benefits in the new disadvantaged census tract.

We appreciate the need to invest in all communities struggling financially, particularly after experiencing the impacts of the 2017 October firestorms. We have already invested directly into our disadvantaged community by building a non-motorized pathway in our right of way and maintaining that greenhouse-gas-reducing facility as part of our railway day-to-day operations. We were not allowed to use LCTOP funds on this operating expense, however.

We encourage you to sign SB 1119 (Beall) as it would allow us the flexibility to continue to put environmentally friendly transportation options out for public consumption more efficiently and with as little administrative expense as possible. Thank you for your consideration.

Sincerely,

Debora Fudge  
Chair, Board of Directors

**Senate Bill No. 1119**

\_\_\_\_\_

Passed the Senate August 28, 2018

\_\_\_\_\_

*Secretary of the Senate*

\_\_\_\_\_

Passed the Assembly August 27, 2018

\_\_\_\_\_

*Chief Clerk of the Assembly*

\_\_\_\_\_

This bill was received by the Governor this \_\_\_\_\_ day  
of \_\_\_\_\_, 2018, at \_\_\_\_\_ o'clock \_\_\_\_M.

\_\_\_\_\_

*Private Secretary of the Governor*

## CHAPTER \_\_\_\_\_

An act to amend Section 75230 of the Public Resources Code, relating to transportation.

## LEGISLATIVE COUNSEL'S DIGEST

SB 1119, Beall. Low Carbon Transit Operations Program.

Existing law requires all moneys, except for fines and penalties, collected by the State Air Resources Board as part of a market-based compliance mechanism to be deposited in the Greenhouse Gas Reduction Fund and to be available upon appropriation. Existing law continuously appropriates specified portions of the annual proceeds in the fund to various programs, including 5% for the Low Carbon Transit Operations Program, administered by the Department of Transportation, which provides operating and capital assistance for transit agencies to reduce greenhouse gas emissions and improve mobility.

Existing law requires, for recipient transit agencies whose service areas include disadvantaged communities, as specified, that those recipient transit agencies expend at least 50% of the total moneys they received as part of the Low Carbon Transit Operations Program on projects or services that meet specified requirements and benefit those disadvantaged communities.

This bill would waive the above requirement if the recipient transit agencies expend the funding provided on certain transit activities.

*The people of the State of California do enact as follows:*

SECTION 1. Section 75230 of the Public Resources Code is amended to read:

75230. (a) The Low Carbon Transit Operations Program is hereby created to provide operating and capital assistance for transit agencies to reduce greenhouse gas emissions and improve mobility, with a priority on serving disadvantaged communities.

(b) Funding for the program is continuously appropriated pursuant to Section 39719 of the Health and Safety Code from the

Greenhouse Gas Reduction Fund established pursuant to Section 16428.8 of the Government Code.

(c) Funding shall be allocated by the Controller on a formula basis consistent with the requirements of this part and with Section 39719 of the Health and Safety Code, upon a determination by the Department of Transportation that the expenditures proposed by a recipient transit agency meet the requirements of this part and guidelines developed pursuant to this section, and that the amount of funding requested is currently available.

(d) A recipient transit agency shall demonstrate that each expenditure of program moneys allocated to the agency reduces greenhouse gas emissions.

(e) A recipient transit agency shall demonstrate that each expenditure of program moneys does not supplant another source of funds.

(f) Moneys for the program shall be expended to provide transit operating or capital assistance that meets any of the following:

(1) Expenditures that directly enhance or expand transit service by supporting new or expanded bus or rail services, new or expanded water-borne transit, or expanded intermodal transit facilities, and may include equipment acquisition, fueling, and maintenance, and other costs to operate those services or facilities.

(2) Operational expenditures that increase transit mode share.

(3) Expenditures related to the purchase of zero-emission buses, including electric buses, and the installation of the necessary equipment and infrastructure to operate and support these zero-emission buses.

(g) (1) For recipient transit agencies whose service areas include disadvantaged communities, as identified pursuant to Section 39711 of the Health and Safety Code, at least 50 percent of the total moneys received pursuant to this chapter shall be expended on projects or services that meet the requirements of subdivisions (d), (e), and (f) and benefit the disadvantaged communities, as identified consistent with the guidance developed by the State Air Resources Board pursuant to Section 39715.

(2) The requirement of paragraph (1) is waived if the recipient transit agencies expend the funding provided pursuant to this section on any of the following:

(A) New or expanded transit service that connects with transit service serving disadvantaged communities, as identified in Section

39711 of, or in low-income communities, as defined in paragraph (2) of subdivision (d) of Section 39713 of, the Health and Safety Code.

(B) Transit fare subsidies and network and fare integration technology improvements, including, but not limited to, discounted or free student transit passes.

(C) The purchase of zero-emission transit buses and supporting infrastructure.

(3) Expenditures made pursuant to paragraph (2) shall be deemed to have met all applicable requirements established pursuant to Section 39713 of the Health and Safety Code.

(4) This section does not require a recipient transit agency to provide individual rider data to the Department of Transportation or the State Air Resources Board.

(h) The Department of Transportation, in coordination with the State Air Resources Board, shall develop guidelines that describe the methodologies that recipient transit agencies shall use to demonstrate that proposed expenditures will meet the criteria in subdivisions (d), (e), (f), and (g) and establish the reporting requirements for documenting ongoing compliance with those criteria.

(i) Chapter 3.5 (commencing with Section 11340) of Part 1 of Division 3 of Title 2 of the Government Code does not apply to the development of guidelines for the program pursuant to this section.

(j) A recipient transit agency shall submit the following information to the Department of Transportation before seeking a disbursement of funds pursuant to this part:

(1) A list of proposed expense types for anticipated funding levels.

(2) The documentation required by the guidelines developed pursuant to this section to demonstrate compliance with subdivisions (d), (e), (f), and (g).

(k) For capital projects, the recipient transit agency shall also do all of the following:

(1) Specify the phases of work for which the agency is seeking an allocation of moneys from the program.

(2) Identify the sources and timing of all moneys required to undertake and complete any phase of a project for which the

recipient agency is seeking an allocation of moneys from the program.

(3) Describe intended sources and timing of funding to complete any subsequent phases of the project, through construction or procurement.

(l) A recipient transit agency that has used program moneys for any type of operational assistance allowed by subdivision (f) in a previous fiscal year may use program moneys to continue the same service or program in any subsequent fiscal year if the agency can demonstrate that reductions in greenhouse gas emissions can be realized.

(m) Before authorizing the disbursement of funds, the Department of Transportation, in coordination with the State Air Resources Board, shall determine the eligibility, in whole or in part, of the proposed list of expense types, based on the documentation provided by the recipient transit agency to ensure ongoing compliance with the guidelines developed pursuant to this section.

(n) The Department of Transportation shall notify the Controller of approved expenditures for each recipient transit agency, and the amount of the allocation for each agency determined to be available at that time of approval.

(o) A recipient transit agency that does not submit an expenditure for funding in a particular fiscal year may retain its funding share, and may accumulate and utilize that funding share in a subsequent fiscal year for a larger expenditure, including operating assistance. The recipient transit agency must first specify the number of fiscal years that it intends to retain its funding share and the expenditure for which the agency intends to use these moneys. A recipient transit agency may only retain its funding share for a maximum of four years.

(p) A recipient transit agency may, in any particular fiscal year, loan or transfer its funding share to another recipient transit agency within the same region for any identified eligible expenditure under the program, including operating assistance, in accordance with procedures incorporated by the Department of Transportation in the guidelines developed pursuant to this section, which procedures shall be consistent with the requirement in subdivision (g).

(q) A recipient transit agency may apply to the Department of Transportation to reassign any savings of surplus moneys allocated

under this section to the agency for an expenditure that has been completed to another eligible expenditure under the program, including operating assistance. A recipient transit agency may also apply to the Department of Transportation to reassign to another eligible expenditure any moneys from the program previously allocated to the agency for an expenditure that the agency has determined is no longer a priority for the use of those moneys.

(r) The recipient transit agency shall provide annual reports to the Department of Transportation, in the format and manner prescribed by the department, consistent with the internal administrative procedures for the use of the fund proceeds developed by the State Air Resources Board.

(s) The Department of Transportation and recipient transit agencies shall comply with the guidelines developed by the State Air Resources Board pursuant to Section 39715 of the Health and Safety Code to ensure that the requirements of Section 39713 of the Health and Safety Code are met to maximize the benefits to disadvantaged communities as described in Section 39711 of the Health and Safety Code.

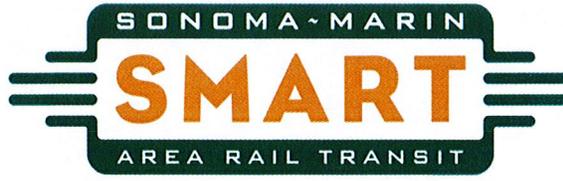
(t) A recipient transit agency shall comply with all applicable legal requirements, including the requirements of the California Environmental Quality Act (Division 13 (commencing with Section 21000)), and civil rights and environmental justice obligations under state and federal law. Nothing in this section shall be construed to expand or extend the applicability of those laws to recipient transit agencies.

(u) The audit of public transportation operator finances already required under the Transportation Development Act (Chapter 4 (commencing with Section 99200) of Part 11 of Division 10 of the Public Utilities Code) pursuant to Section 99245 of that code shall be expanded to include verification of receipt and appropriate expenditure of moneys from the program. Each recipient transit agency receiving moneys from the program in a fiscal year for which an audit is conducted shall transmit a copy of the audit to the Department of Transportation, and the department shall make the audits available to the Legislature and the Controller for review on request.

Approved \_\_\_\_\_, 2018

---

*Governor*



September 19, 2018

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

**Judy Arnold, Vice Chair**  
 Marin County Board of Supervisors

**Damon Connolly**  
 Marin County Board of Supervisors

**Jim Eddie**  
 Golden Gate Bridge,  
 Highway/Transportation District

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

**Eric Lucan**  
 Transportation Authority of Marin

**Jake Mackenzie**  
 Sonoma County Mayors' and  
 Councilmembers Association

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

**Gary Phillips**  
 Transportation Authority of Marin

**David Rabbitt**  
 Sonoma County Board of Supervisors

**Carol Russell**  
 Sonoma County Mayors' and  
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**Shirlee Zane**  
 Sonoma County Board of Supervisors

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 General Manager

5401 Old Redwood Highway  
 Suite 200  
 Petaluma, CA 94954  
 Phone: 707-794-3330  
 Fax: 707-794-3037  
 www.sonomamarintrain.org

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

**SUBJECT:** Sonoma-Marín Area Rail Transit District 2018 Title VI  
 Program and Nondiscrimination Policy

Dear Board Members:

**RECOMMENDATIONS:**

Approve Resolution Number 2018-20 authorizing the following:

- 1) Reaffirmation and updating of the SMART Title VI Program and Nondiscrimination Policy;
- 2) Submittal of the document to the Federal Transit Administration; and
- 3) Allowing the General Manager authority to make non-policy and administrative changes to the SMART Title VI Program as needed, with changes reported to the Board.

**SUMMARY:**

In June 2015, SMART was approved by the Federal Transit Administration (FTA) as eligible to be a direct recipient of FTA federal grant funds. With the FTA Direct Grantee status comes requirements to implement a number of programs, policies and procedures. In July 2015, Your Board adopted SMART's first *Title VI Program and Nondiscrimination Policy*, formalizing SMART's compliance with federal Title VI of the Civil Rights Act of 1964. This policy and document are presented to Your Board every three years for updating and reaffirmation, per FTA guidance.

Title VI (42 U.S.C. §2000 et seq.) was enacted as part of the landmark Civil Rights Act of 1964. It prohibits discrimination on the basis of race, color, and national origin in programs and activities receiving federal financial assistance. In addition to Title VI, several Presidential Executive Orders address federal protections for those with limited English proficiency, the rights of women, the elderly and disabled, and environmental justice for minority and low-income communities. Other civil rights provisions prohibit discrimination on the basis of religion, family status, sexual orientation or gender identity. *SMART's Nondiscrimination Policy* is generally intended to serve as an umbrella policy covering all persons.

In order to comply with the FTA Title VI Circular (FTA C 4702. 1B) guidelines governing grantee Title VI Program requirements, SMART is required to develop several brief plans and adopt several policies.

Those elements of a Title VI Program include a Nondiscrimination Policy, a Public Participation Plan, a Limited English Proficiency Plan, System-Wide Service and Standards Policies, and a Title VI Complaint and Reporting Process. In 2015, Your Board adopted these processes, plans, policies and standards that were created by SMART staff based on common industry standards applied to the new SMART transit system. The FTA's Office of Civil Rights accepted the 2015 program with compliments to SMART on the program's thoroughness and completeness and notified SMART that our next triennial Title VI Program would be due to the FTA by October 1, 2018.

The re-affirmed and updated triennial Title VI Program, per FTA requirements, must be approved by a resolution of the Board and transmitted to FTA's Office of Civil Rights for acceptance. As part of this ongoing Title VI Program, SMART will certify compliance with Title VI on an annual basis directly within the FTA's electronic grants system. Administrative changes to this Title VI Program may occur if Federal requirements change or should FTA request or require any modifications after initial review of the program. We will report to the Board if any such changes become necessary.

**FISCAL IMPACT:** There is no direct fiscal impact that will result from the adoption of the resolutions confirming the results of the monitoring program and equity analysis, and approving the entire Title VI Program.

**REVIEWED BY:**  Finance 

Counsel 

Very truly yours,



Joanne Parker  
Programming and Grants Manager

- Attachments: 1) Resolution No. 2018-20  
2) Draft 2018 SMART Title VI Program and Nondiscrimination Policy

**RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT ADOPTING A TITLE VI PROGRAM AND NONDISCRIMINATION POLICY**

---

**WHEREAS**, Title VI (codified at 42 U.S.C. §2000d et seq.) of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, and national origin in programs and activities receiving federal financial assistance; and

**WHEREAS**, the Federal Transit Administration (FTA) issued Title VI Circular 4702.IB, effective October 1, 2012, setting forth requirements and guidelines for Title VI compliance; and

**WHEREAS**, the FTA has made a determination that SMART is an eligible direct recipient of FTA funds and is required to have in place a Title VI program that ensures that the level and quality of public transportation service is provided in a nondiscriminatory manner, promotes full and fair participation in public transportation decision-making without regard to race, color or national origin, and ensures meaningful access to transit-related programs and activities by persons with limited English proficiency; and

**WHEREAS**, the above-referenced Circular requires SMART's Board of Directors to approve SMART's Title VI Program before it is submitted to the FTA; and

**WHEREAS**, the above-referenced Circular details required elements of the Title VI Program, which each recipient of FTA assistance must submit to the FTA triennially; and

**WHEREAS**, SMART's Title VI Program contains those required elements and was adopted by the SMART Board in July 2015, by Resolution Number 2015-13; and

**WHEREAS**, SMART's triennial update to the Title VI Program is set forth in the attached Exhibit A entitled "2018 Title VI Program and Nondiscrimination Policy"; and

**WHEREAS**, SMART's Title VI Program and Nondiscrimination Policy is being presented for Board consideration and approval.

**NOW, THEREFORE, BE IT RESOLVED THAT THE** Board of Directors of the Sonoma-Marín Area Rail Transit District has reviewed, considered and approves SMART's overall 2018 Title VI Program and Nondiscrimination Policy; and

**BE IT FURTHER RESOLVED** that the Board of Directors authorizes the General Manager, or a designee, to:

- 1) Submit the SMART 2018 Title VI Program and Nondiscrimination Policy to the FTA; and
- 2) Include evidence of the Board's consideration and approval of the 2018 SMART Title VI Program; and
- 3) Authorizes the SMART General Manager to make non-policy and administrative modifications to implement SMART's 2018 Title VI Program and Nondiscrimination Policy as required by the FTA or as necessary and to report those modifications to the Board.

**PASSED AND ADOPTED** at a regular meeting of the Board of Directors of the Sonoma-Marín Area Rail Transit District held on the 19<sup>th</sup> day of September, 2018, by the following vote:

**DIRECTORS:**

AYES:

NOES:

ABSENT:

ABSTAIN:

---

Debora Fudge, Chair, Board of Directors  
Sonoma-Marín Area Rail Transit District

ATTEST:

---

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



# Sonoma-Marín Area Rail Transit District

## Title VI Program and Nondiscrimination Policy

BOARD OF DIRECTORS  
SEPTEMBER 19, 2018



## Board of Directors

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

Judy Arnold, Vice Chair  
*Marin County Board of Supervisors*

Damon Connolly  
*Marin County Board of Supervisors*

Jim Eddie  
*Golden Gate Bridge, Highway and  
Transportation District*

Dan Hillmer  
*Marin County Council of Mayors and  
Councilmembers*

Eric Lucan  
*Transportation Authority of Marin*

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*Transportation Authority of Marin*

David Rabbitt  
*Sonoma County Board of Supervisors*

Carol Russell  
*Sonoma County Mayors and Councilmembers  
Association*

Shirlee Zane  
*Sonoma County Board of Supervisors*

## District Management

Farhad Mansourian  
*General Manager*

Erin McGrath  
*Chief Financial Officer*

## Citizens Oversight Committee

Russ Colombo, Chair  
Steve Birdlebough  
Peter Breen  
Dennis Harter  
Patricia Kendall  
David Oster  
Steve Rabinowitsh  
Tanya Narath, alternate  
Julia Violich, alternate



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# SMART'S TITLE VI PROGRAM INTRODUCTION

## **SMART District and Project Background**

The SMART District was created by an act of the California Legislature with the passage of AB2224, also known as the Sonoma-Marín Area Rail Transit District Act, effective January 1, 2003, and codified in the Public Utilities Code section 105000, et. seq. The SMART District boundaries include all of Marin and Sonoma Counties. The SMART project involves rebuilding and operating a 70-mile commuter rail service within the publicly owned SMART right of way through Marin and Sonoma counties. The rail facility is a single-track facility with passing sidings and gauntlet tracks at stations to accommodate freight trains along the corridor. The project includes full implementation of Positive Train Control. The passenger rail project will ultimately extend 70-miles from Cloverdale in northern Sonoma County, to Larkspur in Marin County. A map of the project is shown in *Figure 1*.

A locally funded 43-mile first phase of the project was opened to public passenger service in Summer 2017. This first phase operates between Downtown San Rafael in the south and Sonoma County Airport Boulevard in the north. These two stations and the eight stations in between include all of the major employment and population centers in the two counties. The ten Phase 1 stations are located in San Rafael, Novato, Petaluma, Cotati, Rohnert Park, and Santa Rosa. Construction on a two-mile southern extension between Downtown San Rafael and Larkspur began in late 2017 and that service is anticipated to open to the public by late 2019. A northern extension to Windsor is anticipated to begin construction in mid- 2019 with a revenue service date estimated for late 2021. The complete buildout of the commuter rail project includes fifteen stations on the 70-mile route between Cloverdale and Larkspur.



## **SMART's Title VI Program and Nondiscrimination Policy Background**

The SMART District is committed to ensuring that no person is excluded from participation in, or denied the benefits of its transit services on the basis of race, color or national origin, as protected by Title VI of the Civil Rights Act of 1964. Effective July 2015, the Sonoma-Marín Area Rail Transit District (SMART) has been designated a Federal Transit Administration (FTA) grantee (direct recipient of FTA grant funds). As an FTA direct grantee, SMART is required to have policies and processes in place pursuant to Title VI of the Civil Rights Act of 1964 to meet the following objectives:

- Ensure that the level and quality of public transportation service is provided without regard to race, color, or national origin;
- Promote full and fair participation in public transportation decision-making without regard to race, color, or national origin;
- Ensure meaningful access to transit-related programs and activities by persons with limited English proficiency.

This SMART Title VI Program and Nondiscrimination Policy is intended to demonstrate compliance with the transit provider reporting requirements outlined in FTA Circular 4702.1B, "Title VI Requirements and Guidelines for Federal Transit Administration Recipients," effective October 1, 2012 (Federal Register Docket Number FTA-2011-0054). As required by FTA Circular 4702.1B, this SMART program documentation will be updated every three (3) years. SMART is also providing information in this document regarding how SMART has historically acted in compliance with Title VI.

Title VI of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color or national origin in programs or activities receiving federal financial assistance. Presidential Executive Order 12898 addresses environmental justice in minority and low-income populations. Presidential Executive Order 13166 addresses services to those individuals with limited English proficiency. The rights of women, the elderly and the disabled are protected under related authorities. These Presidential Executive Orders and the related authorities fall under the umbrella of Title VI. SMART's Title VI/Nondiscrimination Program provides leadership, direction and policy to ensure compliance with Title VI of the Civil Rights Act of 1964 and related authorities. In addition to compliance with federal civil rights requirements through its Title VI program, SMART's Nondiscrimination Policy seeks to not discriminate on the grounds of religion, family status, sexual orientation or gender identity. SMART is proud of the work it has completed to date to provide information to all members of the community and to ensure that social impacts to communities and people are recognized early and continually throughout the transportation decision-making process. SMART's transition from being a planning and construction project into an operating rail system with extension construction and taken place within an umbrella of public inclusiveness.

## SMART TITLE VI/NONDISCRIMINATION POLICY

It is the policy of the SMART District, under Title VI of the Civil Rights Act of 1964 and related statutes and regulations, that not person in the United States shall, on the basis of race, color, national origin, sex, age, disability/handicap, or income status, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination or retaliation under any federally or non-federally funded program or activity administered by SMART or its sub-recipients. In compliance with other civil rights provisions, SMART will not discriminate on the grounds of religion, family status, sexual orientation or gender identity. No person will be retaliated against for complaining of discrimination or who participated in an investigation of discrimination.

SMART will ensure that its programs, policies and activities comply with Title VI of the Civil Rights Act of 1964, as amended, and Department of Transportation regulations. SMART has designated a Title VI Coordinator in the District’s administrative offices to receive any formal Title VI complaints (via the process described below). The Title VI Coordinator is the person responsible for record keeping for complaints related to SMART and reporting those complaints as part of any updates to this SMART Title VI/Nondiscrimination Program every three years. To effectively implement and sustain the Title VI Program and related statutes, mandatory training is provided to SMART staff upon hiring and periodically thereafter. Training includes information on the SMART Title VI Procedures and Limited English Proficiency (LEP) responsibilities, description of language assistance services offered to the public, documentation of language assistance requests, and how to handle a potential Title VI/LEP complaint.

The public will be informed of their rights under Title VI through posting the Title VI notice on the SMART website (<https://sonomamarintrain.org/civil-rights>), on platform signage in station shelters (Figure 2), meeting room posters, comment cards, public meeting advertisements and handouts, newsletters,

newspaper ads, and construction notification mailers. Notices detailing SMART’s Title VI obligations and complaint procedures will be translated into languages other than English and Spanish, as needed.



All advertisements for public meetings will include language similar to the following:  
*“Public participation is solicited without regard to race, color, national origin, age, sex, religion, disability or family status. Persons who require special accommodations under the Americans with Disabilities Act or person who require translation services should contact (name of appropriate District personnel) at (telephone number) or dial CRS 711 at least 72 hours prior to the meeting.”*

A sample SMART Title VI Notice to the Public is included in APPENDIX A.

# SMART TITLE VI/NONDISCRIMINATION COMPLAINT PROCEDURES

SMART has established the following Title VI complaint procedures:

1. Any person who believes that he or she, or any specific class of persons, has been discriminated against on the basis of race, color, or national origin by SMART, may file a formal (written) or verbal/non-written Title VI complaint. In addition, any individual who believes that he or she, or any specific class of persons, has been discriminated against on the grounds of sex, age, disability, religion, family status, sexual orientation or gender identity may also file a formal (written) or verbal/non-written complaint. SMART investigates complaints received no more than 180 days after the alleged incident and then will process complaints that are complete. The SMART Title VI Coordinator or his/her designee may extend the time for filing or waive the time limit in the interest of justice, specifying in writing the reason for doing so.
2. All formal Title VI complaints shall be submitted on SMART's Civil Rights Complaint Form (included as *APPENDIX B*) to:  
  
SMART Title VI Coordinator  
SMART District – Administrative Offices  
5401 Old Redwood Highway, Suite 200  
Petaluma, CA 94954  
[info@sonomamarintrain.org](mailto:info@sonomamarintrain.org)  
Phone: (707)794-3330  
Fax: (707) 794-3037
3. All verbal/non-written complaints received by SMART shall be resolved informally when feasible. Informal complaints can be received by phone as listed above. However, once a complaint is written it becomes a formal complaint. If the issue has not been satisfactorily resolved through informal means, or if at any time the person(s) request(s) to file a formal written complaint, the SMART Title VI Coordinator shall process the complaint in accordance with approved SMART formal complaint procedures.
4. Written formal complaints should be verified by the complainant and may be submitted in writing via postal service mail, email or fax to the contact identified above. In cases where the complainant is unable or incapable of providing a written statement, but wishes SMART to investigate alleged discrimination, a formal verbal complaint of discrimination may be made to SMART's Title VI Coordinator. The complainant will be interviewed by the officer or official authorized to receive complaints. If necessary, SMART's Title VI Coordinator will assist the person in converting verbal complaints to writing. All complaints converted into writing by SMART's Title VI Coordinator must be signed by the complainant or his/her representatives. The District's representative will assist those with Limited English Proficiency (LEP) in filing a complaint.
5. Formal Title VI complaints submitted in writing shall be signed by the complainant and/or the complainant's representative. Complaints shall set forth as fully as possible the facts and circumstances surrounding the alleged discrimination and shall include the following information:

- Name, address, and phone number of the Complainant.
  - A written statement of the complaint, including the following details: – Basis of complaint (i.e., race, color and national origin). – The nature of the incident that led the complainant to feel discrimination was a factor. – A detailed explanation of the alleged discriminatory act(s). – The date or dates on which the alleged discriminatory event or events occurred.
  - If applicable, name(s) of alleged discriminating official(s). • Other agencies (state, local, or federal) where the complaint is also being filed (if applicable).
  - Complainant’s signature and date.
6. Once the complaint is received, within 10 working days SMART’s Title VI Coordinator will review and will provide the complainant with an acknowledgement letter informing her/him whether the complaint will be investigated by SMART or forwarded to the appropriate agency or organization for response. In that acknowledgement letter, the complainant will be advised of other avenues of redress available, such as a formal complaint with FTA.
  7. SMART has 30 days to investigate the complaint. If more information is needed to investigate the complaint, SMART may contact the complainant. In the event of such request, the complainant has 30 days from the date of the letter to provide the requested information. If SMART is not contacted by the complainant or does not receive the additional information within 30 days, SMART can administratively close the investigation. An investigation can also be administratively closed if the complainant no longer wishes to pursue their complaint.
  8. After the Title VI Coordinator personnel reviews/investigates the complaint, she/he will prepare a draft written response subject to review by SMART’s General Manager and SMART’s General Counsel. SMART will issue a response letter to the complainant. In addition, all findings related to alleged Title VI violations will be forwarded to FTA for formal findings. The FTA makes a final determination of “probable cause” or “no cause” and prepares a final decision letter for signature. The investigation will address only those issues relevant to the allegations in the complaint. If a closure letter is issued summarizing the allegations, stating that there was not a Title VI violation and informs the complainant that the case will be closed, the complainant has 10 days after the date of the closure letter to appeal the decision.
  9. Both formal and verbal/non-written complaints received by SMART are documented, logged and tracked for investigation. Interviews will be conducted to obtain facts and evidence regarding the allegations in the complaint. The investigator will ask questions to elicit information about aspects of the case which the witness can provide firsthand information about. Interviews can be tape recorded with the interviewees consent. A chronological contact sheet is maintained in the case file throughout the investigation. The SMART Title VI Coordinator prepares a written report which includes:
    - The date of the written complaint.
    - The date the complaint was received by SMART.
    - The date the investigation, lawsuit, or complaint was filed.
    - The basis of the complaint (race, color, national origin, etc.).

- A summary of the allegation(s).
- The status of the investigation, lawsuit, or complaint.
- An explanation of the actions SMART has taken or proposed to resolve the issue raised in the complaint.
- Any Preliminary and Final FTA findings related to the investigation, lawsuit, or complaint.
- Other agencies (state, local, or federal), if any, where the complaint has been filed.

A copy of the complaint, together with a copy of the report of investigation, is forwarded to the FTA within 60 days of the date the complaint was received.

10. If information regarding SMART Title VI Complaint procedures is needed in another language, contact Title VI Coordinator at 707-794-3062 for assistance. The SMART Title VI Complaint procedures are translated into Spanish and attached here as *APPENDIX A*.

# SMART'S PUBLIC PARTICIPATION PLAN (PPP) IMPLEMENTATION

The SMART District recognizes the importance of involving the public in information exchange when providing transportation facilities and services for the North Bay. Therefore, it is the policy of SMART to promote public involvement opportunities and information exchange activities in all functional areas using various techniques adapted to local area conditions and project requirements.

The SMART Public Participation Plan (PPP) is included as *APPENDIX C*. The SMART PPP identifies strategies SMART pursues to effectively involve the public in transportation decision-making. It describes a variety of methods and techniques to involve the public in the development of transportation plans, programs and projects. Title VI and Limited English Proficiency compliance are integrated into SMART's public outreach techniques and methods.

SMART has been aggressive and proactive in its efforts to engage the public in meaningful dialogue through a variety of means and programs outlined in the PPP. In addition to traditional methods, such as community events, presentations and meetings, SMART also utilizes social media and digital methods to engage the public. SMART has also made safety a top priority in all of its outreach programs. SMART partners with Operation Lifesaver California, promoting messages that encourage safe behavior near tracks and trains (example shown in Figure 3). These important safety messages are also delivered to students through SMART safety presentations at our local schools. Since the fall of 2015, through August of 2018, more than 36,000 students have attended SMART's rail safety presentations. SMART also delivers its safety messaging and general information by participating in community fairs, meetings, presentations and outreach events each year (Figures 4 and 5). Connecting with hard-to-reach populations, including the homeless population living along the corridor, is also part of SMART's safety outreach efforts. In 2017, SMART participated in 91 community outreach presentations and events. In 2018, through August, SMART has participated in 82 presentations and events, and that number is expected to exceed 100 by the end of the year.

FIGURE 3: SMART SAFETY CARDS



FIGURE 4: SMART OUTREACH, SEPTEMBER 2018  
SCHOOL SAFETY PRESENTATION AT HAMILTON ELEMENTARY, NOVATO



FIGURE 5: SMART COMMUNITY OUTREACH, APRIL 2018  
EARTH DAY FESTIVAL, SANTA ROSA



### SMART's Advisory Body Composition

The SMART Board approved a "Measure Q Expenditure Plan" in July 2008 as part of the ¼ cent sales tax ballot measure that was put before the voters. That sales tax measure was approved by nearly 70% of the voters in November 2008. The Measure Q Expenditure Plan included as a guideline for implementation of the plan that "A Citizens Oversight Committee will be established by the SMART Board to provide input and review on the Strategic Plan and subsequent updates". The Strategic Plan is a

document updated every five years, per Measure Q Expenditure Plan requirements. SMART’s Citizens Oversight Committee (COC) is comprised of seven members and two alternates. Membership of the COC is determined by the Board and the Board subsequently makes appointments. Openings are advertised in a paper with local circulation and on the SMART website. Applicants are invited to present to the Board in advance of appointment.

The current COC member roster has been in effect from 2009-2018: Russ Colombo (Chair), Steve Birdlebough, Peter Breen, Dennis Harter, Patricia Kendall, David Oster, Steve Rabinowitsh, Tanya Narath (alternate) Julia Violich (alternate). The demographic composition of the committee is shown in *Table 1*. Bylaws for the committee, including member representation, appointment process and service terms, may be developed and adopted by the Board of Directors prior to SMART’s next Title VI Program Update in 2021.

The SMART District boundaries include all of Marin and Sonoma Counties. As a fixed route system, SMART is expected to draw passengers from throughout the two counties, and as such the two combined counties constitute the District and SMART’s Service Area.

**Table 1. Minority Representation on the Citizens Advisory Committee.**

	Citizens Advisory Committee		Citizens Advisory Committee with Alternates		SMART District (Sonoma & Marin Counties)	
Total	7	100%	9	100%	736,287	100%
Male	6	86%	6	67%	361,974	49.2%
Female	1	14%	3	33%	374,313	50.8%
American Indian and Alaska Native	0	0%	0	0%	17,094	2.3%
Asian	0	0%	0	0%	43,930	6.0%
Black or African American	0	0%	0	0%	20,602	2.8%
Native Hawaiian or other Pacific Islander	0	0%	0	0%	4,376	0.6%
Some Other Race alone or in combination with one or more other races	0	0%	0	0%	83,303	11.3%
<i>Minority Persons (sum of above)</i>	-	0%	-	0%	169,305	23.0%
Hispanic or Latino	0	0%	0	0%	159,499	21.7%
White alone, not Hispanic or Latino	7	100%	9	100%	503,857	68.4%

# SMART’S LIMITED ENGLISH PROFICIENCY (LEP) PLAN IMPLEMENTATION

Consistent with Title VI of the Civil Rights Act of 1964 and other Federal regulations, SMART has and will continue to take reasonable steps to ensure meaningful access to benefits, services, information and other important portions of SMART’s program and activities for individuals who are limited-English proficient (LEP). The current SMART LEP Plan, including the required “Four Factor Analysis”, is included as APPENDIX D.

The SMART LEP Plan shows that the most prevalent linguistically isolated population in the SMART District speaks Spanish. SMART is committed to providing meaningful access and has historically translated outreach materials into Spanish for distribution. Examples of those materials include construction notice mailers, construction notice door hangars, and rail safety education materials for school aged children are shown in Figures 6-8. SMART has also conducted bilingual telephone surveys, targeted community outreach events, and implemented a number of language assistance measures and policies identified in the attached LEP.

FIGURE 6: SAMPLE SMART CONSTRUCTION NOTICE – SPANISH VERSION

**SONOMA-MARIN**  
**SMART**  
AREA RAIL TRANSIT

## ALERTA de cierre de caminos para construcción

Como parte del proceso de reemplazo de las vías en preparación para el servicio ferroviario de pasajeros en su zona, la compañía contratista Stacy Witbeck/Herzog (SWH) Va nivelar el cruceor de:

**ADOBE RD, PENNGROVE**  
**EMPIEZA A LAS 6:00AM EL SÁBADO, 1 DE JUNIO**  
**HASTA A LAS 7:00PM EL SÁBADO, 1 DE JUNIO**

El cruce de caminos estará cerrado a todo tráfico vehicular (ver abajo en **Rojo**). Habrá acceso peatonal controlado. Habrá carteles electrónicos en el cruce y señales de desvío marcando rutas alternativas. Por favor use las rutas alternativas cuando viaje por esta zona.

La seguridad es muy importante para SMART y estamos trabajando duro para maximizar la seguridad durante la fase de construcción. Por favor cumpla su parte siguiendo las instrucciones de desvío y manteniéndose alejado de todas las actividades y el equipo de construcción.

¡Gracias por su paciencia durante nuestra fase de construcción!

**¿Tiene preguntas o necesita más información?**

Llame nuestra línea directa sin cargos para el proyecto:

**1-855-312-7444**

FIGURE 7: SAMPLE SMART CONSTRUCTION NOTICE DOOR HANGAR – SPANISH VERSION

## ALERTA de cierre de caminos para construcción

En preparación para el servicio ferroviario de pasajeros en su zona, la compañía contratista Shimmick Construction reemplazará los cruces de ferrocarril en:

**5th Ave, San Rafael**  
el lunes, 10 de noviembre—al viernes 14 de noviembre

**Mission Ave, San Rafael**  
el lunes, 17 de noviembre—al jueves 20 de noviembre

La construcción ocurrirá 7AM hasta las 7PM pero, los cruces de caminos estará cerrado a todo tráfico 24/7 (**ver abajo en Rojo**). Habrá carteles electrónicos en el cruce y señales de desvío marcando rutas alternativas. Por favor use las rutas alternativas cuando viaje por esta zona.

Para las actualizaciones en curso sobre los plazos de construcción de su vecindario, por favor visite la página Web de SMART:

[www.sonomamarintrain.org/construction-updates](http://www.sonomamarintrain.org/construction-updates)

Para Información en español LLAME Al: 707-794-3330

**Para obtener más información**, llame a nuestra línea gratuita: (855) 312-7444, o escribanos a [info@sonomamarintrain.org](mailto:info@sonomamarintrain.org).

*La seguridad es nuestra principal prioridad en SMART. Estamos trabajando duro para maximizar la seguridad durante nuestra fase de construcción. Por favor haga su parte y manténgase alejado de todos los equipos y actividades de construcción.*



## ALERTA de cierre de caminos para construcción

En preparación para el servicio ferroviario de pasajeros en su zona, la compañía contratista Shimmick Construction reemplazará los cruces de ferrocarril en:

**5th Ave, San Rafael**  
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La construcción ocurrirá 7AM hasta las 7PM pero, los cruces de caminos estará cerrado a todo tráfico 24/7 (**ver abajo en Rojo**). Habrá carteles electrónicos en el cruce y señales de desvío marcando rutas alternativas. Por favor use las rutas alternativas cuando viaje por esta zona.

Para las actualizaciones en curso sobre los plazos de construcción de su vecindario, por favor visite la página Web de SMART:

[www.sonomamarintrain.org/construction-updates](http://www.sonomamarintrain.org/construction-updates)

Para Información en español LLAME Al: 707-794-3330

**Para obtener más información**, llame a nuestra línea gratuita: (855) 312-7444, o escribanos a [info@sonomamarintrain.org](mailto:info@sonomamarintrain.org).

*La seguridad es nuestra principal prioridad en SMART. Estamos trabajando duro para maximizar la seguridad durante nuestra fase de construcción. Por favor haga su parte y manténgase alejado de todos los equipos y actividades de construcción.*



FIGURE 8: SMART RAIL SAFETY TRAINING IN SCHOOLS – SPANISH VERSION  
(BOOKLET COVER)



# SMART'S TITLE VI SYSTEMWIDE STANDARDS AND SERVICE POLICIES

## System-Wide Service Standards

SMART is required to set quantitative system-wide service standards for several indicators to guard against discriminatory service designs or operations decisions. All service standards will be set to ensure equitable service across all jurisdictions and populations served by the SMART system. The SMART District and service area population information is detailed in *APPENDIX E Demographic Profile and Travel Patterns*.

A key characteristic of the SMART rail service is that it is a fixed guideway rail system with no variability in route options - there is only one route. Further, SMART is primarily a single-track rail line, with siding areas for passing trains. Single-track rail systems can be subject to operational limitations. SMART shares its track with a short haul freight operator, as required by the legislation governing SMART, creating further passenger operational limitations.

SMART's current rail car fleet consists of 14 rail cars. The train sets are currently comprised of an "A" and "B" cars combined into 2 and 3-car train sets. Platform lengths are designed for up to three car trains and provide for level boarding. All of the SMART rail vehicles are of the same age and condition, being newly manufactured and delivered between April 2015 and December 2015. Four additional cars are being manufactured for delivery in late 2018 and will be deployed into the fleet after testing is completed. With full passenger revenue service beginning in August 2017, all stations receive the same level of rail service, with all trains consisting of two and three-car train sets and all trains stopping at all stations the same number of times per day and at the same headways as at each other station. SMART's initial weekday schedule has 17-southbound and 17-northbound trains, with service hours from 4 a.m. to 10 p.m. SMART's initial weekend schedule has 5-southbound and 5-northbound trains with service hours from 10 a.m. to 10 p.m. SMART is continuing efforts to recruit sufficient staff to expand service levels, dependent on ongoing State funding support for service expansion.



Effective August 25, 2017

## WEEKDAY SCHEDULE

SOUTHBOUND - Sonoma County Airport to Downtown San Rafael																	
Sonoma County Airport	4:19	4:49	5:19	6:19	7:19	7:49	8:19	9:49	12:49	2:19	2:49	3:19	3:49	5:19	5:49	6:19	6:49
Santa Rosa North	4:26	4:56	5:26	6:26	7:26	7:56	8:26	9:56	12:56	2:26	2:56	3:26	3:56	5:26	5:56	6:26	6:56
Santa Rosa Downtown	4:31	5:01	5:31	6:31	7:31	8:01	8:31	10:01	1:01	2:31	3:01	3:31	4:01	5:31	6:01	6:31	7:01
Rohnert Park	4:38	5:08	5:38	6:38	7:38	8:08	8:38	10:08	1:08	2:38	3:08	3:38	4:08	5:38	6:08	6:38	7:08
Cotati	4:42	5:12	5:42	6:42	7:42	8:12	8:42	10:12	1:12	2:42	3:12	3:42	4:12	5:42	6:12	6:42	7:12
Petaluma Downtown	4:55	5:25	5:55	6:55	7:55	8:25	8:55	10:25	1:25	2:55	3:25	3:55	4:25	5:55	6:25	6:55	7:25
Novato San Marin	5:06	5:36	6:06	7:06	8:06	8:36	9:06	10:36	1:36	3:06	3:36	4:06	4:36	6:06	6:36	7:06	7:36
Novato Hamilton	5:14	5:44	6:14	7:14	8:14	8:44	9:14	10:44	1:44	3:14	3:44	4:14	4:44	6:14	6:44	7:14	7:44
Marin Civic Center	5:20	5:50	6:20	7:20	8:20	8:50	9:20	10:50	1:50	3:20	3:50	4:20	4:50	6:20	6:50	7:20	7:50
San Rafael	5:26	5:56	6:26	7:26	8:26	8:56	9:26	10:56	1:56	3:26	3:56	4:26	4:56	6:26	6:56	7:26	7:56

NORTHBOUND - Downtown San Rafael to Sonoma County Airport																	
San Rafael	5:59	6:29	6:59	7:59	8:59	9:29	9:59	11:29	2:29	3:59	4:29	4:59	5:29	6:59	7:29	7:59	8:35
Marin Civic Center	6:05	6:35	7:05	8:05	9:05	9:35	10:05	11:35	2:35	4:05	4:35	5:05	5:35	7:05	7:35	8:05	8:41
Novato Hamilton	6:11	6:41	7:11	8:11	9:11	9:41	10:11	11:41	2:41	4:11	4:41	5:11	5:41	7:11	7:41	8:11	8:47
Novato San Marin	6:19	6:49	7:19	8:19	9:19	9:49	10:19	11:49	2:49	4:19	4:49	5:19	5:49	7:19	7:49	8:19	8:55
Petaluma Downtown	6:30	7:00	7:30	8:30	9:30	10:00	10:30	12:00	3:00	4:30	5:00	5:30	6:00	7:30	8:00	8:30	9:06
Cotati	6:43	7:13	7:43	8:43	9:43	10:13	10:43	12:13	3:13	4:43	5:13	5:43	6:13	7:43	8:13	8:43	9:19
Rohnert Park	6:47	7:17	7:47	8:47	9:47	10:17	10:47	12:17	3:17	4:47	5:17	5:47	6:17	7:47	8:17	8:47	9:23
Santa Rosa Downtown	6:54	7:24	7:54	8:54	9:54	10:24	10:54	12:24	3:24	4:54	5:24	5:54	6:24	7:54	8:24	8:54	9:30
Santa Rosa North	6:59	7:29	7:59	8:59	9:59	10:29	10:59	12:29	3:29	4:59	5:29	5:59	6:29	7:59	8:29	8:59	9:35
Sonoma County Airport	7:06	7:36	8:06	9:06	10:06	10:36	11:06	12:36	3:36	5:06	5:36	6:06	6:36	8:06	8:36	9:06	9:42

## WEEKEND AND HOLIDAY SCHEDULE

SOUTHBOUND - Sonoma County Airport to Downtown San Rafael					
Sonoma County Airport	10:13	12:13	1:13	3:16	7:23
Santa Rosa North	10:20	12:20	1:20	3:23	7:30
Santa Rosa Downtown	10:25	12:25	1:25	3:28	7:35
Rohnert Park	10:32	12:32	1:32	3:35	7:42
Cotati	10:36	12:36	1:36	3:39	7:46
Petaluma Downtown	10:49	12:49	1:49	3:52	7:59
Novato San Marin	11:00	1:00	2:00	4:03	8:10
Novato Hamilton	11:08	1:08	2:08	4:11	8:18
Marin Civic Center	11:14	1:14	2:14	4:17	8:24
San Rafael	11:20	1:20	2:20	4:23	8:30

NORTHBOUND - Downtown San Rafael to Sonoma County Airport					
San Rafael	11:52	1:52	2:55	4:55	8:50
Marin Civic Center	11:58	1:58	3:01	5:01	8:56
Novato Hamilton	12:04	2:04	3:07	5:07	9:02
Novato San Marin	12:12	2:12	3:15	5:15	9:10
Petaluma Downtown	12:23	2:23	3:26	5:26	9:21
Cotati	12:36	2:36	3:39	5:39	9:34
Rohnert Park	12:40	2:40	3:43	5:43	9:38
Santa Rosa Downtown	12:47	2:47	3:50	5:50	9:45
Santa Rosa North	12:52	2:52	3:55	5:55	9:50
Sonoma County Airport	12:59	2:59	4:02	6:02	9:57

☐ AM Times    ☐ PM Times

**Visit [www.SonomaMarinTrain.org](http://www.SonomaMarinTrain.org) for more information.**

### **Vehicle Load**

SMART’s Vehicle Load Standard will be the same for peak and off-peak services and may be revised as more is learned for various operating scenarios. Based on initial actual revenue operating experiences, the average of all loads during the peak operating period should not exceed the train’s anticipated achievable capacities, which are 158 persons each for both A and B car types. SMART’s vehicle load standard for initial years of service will target the anticipated maximum load factor of the fleet, or 2. As fleet capacity allows, SMART may mix “A” and “B” car types into 2- and 3-car train sets to achieve operational efficiencies.

A two-car train set (A + B) is estimated to accommodate 158 seated passengers per train set, and up to 316 passengers with standees. All SMART station platforms are constructed to handle up to three car lengths. A full three car train has an anticipated capacity of 474 people.

After the start of passenger revenue service, SMART may seek to maximize operational efficiencies and adjust vehicle load standards, though options to do so will be limited due to the single-track rail environment and limited fleet capacity.

**Table 2. Vehicle Load Policy.**

<b>Car Type</b>	<b>Seated Capacity</b>	<b>Standing Capacity</b>	<b>Total Capacity</b>	<b>Maximum Load Factor</b>
A	79	79	158	2
B	79	79	158	2

### **Vehicle Headway**

Service will operate on the mainline trunk line every 30-90 minutes in each direction during the weekday peak periods and throughout the day, five days a week. Vehicle Headway Standards for off-peak weekend service will be every 120-240 minutes in each direction.

### **On-time Performance**

A train is determined to be on-time if it reaches its final destination within five minutes of the published schedule time. SMART does not permit its trains to depart early. It is SMART’s goal to have 95 percent of trains meet these on-time performance criteria. SMART’s actual on-time performance results for the first thirteen months of 2018 is 97.18%. Table 3 shows SMART’s monthly on-time performance over the first year thirteen months of service for 2017-2018.

**Table 3. Monthly On-Time Performance**

Month	One Way Trips	Ave. On Time Performance
August 2017	178	96.71%
September 2017	776	99.80%
October 2017	787	94.19%
November 2017	756	99.40%
December 2017	790	99.19%
January 2018	832	98.42%
February 2018	736	99.86%
March 2018	838	99.86%
April 2018	804	100.00%
May 2018	836	99.63%
June 2018	803	97.38%
July 2018	814	98.40%
August 2018	862	83.76%
Total	9,812	97.18%

**Service Availability**

Service availability is described by the October 2012 FTA Circular 4702.1B:

*Service availability is a general measure of the distribution of routes within a transit provider's service area...A standard might also indicate the maximum distance between stops or stations...Commuter rail service or passenger ferry service availability standards might include a threshold of residents within a certain driving distance as well as within walking distance of the stations or access to the terminal.*

SMART will operate a fixed guideway system. According to the 2010 Census, 72% of all the residents in Marin and Sonoma Counties (the SMART District) are within 3-miles of a SMART station. In addition, 77% of all jobs are within 3-miles of a SMART station (LEHD 2011). SMART coordinates with local jurisdictions to encourage land use policies that encourage jobs and housing near the SMART stations.

**Table 4. Service Availability Policy.**

	Population	Housing Units	Jobs
<b>SMART District</b>	736,287	315,786	277,589
<b>Stations - 3 miles</b>	532,111	211,892	213,562
<b>Stations - 1 mile</b>	223,669	90,703	102,553
<b>Stations - 0.5 miles</b>	90,332	38,015	36,578
	<i>PERCENT</i>		
<b>SMART District</b>	100.0%	100.0%	100.0%
<b>Stations - 3 miles</b>	72.3%	67.1%	76.9%
<b>Stations - 1 mile</b>	30.4%	28.7%	36.9%
<b>Stations - 0.5 miles</b>	12.3%	12.0%	13.2%
<i>Source:</i>	<i>Census 2010</i>	<i>Census 2010</i>	<i>LEHD 2011</i>

## System-Wide Service Policies

SMART is required to adopt system-wide service policies necessary to guard against service design and operational policies that may have disparate impacts. System-wide policies differ from service standards in that they are not necessarily based on a quantitative threshold. All service policies will provide equitable service across all jurisdictions and populations served by the SMART system. All policies are subject to approval by the SMART Board.

### Vehicle Assignment

Vehicle age and type will be the same for all the vehicles in the fleet at the start of SMART’s service. Initially, SMART will operate two-car train sets comprised of an “A” car and a “B” car. SMART will be able to deploy the “A” and “B” cars into two- and three-car train set configurations depending on rail car availability and passenger demand. All vehicles will be assigned to the same route between Airport Boulevard and Downtown San Rafael at the start of service. All rail cars comply with Americans with Disabilities Act (ADA) requirements, including wheelchair accessible spaces and level platform boarding.

## **Transit Amenities**

According to the October 2012 FTA Circular 4702.1B:

*Transit amenities refer to items of comfort, convenience, and safety that are available to the general riding public. Fixed route transit providers must set a policy to ensure equitable distribution of transit amenities across the system. Transit providers may have different policies for the different modes of service that they provide. Policies in this area address how these amenities are distributed within a transit system, and the manner of their distribution determines whether transit users have equal access to these amenities. This subparagraph is not intended to impact funding decisions for transit amenities. Rather, this subparagraph applies after a transit provider has decided to fund an amenity.*

SMART provides a variety of amenities at stations to attract and retain customers. These packages of station amenities are uniform throughout the SMART system. Generally, SMART has two types of station environments, Downtown and Other, with downtown stations being located in higher density, mixed land use neighborhoods. Examples of these Downtown stations are Downtown San Rafael and Santa Rosa's Railroad Square. Station platforms themselves are uniformly designed, with platform height designed to allow for level boarding onto the rail vehicles and stations are provided a basic amenities package described below. As SMART's passenger revenue service continues to mature from the 2017 launch, ridership performance will be monitored with particular attention given to whether station types are correctly categorized and whether there may be a need to differentiate station amenities between station types.

The basic set of amenities exists at most stations and includes bike racks, shelters/canopies, benches, and trash cans. In addition, SMART has installed a minimum of one block of four electronic bicycle lockers at each SMART station, either on SMART property or adjacent to the station on property owned by others. SMART conducted a State-funded bicycle parking plan to attempt to determine bicycle parking demand in advance of the actual start of SMART commuter rail system. Usage of these lockers at each SMART station is monitored to determine whether additional electronic lockers or other more intensive bicycle parking equipment is warranted.

These amenities have been designed with local jurisdiction input and are generally uniform except for minor features (such as color) as requested and/or funded by local jurisdictions. SMART's fare collection system is the Metropolitan Transportation Commission (MTC) regional Clipper® smart card fare system supplemented with a mobile payment system. Clipper® validation equipment and ticket vending machines are located at SMART stations as procured and installed by the regional Clipper® program contractor with one machine per station platform. SMART will also provide standard customer information across each of the stations, and will coordinate with regional MTC wayfinding and signage standards in implementation of its station customer information program. These standardized station amenities described above are included in the definition of basic amenities.

### **Amenities Policy**

Installation of transit amenities along SMART’s rail route is based on the needs of each individual station, with standardized amenities described above assembled into a Basic Amenities package. All station

amenities are distributed equally among stations and all on-board amenities are distributed equally among all vehicles. *Table 4* graphically describes this amenities policy.

**Table 4. Amenities Policy.**

<b>Station Type</b>	<b>Level</b>	<b>Amenities</b>
Downtown	Level 1	Basic amenities
Other	Level 2	Basic amenities

### **Requirement to Evaluate Service and Fare Changes**

Because SMART does not operate 50 or more fixed route vehicles in peak service, it is not required to evaluate significant system-wide service and fare changes to determine whether those changes will have a discriminatory impact.

While not required of SMART, SMART is aware of FTA Title VI requirements and will endeavor to bear in mind the intent of the regulation to not create disparate impacts on the basis of race, color or national origin when updating this Title VI Program and when evaluating fare and service policies and practices. In 2015 and 2016 SMART conferred with FTA staff to ensure that the public process undertaken for the adoption of the District’s first fare program would be sufficient to meet Title VI guidelines.

### **Requirement to Monitor Transit Service**

Because SMART does not operate 50 or more fixed route vehicles in peak service, it is not required to monitor the transit service provided throughout SMART’s service area. SMART does endeavor, however, to undertake periodic system-wide service monitoring activities to compare the level and quality of service provided relative to their system-wide service standards and service policies (i.e., vehicle load, vehicle assignment, transit amenities, etc.).

## GENERAL REPORTING REQUIREMENTS

SMART's Title VI Program and Nondiscrimination Policy addresses FTA's general reporting requirements for SMART programs, policies, and activities to document compliance with Title VI of the Civil Rights Act of 1964, the United States Department of Transportation (DOT) implementing regulations in 49 CFR 21 (Nondiscrimination in Federally-Assisted Programs of the Department of Transportation).

### ***Annual Certifications and Assurances***

In accordance with 49 CFR Section 21.7(a), SMART will provide the required annual Title VI Certifications and Assurances by submitting an electronic copy of the Pinned Certifications and Assurances from FTA's electronic grants management system.

### ***SMART Title VI/Nondiscrimination Program Notice to the Public***

The SMART Title VI/Nondiscrimination Program Notice to the Public is included as *APPENDIX A*. Both English and Spanish versions are shown and the Notice is posted at the SMART District offices, on SMART Station platforms, and on the SMART website.

### ***Records Management***

The SMART Title VI Coordinator will maintain a log of complaints and consolidate the district logs for reporting purposes. The complaint logs should maintain at a minimum the complainant's name, contact information, nature of complaint and the disposition of the complaint. SMART will maintain a list of active investigations, lawsuits, and/or complaints that allege Title VI discrimination. This list will include the date of the investigation, or the date the lawsuit or complaint was filed; a summary of the allegation(s); the status of the investigation, lawsuit or complaint; and actions taken by the SMART in response to the investigation, lawsuit, or complaint. These records will be reported in updates on SMART's Title VI Program every three years and will be made available to the FTA as requested.

To date, SMART has not had any formal complaints, lawsuits or investigations filed in regard to Title VI. Since the 2015 adoption of SMART's Title VI Program and SMART's 2017 start of passenger rail service, SMART has had two customer comments identified as potential Title VI issues. The first was misidentified by the commenter as a Title VI concern. On another occasion, SMART's customer service, provided through a contract with Golden Gate Transit, received a call from a customer that customer service staff identified as a potential Title VI concern. Both matters were resolved and no formal Title VI complaints were filed.

SMART will maintain records of SMART staff training on Title VI Program and Nondiscrimination Policy compliance and will endeavor to include training schedules in subsequent updates of this document.

### ***SMART Title VI/Nondiscrimination Program Updates***

SMART will update the documentation of the SMART Title VI/Nondiscrimination Program every three years by resolution of the SMART Board. If any changes to regulation or SMART operational issues arise between document updates that require modifications to the document or program, administrative changes will be allowed.

## APPENDIX A

### SAMPLE – SMART TITLE VI NOTICE TO THE PUBLIC

#### **Title VI of the Civil Rights Act of 1964**

The Sonoma-Marín Area Rail Transit District (SMART) is committed to ensuring that no person is excluded from participation in, or denied the benefits of its transit services on the basis of race, color or national origin, as protected by Title VI of the Civil Rights Act of 1964.

#### **How do I file a Title VI Complaint?**

If you believe you have been subjected to discrimination under Title VI, you may file a written complaint with SMART.

Si usted cree que ha recibido un trato discriminatorio por SMART sobre la base de su raza, color u origen nacional, usted tiene el derecho de presentar una queja con el Oficial de Derechos Civiles. La queja debe ser presentada a más tardar 180 días calendario después del supuesto incidente discriminatorio alegado. Este documento y el formulario de queja del Título VI están disponibles aquí:

[https://sonomamarintrain.org/sites/default/files/Documents/ADA%20Title%20VI%20CivilRights\\_ComplaintForm-2017.pdf](https://sonomamarintrain.org/sites/default/files/Documents/ADA%20Title%20VI%20CivilRights_ComplaintForm-2017.pdf)

Los documentos que describen la Declaración de la Política conforme al Título VI y los Procedimientos de Queja de SMART se pueden traducir al español bajo solicitud. Por favor llame al (707)794-3330 o TDD 711.

To file a formal Title VI complaint you or your representative must submit a signed and SMART Civil Rights Complaint Form within one hundred and eighty (180) days of the last date of alleged discrimination. Download the Complaint Form here:

[https://sonomamarintrain.org/sites/default/files/Documents/ADA%20Title%20VI%20CivilRights\\_ComplaintForm-2017.pdf](https://sonomamarintrain.org/sites/default/files/Documents/ADA%20Title%20VI%20CivilRights_ComplaintForm-2017.pdf)

Alternatively, you can request a copy of the Complaint Form at 707-794-3330 or TDD711.

If information is needed in another language, contact SMART at 707-794-3330.

**Si se necesita información en otro idioma, póngase en contacto con SMART al 707-794-3330.**

Upon request, the Title VI Coordinator will assist with writing a complaint if the complainant is unable to do so, including any language assistance required.

The complaint should include the following information:

- Your name, address, and how to contact you (i.e., telephone number, email address, etc.).
- How, when, where, and why you believe you were discriminated against. Include the location, names and contact information of any witnesses.

**The complaint may be filed in writing with SMART as follows:**

SMART - Attn: Title VI Coordinator  
5401 Old Redwood Highway, Suite 200  
Petaluma, CA 94954

Complainants may also use the following to initiate the filing of a written complaint:

**By e-mail to:** [info@sonomamarintrain.org](mailto:info@sonomamarintrain.org), with Title VI Complaint in the subject line.

**By fax:** Attn: SMART Title VI Coordinator - (707) 794-3037

### **What happens to my complaint after it is submitted to SMART?**

All complaints alleging discrimination based on race, color or national origin in a service or benefit provided by SMART will be recorded in the Title VI Database and electronically assigned an ID number by the Title VI Coordinator.

The SMART Title VI Coordinator reviews all customer feedback and researches complaints alleging discrimination based on race, color or national origin in a service or benefit. Upon request, the SMART Title VI Coordinator will provide appropriate assistance to complainants, including people with disabilities, or who are limited in the ability to communicate in English in accordance with SMART's Limited English Proficiency Plan (ATTACHMENT D of SMART's TITLE VI PROGRAM).

The SMART Title VI Coordinator will review and provide complainant with an acknowledgement letter of receipt of the complaint within 10 working days. Generally SMART will investigate the complaint and prepare a draft written response subject to review by the SMART General Manager and SMART General Counsel within 30 days.

In instances where additional information is needed for assessment or investigation of the complaint, the SMART Title VI Coordinator will attempt to contact the complainant in writing. Failure to provide the requested additional information within 30 days of the letter date may result in the administrative closure of the complaint. More details on the process for Title VI complaints can be found in SMART's Title VI Program document.

### **How will I be notified of the outcome of my complaint?**

The SMART staff will send a final written response to the complainant and advise the complainant of his or her right to file a complaint externally. SMART will use its best efforts to respond to Title VI complaints within 60 working days of its receipt of such complaints.

In addition to the complaint process at SMART, individuals and organizations may also file a complaint by completing a Federal Transit Administration Office of Civil Rights Title VI complaint form (<https://www.transit.dot.gov/regulations-and-guidance/civil-rights-ada/file-complaint-fta>).

Complaints should be signed and include contact information and should be sent to SMART and to:

**Federal Transit Administration Office of Civil Rights**  
**Attention: Complaint Team**  
**East Building, 5th Floor - TCR**  
**1200 New Jersey Ave, SE**  
**Washington, DC 20590**

# APPENDIX B: SMART CIVIL RIGHTS COMPLAINT FORM



## CIVIL RIGHTS COMPLAINT FORM

<b>Section I:</b>				
Name:				
Address:				
Telephone (Home):			Telephone (Work):	
E-Mail Address:				
Accessible Format Requirements:	Large Print		Audio Tape	
	IDD		Other	
<b>Section II:</b>				
Are you filing this complaint on your own behalf?			Yes*	No
*If you answered "yes" to this question, go to <b>Section III</b> .				
If not, please supply the name and relationship of the person for whom you are complaining:				
Please explain why you have filed for a third party _____				
_____				
Please confirm that you have obtained the permission of the aggrieved party if you are filing on behalf of a third party.			Yes	No
<b>Section III:</b>				
I believe the discrimination I experienced was based on (check all that apply):				
<input type="checkbox"/> Race <input type="checkbox"/> Color <input type="checkbox"/> National Origin <input type="checkbox"/> Other _____				
Date of Alleged Discrimination (Month, Day, Year): _____.				
Explain as clearly as possible what happened and why you believe you were discriminated against. Describe all persons who were involved, Include the name and contact information of the person(s) who discriminated against you (if known) as well as names and contact information of any witnesses. If more space is needed, please use the back of this form.				
_____				
_____				
_____				
_____				
_____				

<b>Section IV</b>		
Have you previously filed a Title VI complaint with this agency?	Yes	No
<b>Section V</b>		
Have you filed this complaint with any other Federal, State, or local agency, or with any Federal or State court?		
<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, check all that apply:		
<input type="checkbox"/> Federal Agency _____		
<input type="checkbox"/> Federal Court _____		<input type="checkbox"/> State Agency _____
<input type="checkbox"/> State Court _____		<input type="checkbox"/> Local Agency _____
Please provide information about a contact person at the agency/court where the complaint was filed.		
Name:		
Title:		
Agency:		
Address:		
Telephone Number:		
<b>Section VI</b>		
Name of agency complaint is against:		
Contact Person:		
Title:		
Telephone Number:		

You may attach any written materials or other information that you think is relevant to your complaint. Signature and date required below:

_____	_____
Signature	Date
_____	_____
Signature (of person assisting complainant, if needed)	Date

Please submit this form in person at either address below, or mail this form to:  
 SMART Title VI Coordinator  
 5401 Old Redwood Highway, Suite 200  
 Petaluma, CA 94954  
 Phone: 707-794-3330  
 Fax: 707-794-3037  
 Email: [info@sonomamarintrain.org](mailto:info@sonomamarintrain.org)

## APPENDIX C:

# SMART DISTRICT PUBLIC PARTICIPATION PLAN (PPP)

### Inclusive Public Involvement

SMART is required to engage in community outreach consistent with the Department of Transportation Order on Environmental Justice and should seek out and consider the viewpoints of minority and low-income populations in the course of conducting public outreach and involvement activities. SMART's public participation strategy will endeavor to offer early and continuous opportunities for the public to be involved in key transportation decisions.

SMART recognizes that the FTA has given recipients wide latitude to determine when, how and how often specific public involvement measures should take place and what measures are most appropriate. To date, SMART has engaged the public throughout its planning and implementation decision-making process. Between 2003 and 2015, the following key milestone points included extensive public participation:

- Rail vehicle selection and development
- Certification of Environmental (CEQA) Documents
- Development of Initial Operating Segment (IOS)
- Station area planning and design workshops
- Regional and County-level transportation planning and transit coordination activities at the Metropolitan Transportation Commission, Sonoma County Transportation Authority, Transportation Authority of Marin, etc.

In addition to these milestone points in the SMART project, SMART provided regular opportunities for the public to learn about and participate in the development of the creation of the SMART Commuter Rail and Pathway project:

- **Monthly and biweekly meetings of the SMART Board of Directors** - These meetings provide regular opportunities for the public to participate in policy formation and issues identification and follow California Brown Act public notification requirements.
- **Construction information:**
  - Construction Outreach follows a SMART Construction Notification Protocol (*ATTACHMENT A* to this PPP), including distribution of notices and door hangars.
  - Construction information meetings (2012-2015) that provide information to local neighborhoods prior to the beginning of construction activities.
  - Construction information hot-line (**855-312-7444**) for people to call with questions or comments related to construction activities.

- **General community presentations** - SMART Community Education and Outreach delivers on average 2-3 presentations per month to a diverse range of community and educational groups including:
  - Civic clubs (e.g. Rotary Club, Kiwanis Club, Active 20/30 Club)
  - Community interest groups (e.g. Municipal Chambers of Commerce, Latino Chambers of Commerce, Latino advocacy groups and retired persons clubs)
  - Religious organization (e.g. church and synagogue groups)
  - School organizations (classes and public events, with emphasis on Rail Safety Education) – *ATTACHMENT B* to this PPP shows education materials developed by SMART, in partnership with Operation Lifesaver (Spanish version shown).
- **Participation in other community-based organization events** - SMART has over time endeavored to build relationships with other community-based organizations, such as those listed below, to support effective outreach and participation:
  - Los Cien (Sonoma County Latino civic leadership group)
  - Transportation Equity Alliance of Marin
  - Marin Grassroots
  - Marin American Indian Alliance
  - Sonoma County Human Development Commission
- **Providing staffed information booths at County Fairs, Community Festivals, other Community Events** – SMART participates in numerous events by providing a staffed booth and distributing information in both English and Spanish at these events. *ATTACHMENT C* to this PPP shows the types of general SMART information pamphlets provided in English and Spanish at these events and others.
- **Customer Service Call Centers** - With the start of passenger services, SMART engaged Golden Gate Transit in a contractual relationship to provide customer service center functions (call center, in person customer service center at San Rafael/Bettini Transit Center, Lost and Found Service). Customers can reach Golden Gate Transit staff for SMART Customer Service through the regional 511 transit information call line. In addition, as the sole fare media for SMART, the regional Clipper® call center is also available for Clipper technical support for SMART customers. SMART also maintains bilingual in-person and telephone customer service functions for SMART information and Clipper sales at the SMART administrative offices in Petaluma.
- **Website and Social Media** - Persons interested in the SMART project can receive updates and sent comments via the SMART website ([www.sonomamarintrain.org](http://www.sonomamarintrain.org)), as well as email ([info@sonomamarintrain.org](mailto:info@sonomamarintrain.org)). SMART utilizes social media services, such as through Facebook (<http://www.facebook.com/sonomamarintrain>) and Twitter (<http://twitter.com/smarttrain>) for general information dissemination. Comments in all forums are encouraged and are responded to in a timely fashion.

## **Native American Tribes**

SMART has worked closely with local Native American Indian tribes, primarily the Federated Indians of Graton Rancheria, in the process of environmental and archeological monitoring of SMART track and bridge reconstruction.

## **Public Participation Techniques**

SMART will utilize a variety of public participation methodologies to inform key decisions and policy formation including:

- SMART Board of Directors meetings
- Public meetings and workshops
- Polls/Surveys
- Targeted Mailing/Flyers
- Utilizing Local Media
- Social Media/E-Newsletters

## **Providing Meaningful Access to Limited English Proficient (LEP) Individuals**

SMART has taken take responsible steps to ensure meaningful access to the benefits, services, information, and other important portions of SMART's programs and activities for individuals who are Limited English Proficient (LEP). SMART has developed a LEP Plan (APPENDIX D to this SMART Title VI/Nondiscrimination Program) which focuses on areas in an effort to provide meaningful access for individuals who are Limited English Proficient to the same public transit services provided to all members of the transit service area.

### **SAFE HARBOR ANALYSIS**

SMART has found through census data and demographic studies that the dominant group of Marin and Sonoma County residents and employees with limited English proficiency is composed of those who primarily speak Spanish. Because of the concentrations of LEP Spanish speakers, SMART has employed a number of methods to inform the public of critical elements related to the project, including Spanish language construction flyers distributed door-to-door in neighborhoods and Spanish language rail safety materials targeted to school age children. SMART will continue to use reasonably available methods to inform the public critical information related to the project in a timely manner. Some of those methods include but are not limited to the following:

- News releases
- SMART Train Rider's Guide
- Distribution of "take one" notices distributed on the trains and shuttle
- Passenger electronic newsletters
- Ads in local newspapers within the service area (English and Spanish)
- Community meetings/workshops
- Information booths at County Fairs and other Community Events and Festivals

- Discussion of changes with the Measure Q Citizen Oversight Committee
- Information posted on the SMART website
- Signage (posters) at train stations Posters and signage Inboard the trains and shuttles
- Facebook and Twitter announcements
- Email subscription alerts

Where appropriate, information published by SMART will continue to be printed in English and Spanish. Other documents that may be translated include public hearing notices, outreach documents, fare increase notices, service change notices, station signs in areas identified as having a higher concentration of Limited English Proficient populations, and the website ([www.sonomamarintrain.org](http://www.sonomamarintrain.org)). With the start of passenger revenue rail operations, customer services are being provided for SMART by Golden Gate Transit through a contractual arrangement. Golden Gate Transit's San Rafael/Bettini Transit Center customer service center and call center functions being performed for SMART have at their disposal all of the Golden Gate Transit LEP capabilities to aid in fulfilling SMART's Title VI Program and LEP guidance requirements.

SMART will continue to make every effort to translate and print all route and other critical information in both English and Spanish.

#### **Information Dissemination**

SMART will employ a number of methods to inform the public of the project and in the future, for example by releasing information about fare and service changes in a timely manner. Communication channels may include but are not limited to those listed above.

Information published by SMART, including any SMART Rider's Guide and Golden Gate Transit's connecting shuttle bus route information, will be printed in English and Spanish. "Rider Alerts," or their equivalent, which identify details about the train and shuttle bus service, will be printed in both English and Spanish. Other documents that will be translated include public hearing notices, outreach documents, fare increase notices, service change notices, station signage (in areas identified as having a higher concentration of non-English or ESL populations and the website ([www.sonomamarintrain.org](http://www.sonomamarintrain.org))).

## PPP ATTACHMENT A: CONSTRUCTION NOTIFICATION PROTOCOL



### SMART Construction Outreach

#### Track and Grade Crossing Construction Notification Protocols

**Summary:** The goal of SMART construction outreach is to provide timely notification to businesses, property owners and tenants who live or work near the SMART right-of-way (ROW), who may be impacted by construction activities or crossing/road closures. We aim to ensure that nearby businesses and residents have as clear a picture as possible of all of the activities that will take place on the right-of-way during construction.

Track and Crossing construction outreach each have some unique requirements, and we have established two sets of protocols to ensure that notification is effective for both track construction activities and crossing/road closures. Each protocol is focused on communicating directly with anyone likely to be impacted by construction activities.

During the Phase 1 system construction between 2012 and 2017, these protocols have been successful in keeping the community up to date and getting their questions answered. These protocols will also be used for SMART rail and pathway extension projects.

#### Track Construction Notification Protocol:

This process generally begins 4-8 weeks prior to construction.

##### Activity:

1. Create Google Earth maps showing business and residences in the areas identified for upcoming construction, with measurements showing 500 feet from track centerline. (**Note:** General practice for rail construction noticing is 300 feet, but SMART has elected to expand the baseline for noticing to 500 feet.)
2. Following a review of Google Earth maps, conduct a driving/walking tour of the areas beyond the 500-ft zone to determine what additional areas/parcels have sight lines and/or probability for noise reflection during construction. Adjust notification areas in the map(s) accordingly.
3. If determined that direct contact cannot be made, using Assessor's Property data, generate notification address list of those residents and owners of both residential and commercial property within 500 feet of the centerline of the specific section of the SMART ROW that will be under construction. Identify homeowner's associations and schools which are in the areas adjacent to the construction zone, as well as staff from local jurisdictions to be added to the notification list. Verify that any property owners in contact with SMART on real estate

negotiations are also included.

4. Coordinate with Engineering & Construction to ensure that staff from local jurisdictions are aware of upcoming construction activity and receive invitations to attend any community meetings that have been scheduled.
5. Identify and reserve a date, time and a location convenient to the neighborhood, for one or more community meetings. The purpose of these meetings is to present an overview of all activities that will occur during construction and answer questions about construction topics. Meetings are generally scheduled in the evening so that those who work during the day can also attend. If construction areas are large enough to include multiple geographically unique neighborhoods, conduct multiple, conveniently located community meetings.
6. Notify property owners, tenants, and businesses of upcoming community meetings via door hangers, flyers, paid media (and if necessary, US mail). All notifications include our Project Information telephone number for questions. These notices inform recipients that track construction will soon occur on the SMART ROW in their area and announce the meeting location, date and time. If US Mail is utilized, any mail that cannot be delivered by the postal carrier is returned to SMART Community Outreach, and SMART staff follows up on each item to determine if the owner of record has recently changed, or if the address is valid, and attempts to redeliver either via mail or visit to the address.
7. Two weeks prior to the start of construction, conduct door-to-door canvassing to the addresses immediately adjacent to the right-of-way or construction zone to ensure that those who reside closest to the work being done receive an additional reminder. If residents are home, staff speaks to them directly as well as leaving a reminder door hanger/flyer; if no one is home, the door hanger/flyer is left in as secure a location as possible near the door without violating rules concerning mailbox use.
8. Conduct community meeting to present construction details and to answer questions. The general format is a joint presentation by Community Outreach, the Contractor Construction Leads and SMART Engineering staff with pictures and description of what we are building, equipment that is used, construction days and hours, processes that are followed during construction for monitoring, and finished result. Content is tailored for each meeting to include neighborhood-specific information. Ample time is allowed to take and respond to questions from the public.
9. In the case where notification or community meetings precede the actual start of construction by more than 3-4 weeks, additional door-to-door canvassing of areas adjacent to tracks is conducted with additional Track Construction Notification door hanger/flyers to ensure that residents and commercial buildings adjacent to the SMART ROW are informed of the start of construction.
10. Maintain up to date information on the SMART Construction Updates web page (ongoing throughout process).
11. Return calls to our Project Information line from the public (ongoing throughout process).

## Grade Crossing/Road Closure Protocol:

This process generally begins 4-8 weeks prior to full or partial closure of a crossing for construction. Samples of the notifications referenced below are at the end of this section.)

There are cases where anticipated closure dates can change due to a variety of factors (including: weather, changes in construction schedule, working in partnership with local jurisdictions on accommodating their projects while SMART's crossing improvements are underway), so this process is designed to maintain flexibility while ensuring those in the notification area are kept up to date.

### Activity

1. Work closely with Construction Contractor to track crossing/road closures. A formal meeting is held once a week, supplemented by daily check-ins with lead contractor and participation in the bi-monthly "owners meeting." With 3-6-week look-aheads.
2. Generate Google Earth maps showing all businesses and residents in the area around a crossing identified for upcoming construction, with a measurement showing a 500-foot radius around the crossing. (**Note:** General Practices is to notify within 300 feet, but SMART has elected to expand the baseline for noticing to 500 feet.)
3. Following analysis of Google Earth maps, conduct a driving/walking tour of the areas around the crossing or road closure to determine additional residences and businesses that may be impacted by the crossing closure. Adjust notification zone accordingly.
4. Determine businesses, residences, schools and others within the notification zone of the specific crossing that will be closed for construction. (This is done with Google Earth maps and site field/site visits.)
5. Coordinate with Engineering & Construction to ensure that staff from local jurisdictions are aware of upcoming crossing construction activity. Canvass crossing closure sites that have unique problems like lack of alternate routes to determine how best to minimize impacts.
6. Visit (re-canvass) each property within the notification zone to distribute crossing construction/closure information, speaking directly with business owners/managers, residents, property managers, school administration, etc. The construction information phone number is clearly located on all notification collateral materials and website.
7. Distribute crossing/road closure information to public safety agencies, US Post Office, Garbage Haulers, Caltrans, COZEEP, REDCOMM etc.
8. Issue Crossing Closure Advisories to local press with up-to-date closure information.
9. Contractors place an electronic message boards along adjacent roadways announcing road closure (1- 2 weeks prior to closure).
10. Maintain up to date information on the SMART Construction Updates web page (ongoing throughout process).
11. Return calls to our Project Information line from the public (ongoing throughout process).

## Construction Notification Communications Materials - Examples

Sample: Closure Notification Flyer (double-sided English & Spanish). NOTE: The main communications approach for the general public for crossing closures is message boards that go up 10-14 days prior to the closure; the flyers are used for canvassing to residents and businesses immediately adjacent to the closure location.



### Railroad Construction Crossing CLOSURE NOTICE

**Have questions or need more information?**

Call our toll-free project hotline at:

**1-855-312-7444**

As part of the replacement of the tracks to prepare for passenger rail service in your area, SMART contractor Stacy Witbeck/Herzog (SWH) will be replacing the railroad crossing at:

**EAST D STREET, PETALUMA**  
6:30AM MONDAY, APRIL 29TH TO  
7:00PM SUNDAY, MAY 5TH

The road crossing will be closed to all vehicular traffic (see below in **Red**). Controlled pedestrian access will be available. There will be electronic message boards at the crossing and detour signs showing alternate routes. Please use alternate routes when traveling through this area.

Safety is very important to SMART, and we are working hard to maximize safety during our construction phase. Please do your part by following detour instructions and staying clear of all construction equipment and activities.

Thank you for your patience as we improve this crossing.



Temporary road access to Hopper Street only



### ALERTA de cierre de caminos para construcción

**¿Tiene preguntas o necesita más información?**

Llame nuestra línea directa sin cargos para el proyecto:

**1-855-312-7444**

Como parte del proceso de reemplazo de las vías en preparación para el servicio ferroviario de pasajeros en su zona, la compañía contratista Stacy Witbeck/Herzog (SWH) reemplazará el cruce de ferrocarril en:

**EAST D STREET, PETALUMA**  
EMPIEZA A LAS 6:30AM EL LUNES, 29 DE ABRIL  
HASTA A LAS 7:00PM EL DOMINGO, 05 DE MAYO

El cruce de caminos estará cerrado a todo tráfico vehicular (ver abajo en **Rojo**). Habrá acceso peatonal controlado. Habrá carteles electrónicos en el cruce y señales de desvío marcando rutas alternativas. Por favor use las rutas alternativas cuando viaje por esta zona.

La seguridad es muy importante para SMART y estamos trabajando duro para maximizar la seguridad durante la fase de construcción. Por favor cumpla su parte siguiendo las instrucciones de desvío y manteniéndose alejado de todas las actividades y el equipo de construcción.



Acceso por carretera temporal a Hopper Street sólo

PPP ATTACHMENT B: SCHOOL SAFETY ACTIVITY BOOK PAGE (SPANISH)



# Safety-Minded Around Rails and Trains

## Entrena tu mente

Usa el código para completar esta importantísima regla de seguridad.

\_\_\_\_\_ caminos, \_\_\_\_\_ o \_\_\_\_\_  
 sobre o \_\_\_\_\_ de las vías del tren. Es muy  
 \_\_\_\_\_ peligroso y está \_\_\_\_\_.

¡Las \_\_\_\_\_ están hechas para  
 los \_\_\_\_\_ exclusivamente!



- = PROHIBIDO POR LEY
- = VÍAS
- = ANDES EN BICICLETA
- = CERCA
- = TRENES
- = JUEGUES
- = NUNCA

### Más formas de ser SMART con las vías:

- **¡Nunca uses las vías del tren como atajo en tu camino!** Cruza las vías del tren sólo donde haya un señalamiento "cruce de ferrocarril" y obedece todas las indicaciones, barreras y avisos.
- **¡Nunca trates de ganarle una carrera al tren!** En el tiempo que le tarda al conductor del tren verde y accionar los frenos, ya es muy tarde para detener la formación a tiempo.

## Ya llega el Tren

Inserta las palabras para completar el párrafo.

**PROTECCIÓN BARRERAS HIJOS**  
**PRUEBAS SEGURIDAD**

El último tren de pasajeros en pasar por el Norte de la Bahía fue en 1958. ¡Hace ya una generación entera! Esa generación ha crecido e incluso tuvo sus propios \_\_\_\_\_ sin aprender a respetar las reglas de \_\_\_\_\_ en las vías del tren y los ferrocarriles.

Pero recuerda que las vías están ACTIVAS.



Muy pronto comenzará a funcionar el servicio de tren SMART. Primeramente el servicio de tren hará unas \_\_\_\_\_ en preparación antes de la inauguración del servicio. Los trenes son muy modernos y cuentan con todas las medidas de seguridad, como \_\_\_\_\_ para el cruce, luces y alarmas que nos alertarán sobre la llegada de un tren. Pero nada de eso servirá de \_\_\_\_\_ si hay personas jugando en las vías del tren.

# PPP ATTACHMENT C: SMART PROJECT INFORMATION (SPANISH)

## DATOS INTERESANTES

- Infraestructura con la Tecnología más Avanzada
- Equipos de construcción están reemplazando las vías ferroviarias, que tienen entre 60 y 100 años, por nuevos rieles, traviesas, balastos y palancas de cambio – reconstruyendo desde el sub suelo.
  - Los cruces de caminos locales en las vías están siendo actualizados por paneles de hormigón modernos, para facilitar el paso de peatones, sillas de ruedas, bicicletas y coches.
  - Cada tramo nuevo de rieles mide cerca de cinco canchales de fútbol de largo. Este sólido de manera continúa para ofrecer un viaje suave y silencioso – ¡sin más "clac-clac"!)
- Enfoque en la Sustentabilidad
- Las viejas traviesas, los rieles e incluso las secciones de puente serán reciclados o guardados para usarlos de nuevo. Los nuevos rieles tiene una mayoría de contenido reciclado.
  - Las nuevas traviesas de hormigón y los rieles de acero son materiales inertes = beneficio neto al medio ambiente.
  - Hecho en los EE.UU. – distancias más cortas de transporte = emisiones reducidas.
  - Los rieles fueron fabricados en Pueblo, CO
  - Las traviesas fueron fabricadas en Spokane, WA
  - Los trenes fueron fabricados en Rochelle, IL
  - El balasto – es 100% de abastecedores locales
  - Los rieles y las traviesas fueron transportados por ferrocarril – ¡se puede transportar una tonelada de carga 500 millas con un galón de combustible!
  - El nuevo puente Haystack en Petaluma es una arcada reutilizada con 85 años de vida útil.
- Los Beneficios a la Economía Local
- 69% de los subcontratistas durante el primer gran contrato de construcción son locales = más de 1/2 de las horas de construcción hasta la fecha.
  - Contratos de SMART ha puesto más de \$20 millones de dólares directo en la economía local mediante el uso de materiales locales y abastecedores de servicios.
- Un Poco de Historia
- La red ferroviaria del Norte de la Bahía era extensa durante la primera mitad del siglo 20. Los vagones de carga estuvieron en uso hasta fines de los años 90 – y comenzaron a ser utilizados nuevamente bajo NCRCA/NWP Co. en 2011. El último tren pasajero funcionó hasta 1958.
  - Los gobiernos locales trabajaron con el Distrito del Golden Gate Bridge a fines de los años 80 para preservar el derecho de paso para el futuro uso de trenes pasajeros.
  - SMART fue creado en 2002 por legislación estatal. La Iniciativa Q fue aprobada por los votantes en 2008.

## SIGA NUESTRO PROGRESO



## MANTENGASE EN CONTACTO

- Revise nuestro sitio web para información sobre el proyecto, informes y para anotarse para nuestro boletín electrónico en [www.sonomamartintrain.org](http://www.sonomamartintrain.org)
- Mande sus preguntas o comentarios sobre el proyecto por correo electrónico: [info@sonomamartintrain.org](mailto:info@sonomamartintrain.org)
- Solicite información sobre la construcción en su vecindario llamando a la línea sin cargos de información sobre el proyecto: (855) 312-7444

## SEA INTELIGENTE CON LAS VÍAS

El único lugar seguro y legal para atravesar las vías ferroviarias es en un cruce designado – indicado por la señal de cruce como esta ilustrada aquí.

Las vías ferroviarias son para los trenes – ¡no para jugar! Además de estar sujetos a multas, los intrusos ponen sus vidas en peligro. Es ilegal caminar, correr, jugar o andar en bicicleta en las vías.

¡SOLICITE UNA PRESENTACIÓN GRATUITA DE "RAIL SAFETY"! Ayúdenos a CREAR UNA COMUNIDAD SEGURA, visite [www.ca0.us](http://www.ca0.us) y clic en "Request a Presentation."



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

Actualizado noviembre 2014



## PROYECTO DE SONOMA-MARIN AREA RAIL TRANSIT

# RESUMEN

### ¿QUÉ ES SMART?

SMART es un proyecto de tren pasajero y camino para bicicletas y peatones aprobado por los votantes que está localizado en los condados de Marin y Sonoma. Servirá una ruta de 70 millas desde Larkspur hasta Cloverdale, con la primera fase de San Rafael a Santa Rosa.

SMART conectará los residentes y visitantes a los trabajos, la educación, la recreación y los servicios.

buscando una variedad de actividades de recreación y ocio.

Hoy en día, más del 75% de las personas que viajan a diario entre su hogar y el trabajo en el Norte de la Bahía viajan dentro o entre los dos condados para llegar a sus trabajos. El Norte de la Bahía atrae a visitantes de todo el mundo

El tren y camino de SMART ofrece opciones para dejar su coche y poder llegar a donde necesite ir, por trabajo o por diversión – y poder trabajar o divertirse en el camino.

Y por cada conductor que deja atrás a su coche, el tráfico mejora para todos.



## RESUMEN DE LA FASE 1

- Proyecto**
- El servicio de tren pasajero comienza en 2016 y servirá un 70-80% de la cantidad calculada de pasajeros del sistema completo
  - La construcción comenzó en mayo 2012
  - 43 millas – del centro de San Rafael al Airport Blvd norte de Santa Rosa
  - El costo total proyectado para la Fase 1 esta calculado a \$428 millones de dólares
- El Sistema de Camino de SMART**
- Conecta los segmentos construidos por SMART con segmentos ya en existencia y otros proyectos planificados para crear uno de los caminos continuos más largos para bicicletas y peatones en el país
  - Los segmentos del camino en la Fase 1 están enfocados en el acceso a las estaciones, el posible alto uso y poder conectar las brechas entre segmentos ya en existencia
  - "Tren con sendero" permite viajes más largos y de múltiples modalidades
- Las Estaciones**
- 10 estaciones: Santa Rosa (Airport Blvd., Guerneville Rd. y Railroad Square), Rohnert Park (Rohnert Park Expressway), Cotati (East Cotati Ave.), Petaluma (Centro), Novato (San Marin/ Atherton y Hamilton) y San Rafael (Marin Civic Center y el Centro)
  - Cumple con la Ley de Abordaje a Nivel y la Ley de Estadounidenses con Discapacidades (ADA)
  - Servicio de autobús Conector Express entre Santa Rosa y localidades futuras de estaciones en Windsor, Healdsburg y Cloverdale y entre el Centro de San Rafael y Larkspur
- Trenes de Pasajeros**
- 7 trenes de dos vagones
  - Las Unidades Múltiples Autopropulsadas con Diésel (DMU) son confortables y fiables
  - Los motores son ecológicamente sanos y cumplen con los estrictos requisitos "Nivel 4" del EPA; y son económicos para operar
  - Cumplen con "Buy-America" y están fabricados en Rochelle, IL
  - Cada tren tiene capacidad para 158 pasajeros sentados, 160 pasajeros parados y 24 bicicletas – dependiendo de una diversidad de bicicletas, sillas de ruedas, coches de bebe y el uso de asientos plegables
- Horario**
- Los trenes operarán en ambas direcciones cada 30 minutos durante las horas pico, con un viaje de medio día y servicio de fin de semana también en planificación
- Precios del Pasaje**
- Los precios del pasaje serán comparables con otras opciones de transito
  - Las tarjetas Clipper® serán utilizadas para la recolección de tarifas
- Velocidad**
- Velocidad máxima de 79 mph; velocidad promedio (incluyendo paradas) de 40 mph
  - Apartaderos situados estratégicamente permiten que los trenes operen y pasen en ambas direcciones a velocidades normales
  - Un viaje en tren desde Santa Rosa a San Rafael llevará cerca de 55 minutos

## APPENDIX D:

# SMART DISTRICT LIMITED ENGLISH PROFICIENCY PLAN

## Limited English Proficiency Plan (LEP)

This Limited English Proficiency (LEP) Plan has been prepared to address the Sonoma-Marín Area Rail Transit District (SMART) responsibilities as a recipient of federal financial assistance as they relate to the needs of individuals with limited English language skills. The plan has been prepared in accordance with Title VI of the Civil Rights Act of 1964, Federal Transit Administration Circular 4702.1A dated May 13, 2007, which state that no person shall be subjected to discrimination on the basis of race, color or national origin.

Executive Order 13166, titled *Improving Access to Services for Persons with Limited English Proficiency* indicates that differing treatment based upon a person's inability to speak, read, write or understand English is a type of national origin discrimination. It directs each federal agency to publish guidance for its respective recipients clarifying their obligation to ensure that such discrimination does not take place. This order applies to all state and local agencies which receive federal funds.

### Plan Summary

SMART began operating full passenger service in August 2017. SMART's LEP Plan, first adopted in July 2015, was developed while SMART was exclusively in a construction phase without operating service. SMART developed the LEP Plan to help identify reasonable steps for providing language assistance to persons with limited English proficiency that wish to access information about train construction and work is ongoing to adapt LEP services to the new transit operating environment. Modifications to the LEP services offered through SMART will occur over time as needed. As defined in Executive Order 13166, LEP persons are those who do not speak English as their primary language and have limited ability to read, speak, write or understand English.

This plan outlines how to identify a person who may need language assistance, the ways in which assistance may be provided, staff training that may be required, and how to notify LEP persons that assistance is available.

In order to prepare this plan, SMART undertook the U.S. Department of Transportation (U.S. DOT) four-factor LEP analysis which considers the following factors:

- The number or proportion of LEP persons in the service area who may be served or are likely to encounter a SMART program, activity or service;
- The frequency with which LEP persons that come in contact with SMART programs, activities or services;
- The nature and importance of programs, activities or services provided by SMART to the LEP population;
- The resources available to SMART and overall cost to provide LEP assistance;

A summary of the results of the SMART four-factor analysis is in the following section.

## Four Factor Analyses

### ***Factor 1: The number or proportion of LEP persons eligible to be served or likely to be encountered by SMART***

SMART’s principal ridership will consist of Marin County and Sonoma County residents.

These census data show that the linguistically isolated population in the SMART service area is relatively small, 5.1% in 2010, up from 3.7% in 2000. As no 2010 data is available for the breakdown of language types, 2000 data is used for this analysis. Of the identified linguistically isolated populations, only Spanish-speakers are found in significant numbers, with 2.5% of all households in 2000. In 2000, other linguistically isolated households are found in smaller numbers and grouped by the census into broader language categories such as *Other Indo-European* (0.6%), *Asian & Pacific Islander* (0.5%), and *Other* (0.1%).

SMART began full passenger service in August 2017. Regional on-board passenger travel surveys were conducted through parts of 2018 to understand the demographics of SMART passengers and to gather information about any passengers with limited English proficiency. Final results were not available in time for inclusion in this 2018 Title VI/LEP update but may be incorporated into future updates.

**Table 1. LEP Persons in SMART Service Area Counties.**

	Marin		Sonoma		Both Counties	
	2000	2010	2000	2010	2000	2010
Population over 5 years old that speaks a Language other than English	45,595	55,402	85,609	108,214	131,204	163,616
Spanish or Spanish Creole	22,287	30,246	59,480	82,231	81,767	112,477
Other Indo-European	15,281	16,448	14,305	11,116	29,586	27,564
Asian and Pacific Islander	6,754	7,696	9,535	12,760	16,289	20,456
Other languages	1,273	1,012	2,289	2,107	3,562	3,119

*Source: U.S. Census, 2000, 2010. Datasets: 2000 SF3 QTP16, ACS-3yr 2010 S1601*

**Table 2. Analysis of Linguistically Isolated Households in SMART Service Area Counties**

	Marin		Sonoma		Both Counties	
	2000	2010	2000	2010	2000	2010
Total Households	100,736	103,210	172,690	185,825	273,426	289,035
Households: Total Linguistically Isolated	3,729	5,057	6,465	9,663	10,194	14,720
<i>% Linguistically Isolated households</i>	3.7%	4.9%	3.7%	5.2%	3.7%	5.1%
Households: Spanish linguistically isolated	2,296	n/a	4,658	n/a	6,954	n/a
<i>% Spanish linguistically isolated Households</i>	2.3%	n/a	2.7%	n/a	2.5%	n/a
Linguistically isolated Households: Other Indo-European languages	791	n/a	927	n/a	1,718	n/a
<i>% Other Indo-European languages isolated households</i>	0.8%	n/a	0.5%	n/a	0.6%	n/a
Linguistically isolated Households: Asian & Pacific Islander Languages	609	n/a	691	n/a	1,300	n/a
<i>% of all households</i>	0.6%	n/a	0.4%	n/a	0.5%	n/a
Linguistically isolated Households: Other Languages	33	n/a	189	n/a	222	n/a
<i>% of all households</i>	0.0%	n/a	0.1%	n/a	0.1%	n/a
Non-Spanish Linguistically isolated	1,433	n/a	1,807	n/a	3,240	n/a
<i>% of all households, non-Spanish Linguistically isolated</i>	1.4%	n/a	1.1%	n/a	1.2%	n/a

Source: U.S. Census 2000, 2010. Datasets: 2000 SF3, ACS 2010 5yr estimate, S0501. More data for 2010 not yet available

**Factor 2: The frequency with which LEP individuals come in contact with SMART**

Prior to Summer 2017, SMART was not providing any public passenger services and contact with the public occurred at community meetings, construction information meetings, public hearings, and via direct information requests and comments. Now that SMART is providing passenger services, re-examinations are underway to determine adequacy of LEP outreach.

SMART has identified that the only language other than English having a statistically significant population of isolated households is Spanish. To confirm this conclusion, SMART consulted with other social service organizations and transit agencies in the service area, including:

- Community Action Partnership of Sonoma County
- Latino Leadership organization Los Cien
- Sonoma County Transit
- Transportation Equity Alliance of Marin (TEAM)

SMART will primarily provide supplemental information in Spanish. On occasion, informational pieces may be printed in a language other than English or Spanish, if needed in the target market or area being served.

SMART does contract with Golden Gate Transit for the provision of customer services including Call Center services. Golden Gate Transit provides assistance to customers in over 150 languages via their phone number 415-455-2000 (<http://goldengate.org/translations.php>).

### ***Factor 3: The nature and importance of SMART to people's lives***

Accessing SMART's services will not require compulsory activities such as filing applications, seeking consent, or conducting interviews. In special cases, however, such as customers purchasing prepaid fares, or requiring an application for special discount programs for seniors, persons with a disability, or youth, care will be taken to provide language assistance when needed.

It is worth noting that SMART's active rail corridor lies within existing neighborhoods. SMART takes seriously the need to enhance general public awareness of what constitutes safe behavior around the active railroad right of way and has taken a proactive approach to reach out to the community to convey a rail safety message and offers translations into Spanish and will provide language assistance to communicate rail safety to the public.

### ***Factor 4: The resources available to SMART and costs associated with providing language services***

Adequate resources are critical for successful LEP programs. Many costs associated with delivery of service to LEP individuals are already included in the daily cost of doing business in a diverse environment. To the extent they are not already included, SMART will endeavor to meet LEP service needs while managing costs to the extent possible.

The cost of providing language assistance has been minimized by ensuring the statistically significant language population has translated materials and bi-lingual SMART staff and other languages are available through SMART's customer service contractor (Golden Gate Transit) resources (language line). In the development of SMART's Clipper-enabled fare collection machines, all screen interfaces were translated into Spanish for both the visual screens and the audio recordings made available through the audio-jack function for Americans with Disabilities Act compliance.

## **SMART Providing Access to Services and Programs**

### **Community Relations**

In addition to the SMART Board of Directors, which takes public comment at all of its regular meetings, SMART has convened ad hoc committees/workshops open to the public. These include the ongoing Citizens Oversight Committee and several ad-hoc/workshops created for input on specific topics and have played an important role in formulating SMART's policies and services.

### **Citizens Oversight Committee**

The Measure Q Expenditure Plan requires this committee as part of its Implementing Guidelines, specifically:

*"A Citizens Oversight Committee will be established by the SMART Board to provide input and review on the Strategic Plan and subsequent updates."*

The plan goes on to state that:

*“SMART will prepare a Strategic Plan, based on the commitments in this Expenditure Plan, prior to July 2009. The Strategic Plan will identify planned investments in capital implementation, operations and maintenance for the duration of the tax. The Strategic Plan will be updated at least every five years and approved by the SMART Board of Directors. The Strategic Plan will be developed with input from the public and the Citizens Oversight Committee.”*

### **Ad-Hoc Advisory Committees/Workshops**

The SMART Board has created ad-hoc committees to provide timely advice on a number of topics. On occasion, these ad-hoc committees include public workshops and meetings to gather input. One example of such a process was when the SMART Board decided to conduct workshops rather than create a Board Ad-Hoc Vehicle Advisory Committee. Public workshops and meetings were held to gather input regarding such issues as seating configurations, bicycle storage and other on-board amenities. A similar workshop process was created regarding input on stations. In order to encourage broad public participation on station design issues, SMART scheduled a series of public workshops in every community along the rail corridor to solicit input regarding the project’s 15 rail stations.

### **Language Assistance Measures**

There are numerous language assistance measures available to LEP persons, including both oral and written language services. There are also ways in which SMART staff may respond to LEP persons, whether in person, by telephone or in writing. These include:

- Post the SMART Title VI Program Statement and LEP Plan on the agency website, [www.sonomamarintrain.org](http://www.sonomamarintrain.org), in English and Spanish.
- All public information meetings have a staff English-Spanish language translator on site;
- All information flyers, door hangers and letters to the public include Spanish Language translations;
- Network with local human service organizations that provide services to LEP individuals and seek opportunities to provide information on SMART programs and services, including Community Action Partnership of Sonoma County and Los Cien;
- Provide a bilingual SMART staff at community events, public hearings and Board of Directors meetings;
- Provide bilingual audio-visual fare machines;
- Placement of statements in notices and publications that interpreter services are available for these meetings, with seven-day advance notice;
- Provide Language line services through customer service contractor, Golden Gate Transit;
- Include language “Spanish a plus” on transit operator recruitment flyers and onboard recruitment posters;

### **Staff Training**

Title VI Program and language access training will be provided to SMART administrative and operations staff upon hire and periodically thereafter and may include the following:

- Information on the SMART Title VI Procedures and LEP responsibilities

- Description of language assistance services offered to the public

- Use of Language Identification Flashcards

- Documentation of language assistance requests

- Use of phone translation services via Golden Gate Transit

- How to handle a potential Title VI/LEP complaint

### **Outreach Techniques**

When staff prepares a document or schedules a meeting where the target audience is expected to include LEP individuals, then documents, meeting notices, flyers, and agendas will be printed in the language of the known LEP population(s). Interpreters will be available as needed.

When presenting information at a public meeting, SMART makes available a Spanish Language translator upon request. All information flyers, door hangers and letters to the public include attached Spanish Language translation in the primary distribution format.

### **Monitoring and Updating the LEP Plan**

SMART will update the LEP periodically as required by U.S. DOT. When revenue rail service is extended south to the Larkspur Ferry's San Francisco connecting service in early 2020, or when it is clear that higher concentrations of LEP individuals are present in the SMART service area, SMART may update the LEP. The update may include information regarding the following:

- The number of documented LEP person contacts encountered annually; How the needs of LEP persons have been addressed;

- The current LEP population in the SMART service area; If the need for translation services has changed; If local language assistance programs have been effective and sufficient to meet the need;

- If SMART's financial resources are sufficient to fund the language assistance resources needed;

- A possible survey of train operators and other front-line staff, like dispatchers, administrative assistants and planners, on their experience concerning any contacts with LEP persons;

- The extent to which SMART has complied with the goals of this LEP Plan;

- If complaints have been received concerning SMART's failure to meet the needs of LEP individuals.

### **Dissemination of the SMART LEP Plan**

A link to the SMART LEP Plan and the Title VI Program Statement and Procedures will be included on the SMART website at [www.sonomamarintrain.org](http://www.sonomamarintrain.org). Any person or agency with internet access will be able to access and download the plan from the SMART website. Alternatively, any person or agency may request a copy of the plan via telephone, fax, mail, or in person and shall be provided a copy of the plan at no cost. LEP individuals may request copies of the plan to be provided in alternative languages and SMART will endeavor to fulfill those requests.

### **Additional Information**

Questions or comments regarding the LEP Plan may be submitted to the following listed below:

#### ***By mail or in person:***

SMART  
Attn: Title VI Coordinator  
5401 Old Redwood Highway, Suite 200  
Petaluma, CA 94954

***Telephone:*** (707) 794-3330

***Email:*** [info@sonomamarintrain.org](mailto:info@sonomamarintrain.org). For Title VI complaints, please include "Title VI Complaint" in the subject line.

***Fax:*** (707) 794-3037, attention Title VI Coordinator

## APPENDIX E

# Demographic Profile & Travel Patterns

This section identifies and analyses populations that are likely to be influenced by the transit system. This section first identifies populations via maps and tables.

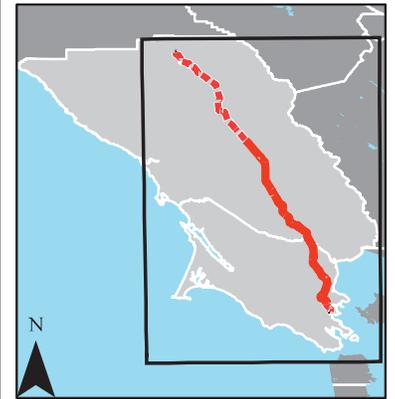
### Requirement to Collect and Report Demographic Data

SMART is located in two Urbanized Areas, Santa Rosa UZA (308,231 ) and San Francisco-Oakland UZA (3,281,212). Although SMART does not operate more than 50 fixed route vehicles in a peak period, following chapter IV of the FTA 4702.1B circular, SMART has prepared the following demographic and service profile maps and charts using 2010 Census data for minority, Hispanic or Latino, and low income populations. These requirements include:

Type of Map Required	Location
A base map of SMART's service area that overlays Census tracts with transit facilities (transit routes, fixed guideway alignments, transit stops and stations, depots, maintenance and garage facilities, and administrative buildings) as well as major activity centers or transit trip generators, and major streets and highways. Major activity centers and transit trip generators can include, but are not necessarily limited to, the central business district, outlying high employment areas, schools, and hospitals. This map shall overlay Census tract, block or block group data depicting minority populations with fixed transit facilities, such as bus shelters, transit stations, and fixed guideways. Another map shall highlight those transit facilities that were recently replaced, improved or are scheduled (projects identified in planning documents) for an update in the next five years.	Figures 4 and 5, page 31 and 32.
A demographic map that shades Census tracts where the percentage of the minority and Hispanic or Latino population exceeds the average for minority population for the service area.	Figures 6-8, page 34-36
A demographic map that shades Census tracts where the percentage of the low income population exceeds the average for low income population for the service area.	Figures 9-14, page 43-48

The following tables show data for both counties that SMART serves, along with the average, where appropriate, for the combined service area. Further, data was also analyzed for those census tracts closest to the SMART transit facility and stations.

Figure 3. Census tract base map.  
Census Tracts near SMART Rail Facility



Miles  
0 2.5 5 13 19.5 26

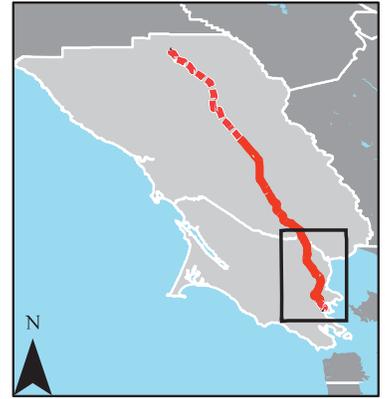
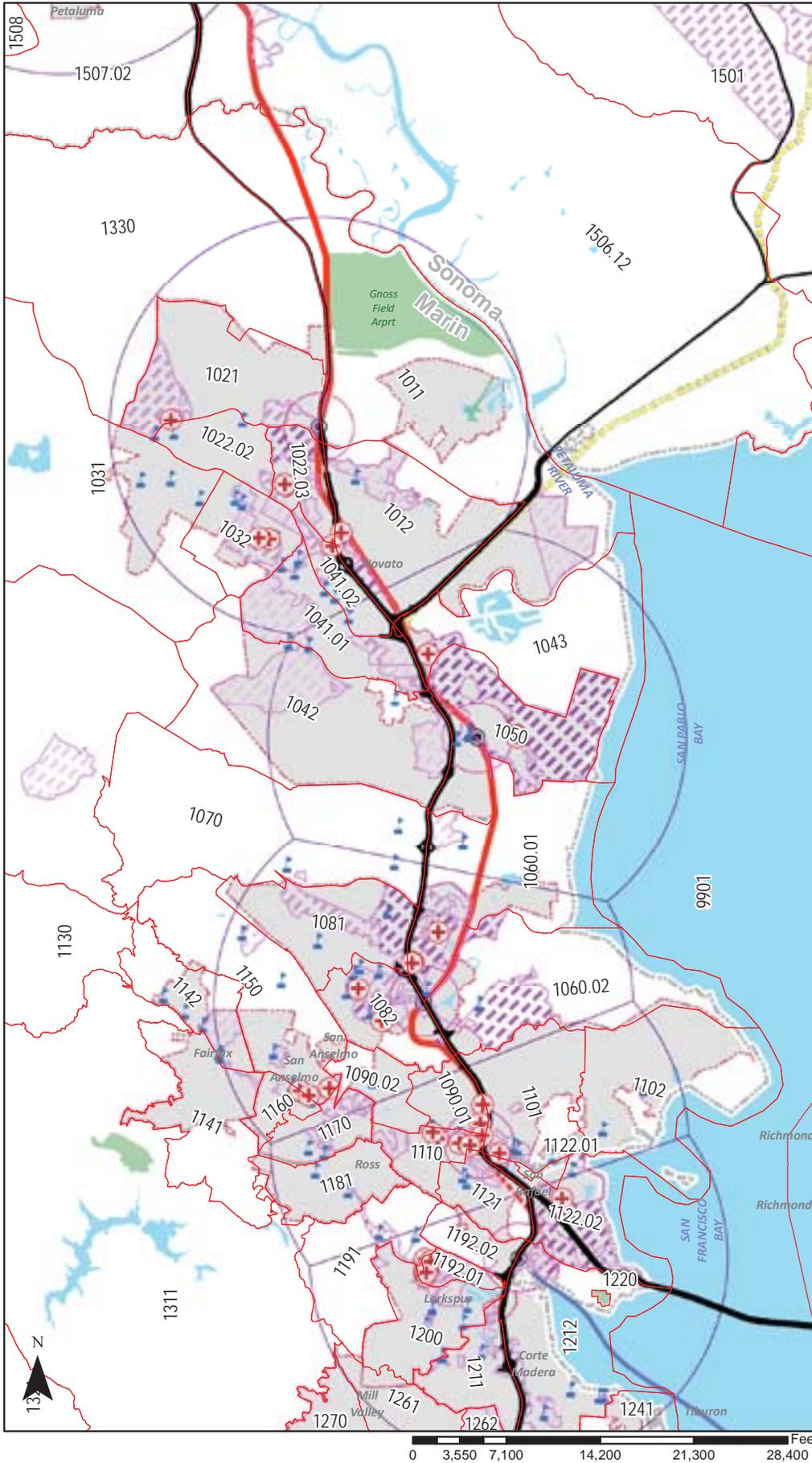
**Legend**

- San Francisco Ferry Building
- SMART Stations
- SMART Phase 1 Rail Line
- Future Rail Line
- Rail ROW
- SMART Brazos branch
- MarinCensusTracts\_TitleVI
- SMART Counties
- Water
- State and National Parks



Feet  
0 12,500 25,000 50,000 75,000 100,000

**Figure 4. Marin County Activity Centers and Trip Generators.**  
**Marin County Activity Centers & Trip Generators**

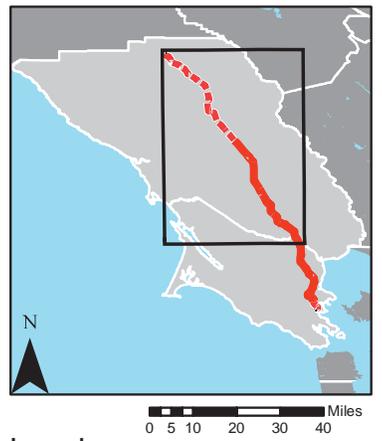
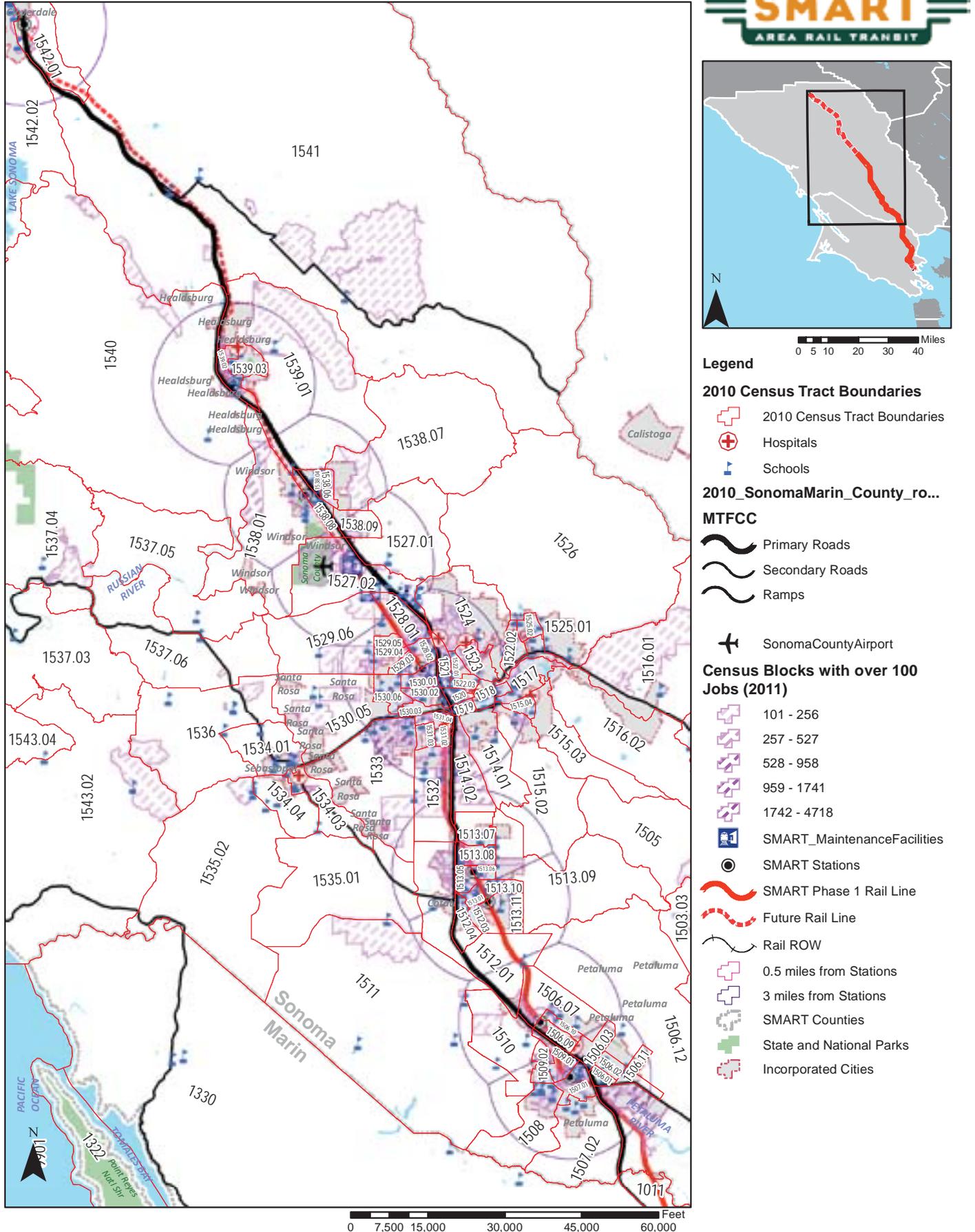


**Legend**

- 2010 Census Tract Boundaries**
- 2010 Census Tract Boundaries
- Hospitals
- Schools
- 2010\_SonomaMarin\_County\_ro...**
- MTFCC**
- Primary Roads
- Secondary Roads
- Ramps
- Census Blocks with over 100 Jobs (2011)**
- 101 - 256
- 257 - 527
- 528 - 958
- 959 - 1741
- 1742 - 4718
- SMART Stations
- SMART Phase 1 Rail Line
- Future Rail Line
- Rail ROW
- BrazosBranch
- 0.5 miles from Stations
- 3 miles from Stations
- SMART Counties
- State and National Parks
- Incorporated Cities

Figure 5. Sonoma County Activity Centers and Trip Generators.

### Sonoma County Activity Centers & Trip Generators



- Legend**
- 2010 Census Tract Boundaries
  - Hospitals
  - Schools
  - 2010\_SonomaMarin\_County\_ro...
  - MTFCC
    - Primary Roads
    - Secondary Roads
    - Ramps
  - SonomaCountyAirport
  - Census Blocks with over 100 Jobs (2011)
    - 101 - 256
    - 257 - 527
    - 528 - 958
    - 959 - 1741
    - 1742 - 4718
  - SMART\_MaintenanceFacilities
  - SMART Stations
  - SMART Phase 1 Rail Line
  - Future Rail Line
  - Rail ROW
  - 0.5 miles from Stations
  - 3 miles from Stations
  - SMART Counties
  - State and National Parks
  - Incorporated Cities

**Table 10. Minority and Hispanic or Latino County and Service District Averages.**

County	Number of Census Tracts	Total Population	Minority Population	Minority Percent	Hispanic or Latino population	Percent Hispanic or Latino
Marin County	56	252,409	52,379	20.8%	39,069	15.5%
Sonoma County	100	483,878	116,926	24.2%	120,430	24.9%
Total/thresholds	156	736,287	169,305	23.0%	159,499	21.7%
Within 0.5 miles of Stations	51	246,424	66,317	26.9%	65,354	26.5%
Within 1 mile of Stations	80	393,833	106,615	27.1%	108,042	27.4%
Within 3 miles of Stations	119	590,951	147,907	25.0%	140,157	23.7%

Source: 2010 Census (DP\_DPDP1)

### Demographic Data

The data in this section were obtained from the 2010 Census data products. Specifically, the new TIGER boundaries were utilized to map and delineate the census tract boundaries, and decennial census data and the American Community Survey (ACS) were accessed for demographic data. When SMART begins revenue services, on-board passenger surveys may supplement census demographic information.

#### Minority, Hispanic or Latino data

Minority persons include American Indian and Alaska Native, Asian, Black or African populations, Native Hawaiian and Other Pacific Islander, and Hispanic or Latino Populations. SMART staff identified those census tracts with populations of minority persons that exceed the average for the SMART service area, meaning the combined populations of the two counties.

In the SMART transit District, there are 62 out of 156 total census tracts in which minority populations or Hispanic or Latino populations exceed the average minority population or average Hispanic or Latino populations in the SMART District. Of the 55 census tracts that have higher than average minority populations, 32 of these census tracts are within 0.5 miles of SMART rail stations, and 58 are within 3 miles of SMART stations, indicating that several above average minority or Hispanic or Latino population areas are directly served by SMART’s transit service, and will benefit from the start of SMART’s revenue service.

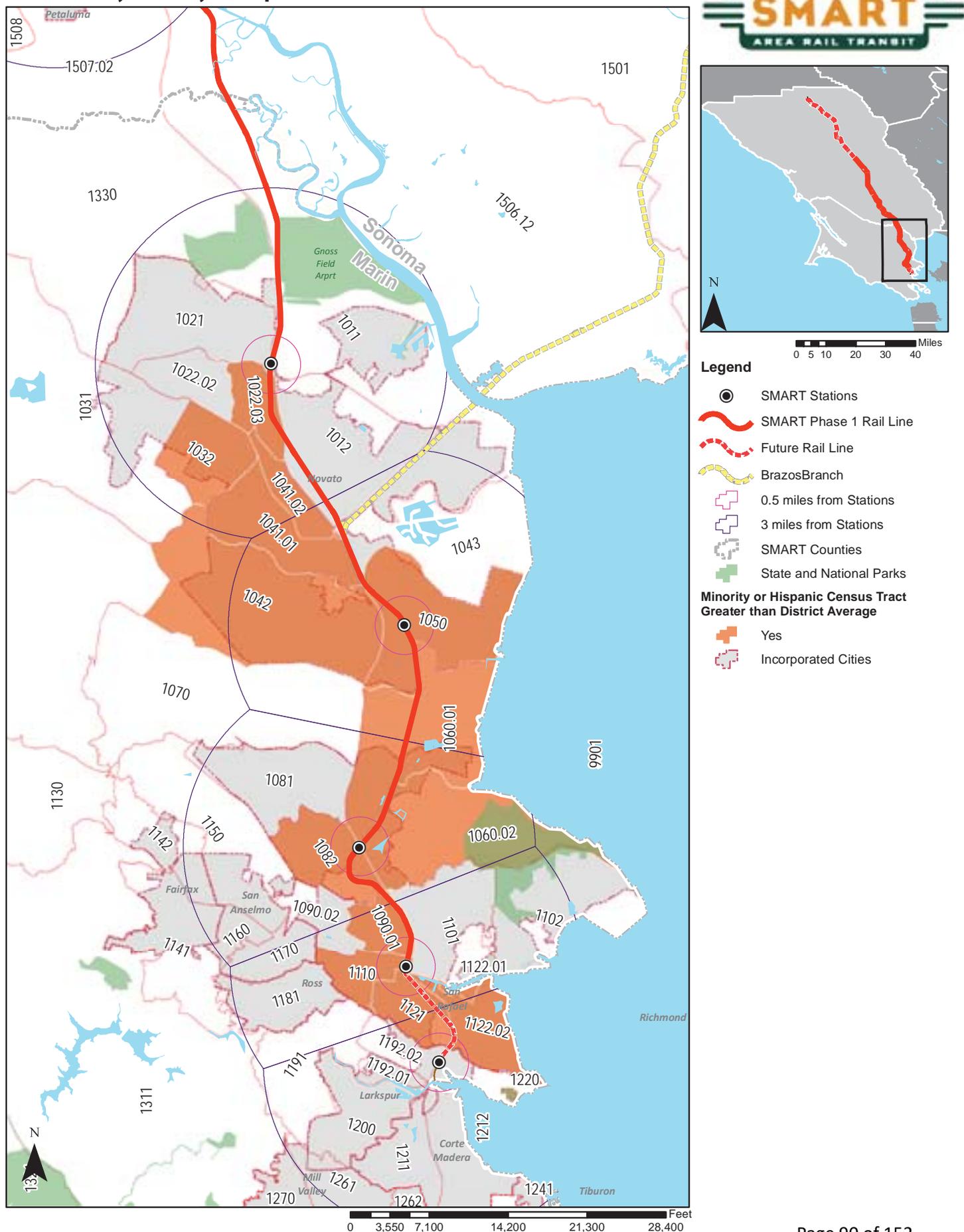
The following maps show by shading where census tracts with a higher than District average percentage of minority populations are located.

Every census tract in the SMART District is listed in table 9, with their percentage of minority and Hispanic or Latino populations. Where the percent of the minority population was greater than the 23% SMART District minority population average, the census tract was designated as a minority census tract. Those census tracts that had higher than a 21.7% population of Hispanic or Latino populations were designated as a Hispanic or Latino census tract.

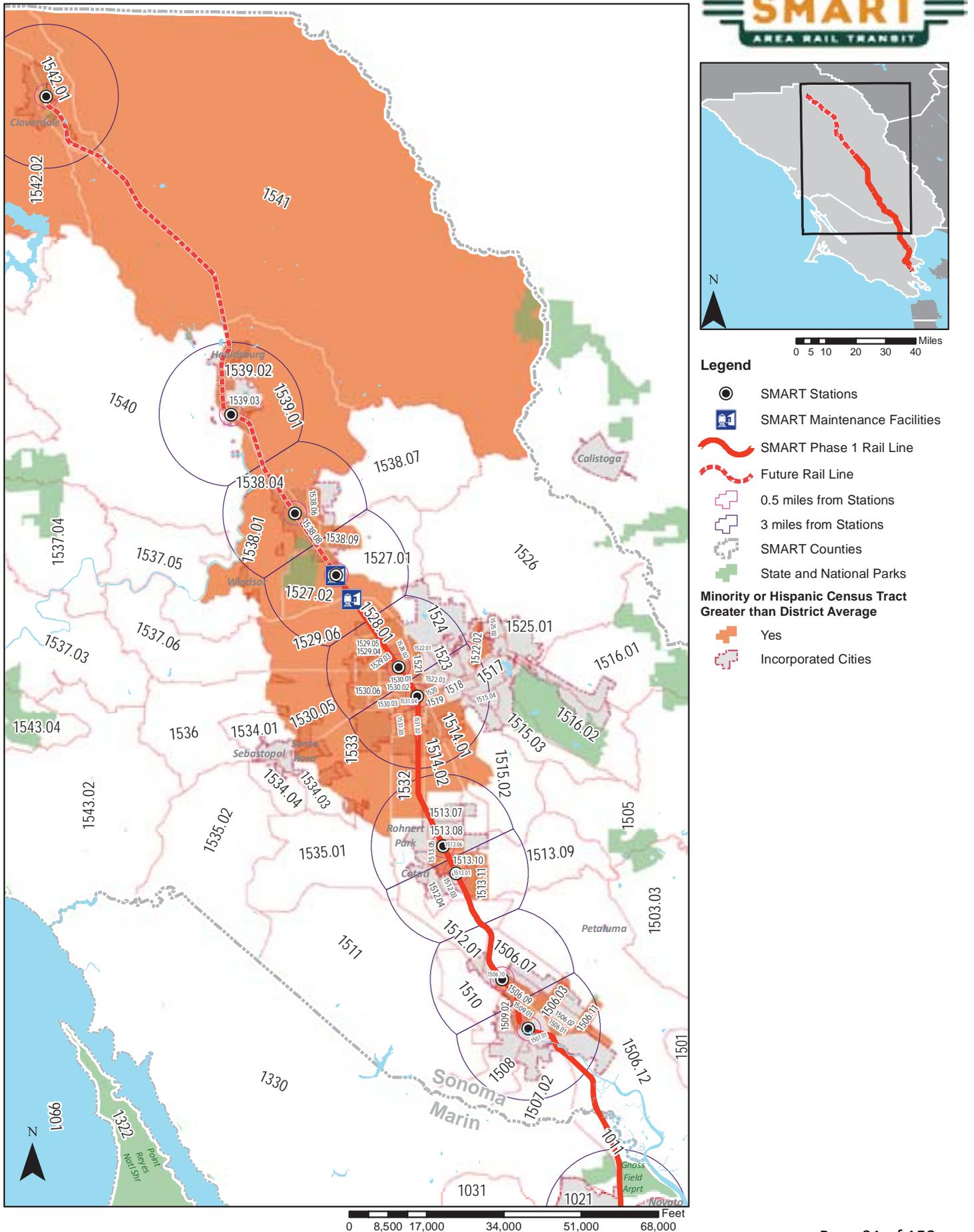


Figure 7. Minority and Hispanic or Latino census tracts, Marin cities close to transit facility.

### Marin County Minority or Hispanic and Latino Census Tracts



**Figure 8. Minority and Hispanic or Latino census tracts, Sonoma cities close to transit facility.**  
**Sonoma County Minority or Hispanic and Latino Census Tracts**



**Table 11. Minority and Hispanic or Latino census tracts.**

County	Census Tract	Within 0.5 mi of a Station?	Within 1 mi of a Station?	Within 3 mi of a Station?	Total population	Minority Population	Percent Minority	Hispanic or Latino (of any race) population	Percent Hispanic or Latino (of any race)	Minority or Hispanic/Latino Tract?
Marin	1011	Yes	Yes	Yes	2,569	281	11%	176	7%	No
Marin	1012	Yes	Yes	Yes	2,682	489	18%	487	18%	No
Marin	1021	Yes	Yes	Yes	2,295	306	13%	204	9%	No
Marin	1022.02	No	Yes	Yes	5,885	1271	22%	1118	19%	No
Marin	1022.03	Yes	Yes	Yes	4,753	1478	31%	1580	33%	Yes
Marin	1031	No	No	Yes	7,168	859	12%	597	8%	No
Marin	1032	No	No	Yes	6,504	1633	25%	1364	21%	Yes
Marin	1041.01	No	Yes	Yes	7,819	1804	23%	1487	19%	Yes
Marin	1041.02	No	No	Yes	5,135	2019	39%	1759	34%	Yes
Marin	1042	Yes	Yes	Yes	5,722	1393	24%	1282	22%	Yes
Marin	1043	No	Yes	Yes	1,530	137	9%	91	6%	No
Marin	1050	Yes	Yes	Yes	6,590	2049	31%	1544	23%	Yes
Marin	1060.01	Yes	Yes	Yes	4,048	1022	25%	602	15%	Yes
Marin	1060.02	Yes	Yes	Yes	5,625	1413	25%	1144	20%	Yes
Marin	1070	No	No	Yes	6,142	899	15%	444	7%	No
Marin	1081	Yes	Yes	Yes	6,406	901	14%	435	7%	No
Marin	1082	Yes	Yes	Yes	6,836	1867	27%	1324	19%	Yes
Marin	1090.01	Yes	Yes	Yes	3,853	1341	35%	1198	31%	Yes
Marin	1090.02	No	Yes	Yes	3,956	443	11%	263	7%	No
Marin	1101	Yes	Yes	Yes	5,849	1273	22%	965	17%	No
Marin	1102	No	No	Yes	5,327	515	10%	219	4%	No
Marin	1110	Yes	Yes	Yes	5,852	1666	29%	1390	24%	Yes
Marin	1121	Yes	Yes	Yes	4,315	1181	27%	1127	26%	Yes
Marin	1122.01	No	Yes	Yes	7,809	4993	64%	7063	90%	Yes
Marin	1122.02	Yes	Yes	Yes	4,217	2234	53%	2591	61%	Yes
Marin	1130	No	No	No	3,656	333	9%	236	7%	No
Marin	1141	No	No	Yes	5,133	545	11%	305	6%	No
Marin	1142	No	No	Yes	3,087	367	12%	233	8%	No
Marin	1150	No	No	Yes	7,249	676	9%	357	5%	No
Marin	1160	No	No	Yes	3,070	270	9%	165	5%	No
Marin	1170	No	No	Yes	4,527	583	13%	274	6%	No
Marin	1181	No	No	Yes	2,407	150	6%	93	4%	No
Marin	1191	No	Yes	Yes	4,609	424	9%	233	5%	No
Marin	1192.01	Yes	Yes	Yes	3,288	638	19%	366	11%	No
Marin	1192.02	Yes	Yes	Yes	3,361	378	11%	117	4%	No
Marin	1200	Yes	Yes	Yes	6,027	621	10%	337	6%	No
Marin	1211	No	Yes	Yes	5,175	771	15%	479	9%	No
Marin	1212	Yes	Yes	Yes	5,601	1130	20%	513	9%	No
Marin	1220	No	No	Yes	4,854	2954	61%	958	20%	Yes
Marin	1230	No	No	No	2,074	130	6%	72	4%	No

**Table 11. Minority and Hispanic or Latino census tracts (con't).**

County	Census Tract	Within 0.5 mi of a Station?	Within 1 mi of a Station?	Within 3 mi of a Station?	Total population	Minority Population	Percent Minority	Hispanic or Latino (of any race) population	Percent Hispanic or Latino (of any race)	Minority or Hispanic/Latino Tract?
Marin	1241	No	No	Yes	5,441	714	13%	289	5%	No
Marin	1242	No	No	No	5,626	693	12%	250	4%	No
Marin	1250	No	No	No	4,262	935	22%	265	6%	No
Marin	1261	No	No	Yes	5,808	515	9%	232	4%	No
Marin	1262	No	No	Yes	4,249	767	18%	243	6%	No
Marin	1270	No	No	Yes	4,579	438	10%	201	4%	No
Marin	1281	No	No	No	6,505	896	14%	342	5%	No
Marin	1282	No	No	No	4,582	518	11%	211	5%	No
Marin	1290	No	No	No	2,359	1673	71%	346	15%	Yes
Marin	1302.01	No	No	No	3,191	300	9%	133	4%	No
Marin	1302.02	No	No	No	4,453	423	10%	171	4%	No
Marin	1311	No	No	Yes	1,038	142	14%	68	7%	No
Marin	1321	No	No	No	2,311	285	12%	293	13%	No
Marin	1322	No	No	No	1,774	228	13%	262	15%	No
Marin	1330	No	Yes	Yes	3,226	415	13%	571	18%	No
Sonoma	1501	No	No	No	2,322	309	13%	385	17%	No
Sonoma	1502.02	No	No	No	5,103	698	14%	882	17%	No
Sonoma	1502.03	No	No	No	4,505	518	12%	625	14%	No
Sonoma	1502.04	No	No	No	3,678	517	14%	529	14%	No
Sonoma	1503.03	No	No	No	4,170	372	9%	386	9%	No
Sonoma	1503.04	No	No	No	6,158	1697	28%	2472	40%	Yes
Sonoma	1503.05	No	No	No	5,282	2079	39%	3186	60%	Yes
Sonoma	1503.06	No	No	No	4,107	910	22%	1497	36%	Yes
Sonoma	1505	No	No	No	5,283	672	13%	618	12%	No
Sonoma	1506.01	No	Yes	Yes	4,089	1209	30%	1345	33%	Yes
Sonoma	1506.02	No	No	Yes	4,307	835	19%	843	20%	No
Sonoma	1506.03	No	Yes	Yes	7,249	1824	25%	2387	33%	Yes
Sonoma	1506.07	Yes	Yes	Yes	5,369	1087	20%	758	14%	No
Sonoma	1506.09	Yes	Yes	Yes	4,465	932	21%	1090	24%	Yes
Sonoma	1506.10	Yes	Yes	Yes	4,004	734	18%	688	17%	No
Sonoma	1506.11	No	No	Yes	4,067	1188	29%	1272	31%	Yes
Sonoma	1506.12	No	Yes	Yes	4,325	789	18%	667	15%	No
Sonoma	1507.01	Yes	Yes	Yes	4,609	913	20%	925	20%	No
Sonoma	1507.02	No	Yes	Yes	4,552	456	10%	340	8%	No
Sonoma	1508	No	Yes	Yes	4,994	731	15%	737	15%	No
Sonoma	1509.01	Yes	Yes	Yes	4,904	1126	23%	1519	31%	Yes
Sonoma	1509.02	No	Yes	Yes	3,350	382	11%	331	10%	No
Sonoma	1510	Yes	Yes	Yes	3,483	473	14%	514	15%	No
Sonoma	1511	No	No	Yes	5,151	680	13%	747	15%	No

**Table 11. Minority and Hispanic or Latino census tracts (con't).**

County	Census Tract	Within 0.5 mi of a Station?	Within 1 mi of a Station?	Within 3 mi of a Station?	Total population	Minority Population	Percent Minority	Hispanic or Latino (of any race) population	Percent Hispanic or Latino (of any race)	Minority or Hispanic/Latino Tract?
Sonoma	1512.01	No	Yes	Yes	6,855	1377	20%	1347	20%	No
Sonoma	1512.03	Yes	Yes	Yes	5,130	944	18%	947	19%	No
Sonoma	1512.04	No	Yes	Yes	3,413	724	21%	635	19%	No
Sonoma	1513.01	Yes	Yes	Yes	4,587	1280	28%	1469	32%	Yes
Sonoma	1513.05	Yes	Yes	Yes	5,405	1838	34%	1948	36%	Yes
Sonoma	1513.06	Yes	Yes	Yes	3,636	882	24%	702	19%	Yes
Sonoma	1513.07	No	Yes	Yes	5,174	1068	21%	792	15%	No
Sonoma	1513.08	Yes	Yes	Yes	4,796	890	19%	695	15%	No
Sonoma	1513.09	No	Yes	Yes	4,865	887	18%	735	15%	No
Sonoma	1513.10	Yes	Yes	Yes	6,143	1536	25%	1018	17%	Yes
Sonoma	1513.11	Yes	Yes	Yes	6,382	1479	23%	1044	16%	Yes
Sonoma	1514.01	No	Yes	Yes	7,306	3250	45%	3726	51%	Yes
Sonoma	1514.02	No	Yes	Yes	9,177	3876	42%	4538	49%	Yes
Sonoma	1515.02	No	No	Yes	6,591	1137	17%	870	13%	No
Sonoma	1515.03	No	No	No	3,572	291	8%	175	5%	No
Sonoma	1515.04	No	No	Yes	3,563	501	14%	386	11%	No
Sonoma	1516.01	No	No	No	2,901	141	5%	168	6%	No
Sonoma	1516.02	No	No	No	3,324	159	5%	102	3%	No
Sonoma	1517	No	No	Yes	6,978	1570	23%	1257	18%	No
Sonoma	1518	No	No	Yes	5,219	781	15%	624	12%	No
Sonoma	1519	Yes	Yes	Yes	3,158	842	27%	788	25%	Yes
Sonoma	1520	Yes	Yes	Yes	2,079	577	28%	540	26%	Yes
Sonoma	1521	No	Yes	Yes	3,004	794	26%	683	23%	Yes
Sonoma	1522.01	No	Yes	Yes	3,846	880	23%	704	18%	No
Sonoma	1522.02	No	No	Yes	6,763	1596	24%	1211	18%	Yes
Sonoma	1522.03	No	Yes	Yes	3,527	503	14%	416	12%	No
Sonoma	1523	No	No	Yes	4,329	349	8%	274	6%	No
Sonoma	1524	No	No	Yes	10,001	1426	14%	667	7%	No
Sonoma	1525.01	No	No	Yes	4,178	894	21%	703	17%	No
Sonoma	1525.02	No	No	No	3,603	702	20%	565	16%	No
Sonoma	1526	No	No	No	8,365	994	12%	599	7%	No
Sonoma	1527.01	Yes	Yes	Yes	5,271	1123	21%	1081	21%	No
Sonoma	1527.02	Yes	Yes	Yes	5,242	1151	22%	1234	24%	Yes
Sonoma	1528.01	No	Yes	Yes	5,547	1397	25%	1166	21%	Yes
Sonoma	1528.02	Yes	Yes	Yes	6,807	2833	42%	2945	43%	Yes
Sonoma	1529.03	Yes	Yes	Yes	5,114	2736	54%	2696	53%	Yes
Sonoma	1529.04	No	Yes	Yes	5,095	1308	26%	1233	24%	Yes
Sonoma	1529.05	No	No	Yes	4,037	1293	32%	1092	27%	Yes
Sonoma	1529.06	No	No	Yes	5,234	1331	25%	1023	20%	Yes

**Table 11. Minority and Hispanic or Latino census tracts (con't).**

County	Census Tract	Within 0.5 mi of a Station?	Within 1 mi of a Station?	Within 3 mi of a Station?	Total population	Minority Population	Percent Minority	Hispanic or Latino (of any race) population	Percent Hispanic or Latino (of any race)	Minority or Hispanic/Latino Tract?
Sonoma	1530.01	Yes	Yes	Yes	6,594	2847	43%	2818	43%	Yes
Sonoma	1530.02	Yes	Yes	Yes	6,827	2803	41%	3629	53%	Yes
Sonoma	1530.03	Yes	Yes	Yes	5,502	2161	39%	2318	42%	Yes
Sonoma	1530.05	No	No	Yes	6,669	1730	26%	1631	25%	Yes
Sonoma	1530.06	No	Yes	Yes	7,286	2202	30%	2116	29%	Yes
Sonoma	1531.02	No	Yes	Yes	5,742	3125	54%	3814	66%	Yes
Sonoma	1531.03	No	Yes	Yes	4,716	2453	52%	2791	59%	Yes
Sonoma	1531.04	Yes	Yes	Yes	4,046	2105	52%	2638	65%	Yes
Sonoma	1532	No	No	Yes	7,522	3693	49%	3702	49%	Yes
Sonoma	1533	No	No	Yes	11,010	4840	44%	4173	38%	Yes
Sonoma	1534.01	No	No	No	6,131	733	12%	758	12%	No
Sonoma	1534.03	No	No	No	3,840	408	11%	342	9%	No
Sonoma	1534.04	No	No	No	4,011	422	11%	382	10%	No
Sonoma	1535.01	No	No	Yes	4,319	473	11%	471	11%	No
Sonoma	1535.02	No	No	No	3,684	409	11%	379	10%	No
Sonoma	1536	No	No	No	5,327	658	12%	757	14%	No
Sonoma	1537.03	No	No	No	3,490	398	11%	267	8%	No
Sonoma	1537.04	No	No	No	3,728	544	15%	476	13%	No
Sonoma	1537.05	No	No	Yes	3,536	462	13%	399	11%	No
Sonoma	1537.06	No	No	No	4,092	429	11%	446	11%	No
Sonoma	1538.01	Yes	Yes	Yes	9,648	2990	31%	3460	36%	Yes
Sonoma	1538.04	Yes	Yes	Yes	3,239	735	23%	872	27%	Yes
Sonoma	1538.06	No	Yes	Yes	3,288	805	25%	880	27%	Yes
Sonoma	1538.07	No	No	Yes	3,861	550	14%	617	16%	No
Sonoma	1538.08	Yes	Yes	Yes	4,251	1354	32%	1843	43%	Yes
Sonoma	1538.09	No	No	Yes	4,336	1162	27%	1248	29%	Yes
Sonoma	1539.01	Yes	Yes	Yes	5,421	1228	23%	1401	26%	Yes
Sonoma	1539.02	Yes	Yes	Yes	4,147	1644	40%	2065	50%	Yes
Sonoma	1539.03	Yes	Yes	Yes	3,760	539	14%	734	20%	No
Sonoma	1540	Yes	Yes	Yes	2,597	392	15%	470	18%	No
Sonoma	1541	No	No	Yes	3,729	755	20%	1104	30%	Yes
Sonoma	1542.01	Yes	Yes	Yes	3,925	1341	34%	1702	43%	Yes
Sonoma	1542.02	Yes	Yes	Yes	5,994	1141	19%	1421	24%	Yes
Sonoma	1543.02	No	No	No	3,747	419	11%	311	8%	No
Sonoma	1543.03	No	No	No	1,720	143	8%	159	9%	No
Sonoma	1543.04	No	No	No	2,400	362	15%	295	12%	No
Marin	9901	No	No	Yes	-	0	0%	0	0%	No
Sonoma	9901	No	No	No	-	0	0%	0	0%	No

**Low Income data**

A low-income person indicates a person whose median household income is at or below the U.S. Department of Health and Human Services (HHS) poverty guidelines. The 2018 HHS Poverty Guidelines are outlined in the table below:

**Table 12. 2018 HHS Poverty Guidelines**

Persons in Family	48 Contiguous States and D.C.	Alaska	Hawaii
1	\$12,140	\$15,180	\$13,960
2	16,460	20,580	18,930
3	20,780	25,980	23,900
4	25,100	31,380	28,870
5	29,420	36,780	33,840
6	33,740	42,180	38,810
7	38,060	47,580	43,780
8	42,380	52,980	48,750
For each additional person, add	4,320	\$5,400	\$4,970

Source: Federal Register Notice, January 28, 2018; <http://aspe.hhs.gov/poverty/>

**Table 13. Low Income and Poverty County thresholds.**

County	Population Estimate	Population Below poverty level	Percent of Population below the Poverty Level	Total households	Median household income (dollars)	80% of Median Income - Low Income	50% of Median Income - Very Low Income
Marin County	241,149	16,796	7.0%	102,727	\$89,268	\$71,414	\$44,634
Sonoma County	467,329	48,005	10.3%	184,033	\$63,274	\$50,619	\$31,637
Total/thresholds	708,478	64,801	9.1%	286,760	n/a	n/a	n/a
Within 0.5 miles of Stations	216,127	18,916	8.8%	-	-	-	-
Within 1 mile of Stations	338,074	28,109	8.3%	-	-	-	-
Within 3 miles of Stations	526,731	44,907	8.5%	-	-	-	-

*Source: American Community Survey 2010 (5YR\_S1701, 5YR\_DP03)*

In addition to the HHS Poverty Guidelines, poverty thresholds as defined by the US Census, ACS data table S1701 that measures level of poverty by census tract, were utilized in addition to county median income thresholds. Further, to better understand where low income and below poverty populations may exist in the SMART District, where the median income was 80% of the county median income (low income), and 50% of the county median income for very low income populations was determined. In general, the median household income is higher in Marin and Sonoma Counties than in other counties. Staff compared median incomes in each county to their respective income thresholds.

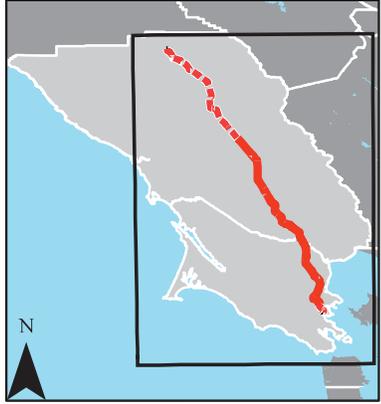
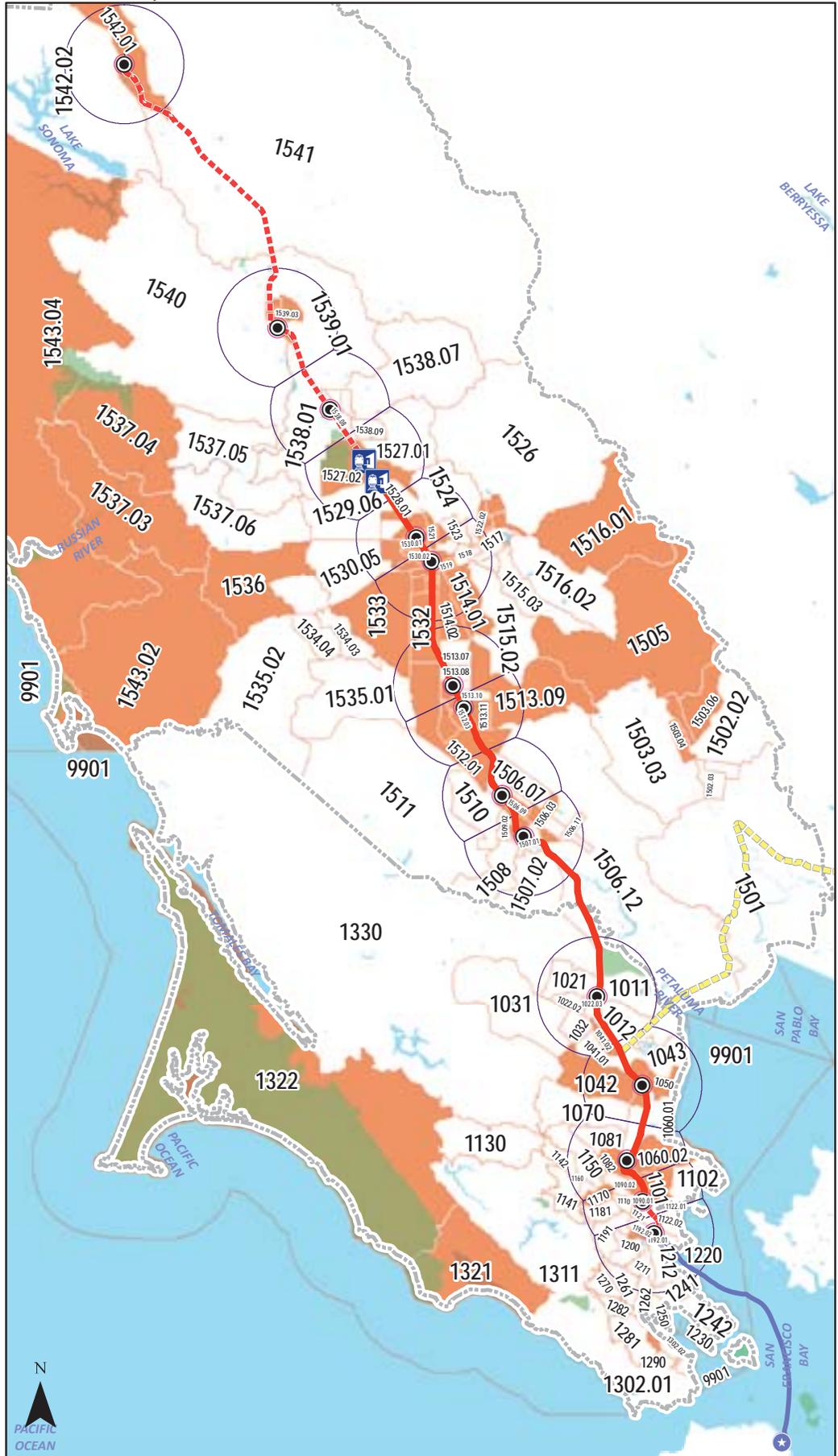
In the SMART transit District, 35 of 156 census tracts are considered low or very low income census tracts based on the percentage of median income statistics for each county. Of the low and very low income census tracts, 20 census tracts are located within 0.5 miles of SMART stations, and 27 census tracts are located within 3 miles of SMART stations. In general, SMART transit stations serve the majority of census tracts with populations above the District average for low and very low incomes who will benefit from the start of SMART’s revenue service.

The following maps show by shading where those census tracts with 80% and 50% of county median income and below poverty level populations are located.

Every census tract in the District is listed in table 14 following figure 14, with their percentage of below poverty level populations, and low income populations. Tracts with a higher percentage of population below the poverty level than the District average of 9.1% were noted as below poverty level census tracts in the table. There is no District average for median incomes for the combined counties, but it should be noted that the median income for Marin County is over \$20,000 greater than the median income for Sonoma County, suggesting that if a District median income could be computed, more census tracts of low and very low income might be located in Sonoma County.

Figure 9. Below poverty level census tracts.

### Below Poverty Census Tracts

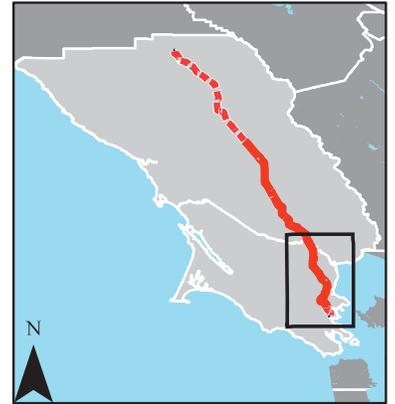
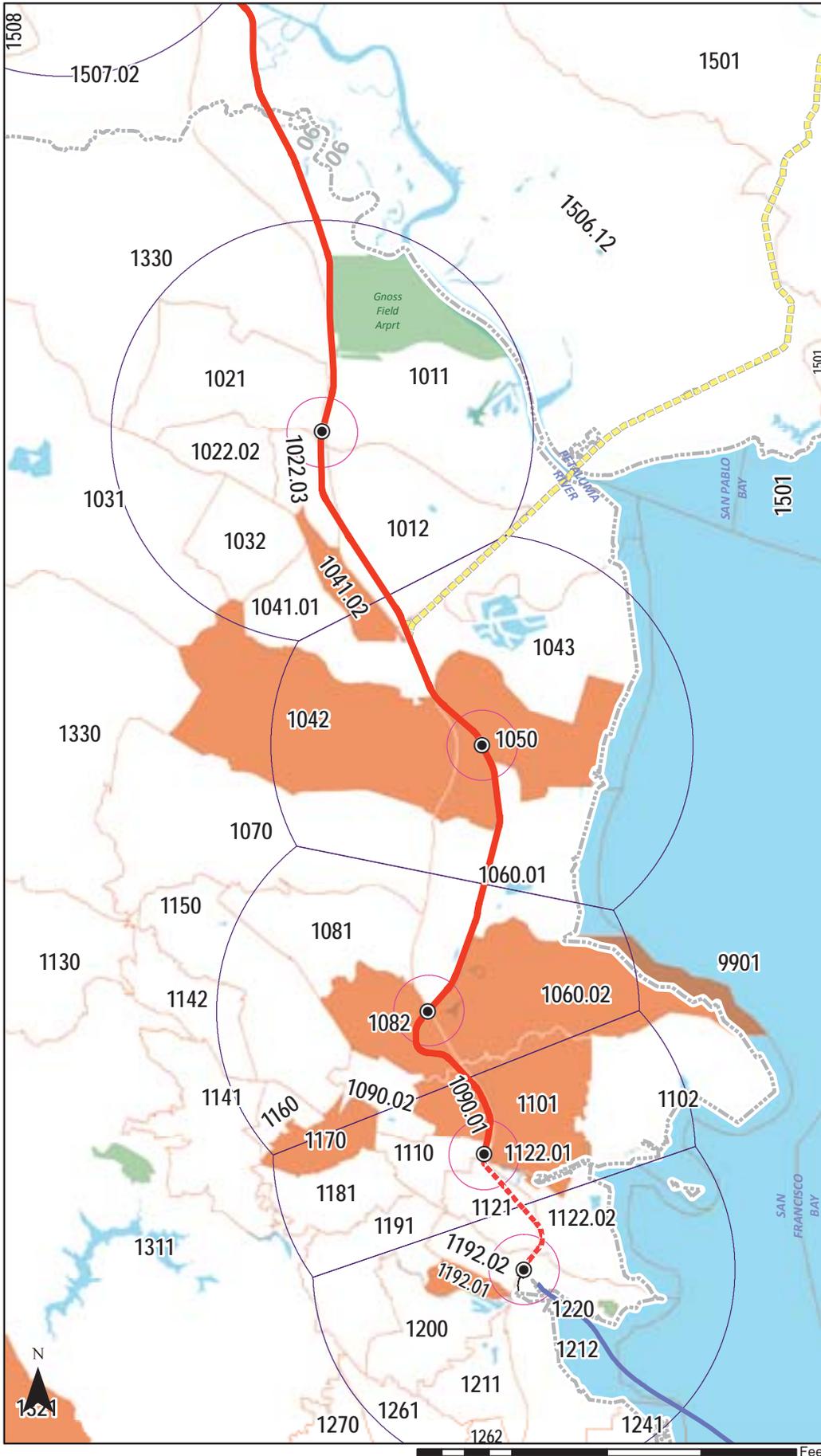


0 5 10 20 30 40 Miles

- Legend**
- San Francisco Ferry Building
  - SMART\_MaintenanceFacilities
  - SMART Stations
  - SMART Phase 1 Rail Line
  - Future Rail Line
  - Rail ROW
  - BrazosBranch
  - 0.5 miles from Stations
  - 3 miles from Stations
  - SMART Counties
  - State and National Parks
- Below Poverty Census Tract**
- Yes
  - no

Figure 10. Below poverty level census tracts, Marin cities close to transit facility.

### Marin County Below Poverty Census Tracts



**Legend**

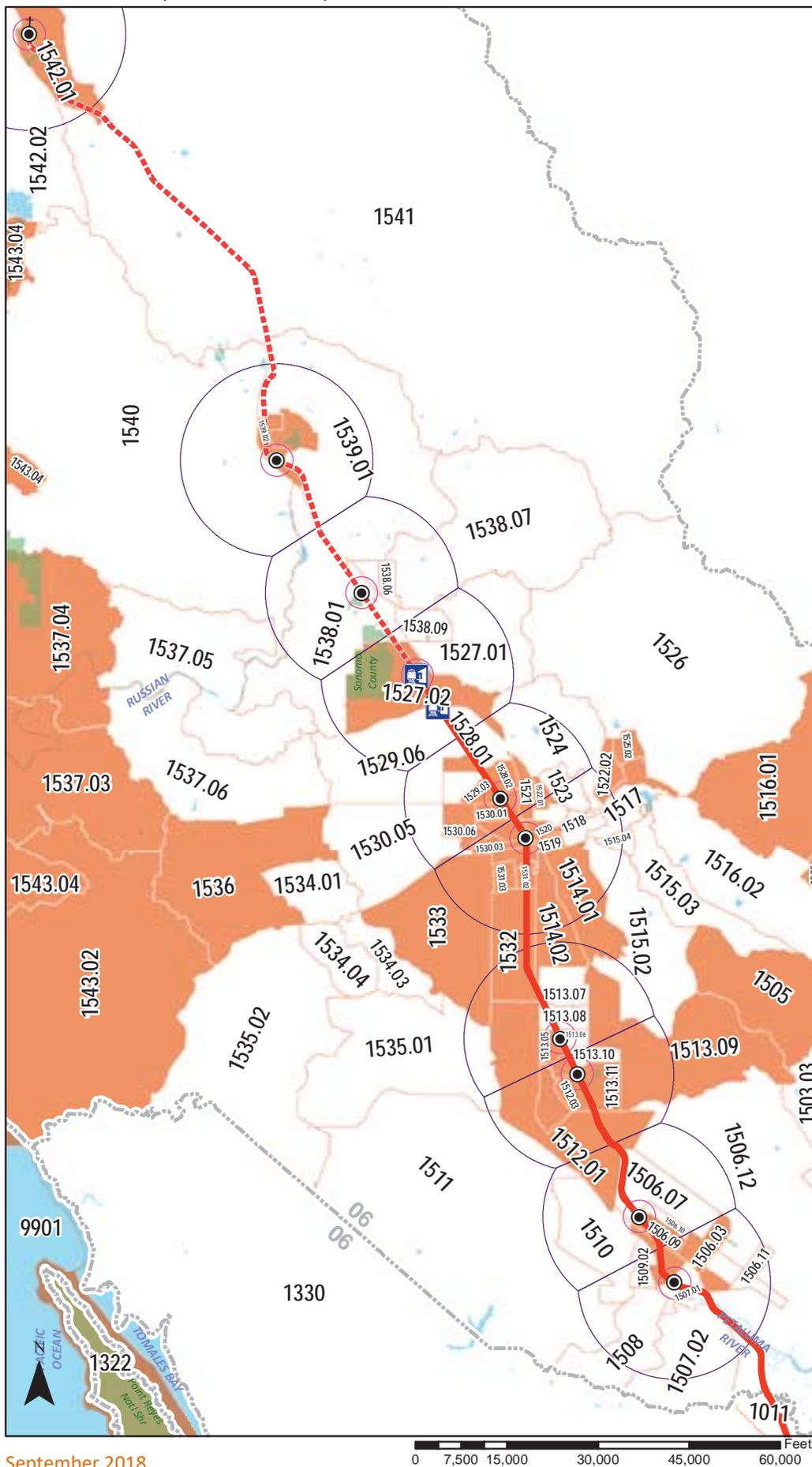
- SMART Stations
- SMART Phase 1 Rail Line
- Future Rail Line
- Rail ROW
- BrazosBranch
- 0.5 miles from Stations
- 3 miles from Stations
- SMART Counties
- State and National Parks

**Below Poverty Census Tract**

- Yes
- no

Figure 11. Below poverty level census tracts, Sonoma cities close to transit facility.

### Sonoma County Below Poverty Census Tracts



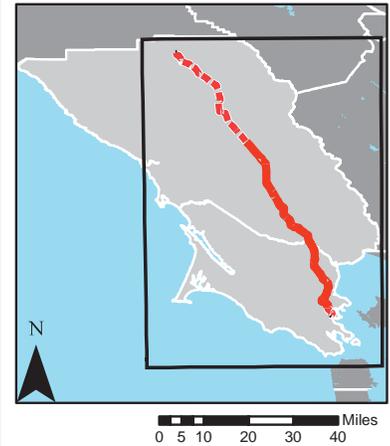
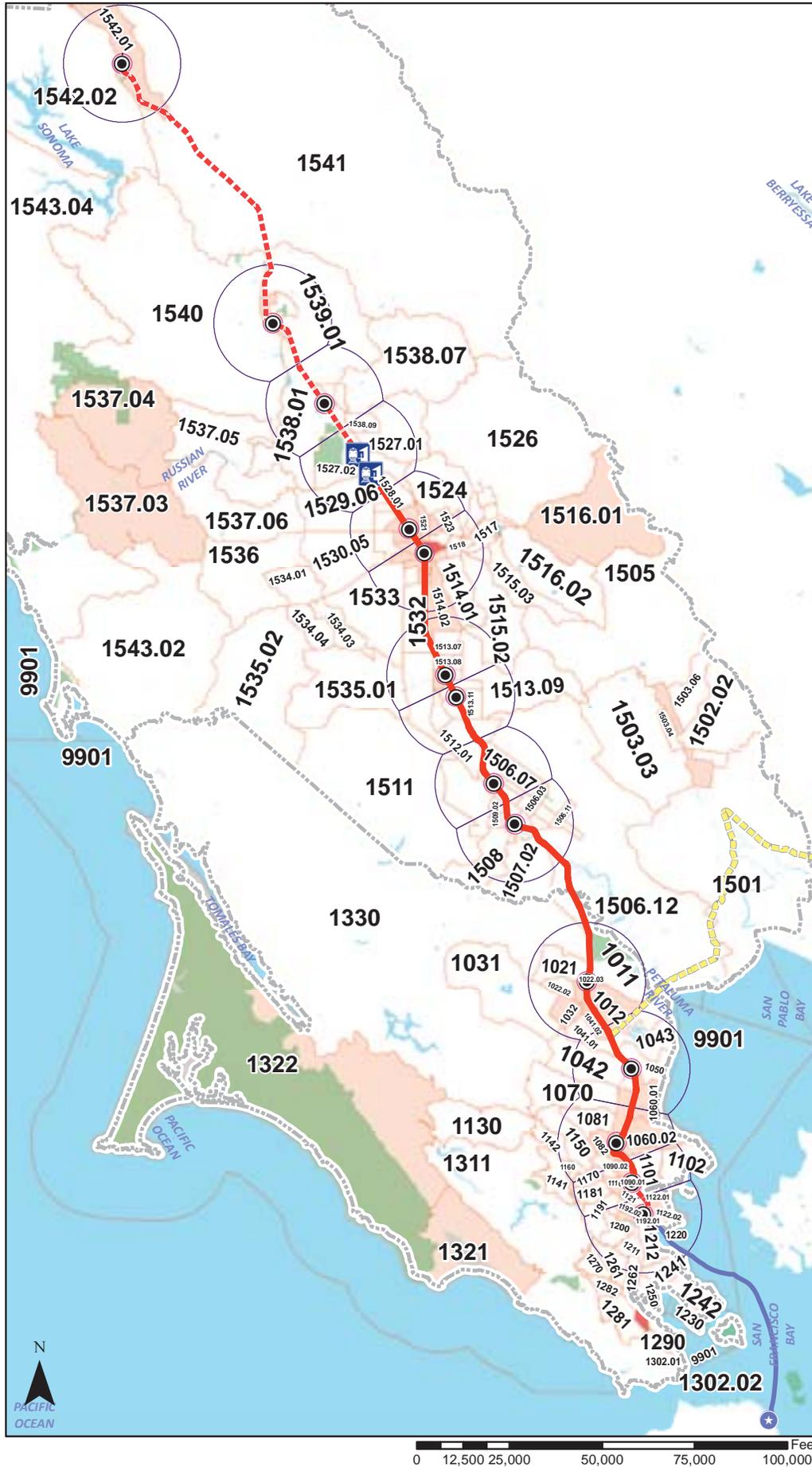
0 5 10 20 30 40 Miles

#### Legend

- SMART\_MaintenanceFacilities
  - SMART Stations
  - SMART Phase 1 Rail Line
  - Future Rail Line
  - Rail ROW
  - 0.5 miles from Stations
  - 3 miles from Stations
  - SMART Counties
  - State and National Parks
- Below Poverty Census Tract**
- Yes
  - no

Figure 12. Low income census tracts.

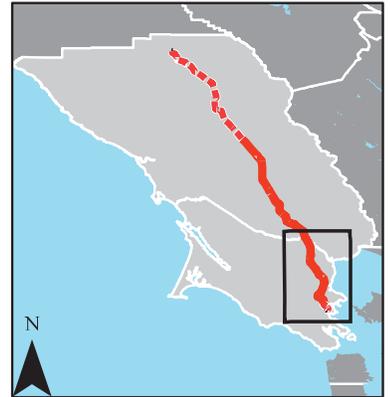
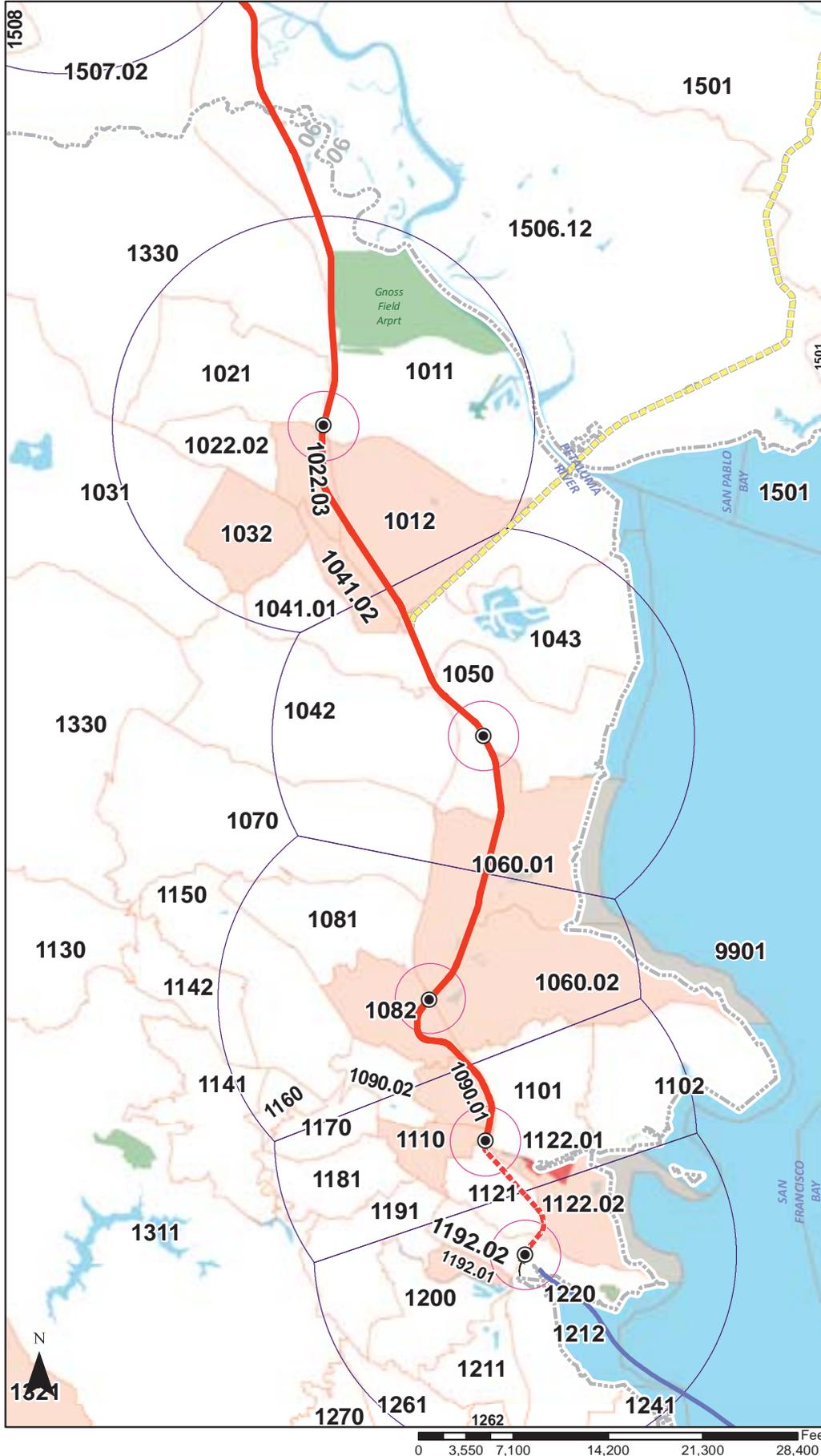
Low & Very Low Income Census Tracts



- Legend**
- San Francisco Ferry Building
  - SMART\_MaintenanceFacilities
  - SMART Stations
  - SMART Phase 1 Rail Line
  - Future Rail Line
  - Rail ROW
  - BrazosBranch
  - 0.5 miles from Stations
  - 3 miles from Stations
  - SMART Counties
  - State and National Parks
- low and very low Census Tracts**
- Low (80% of Median Income)
  - Very Low (50% of Median Income)
  - no

Figure 13. Low income census tracts, Marin cities close to transit facility.

### Marin County Low & Very Low Income Census Tracts

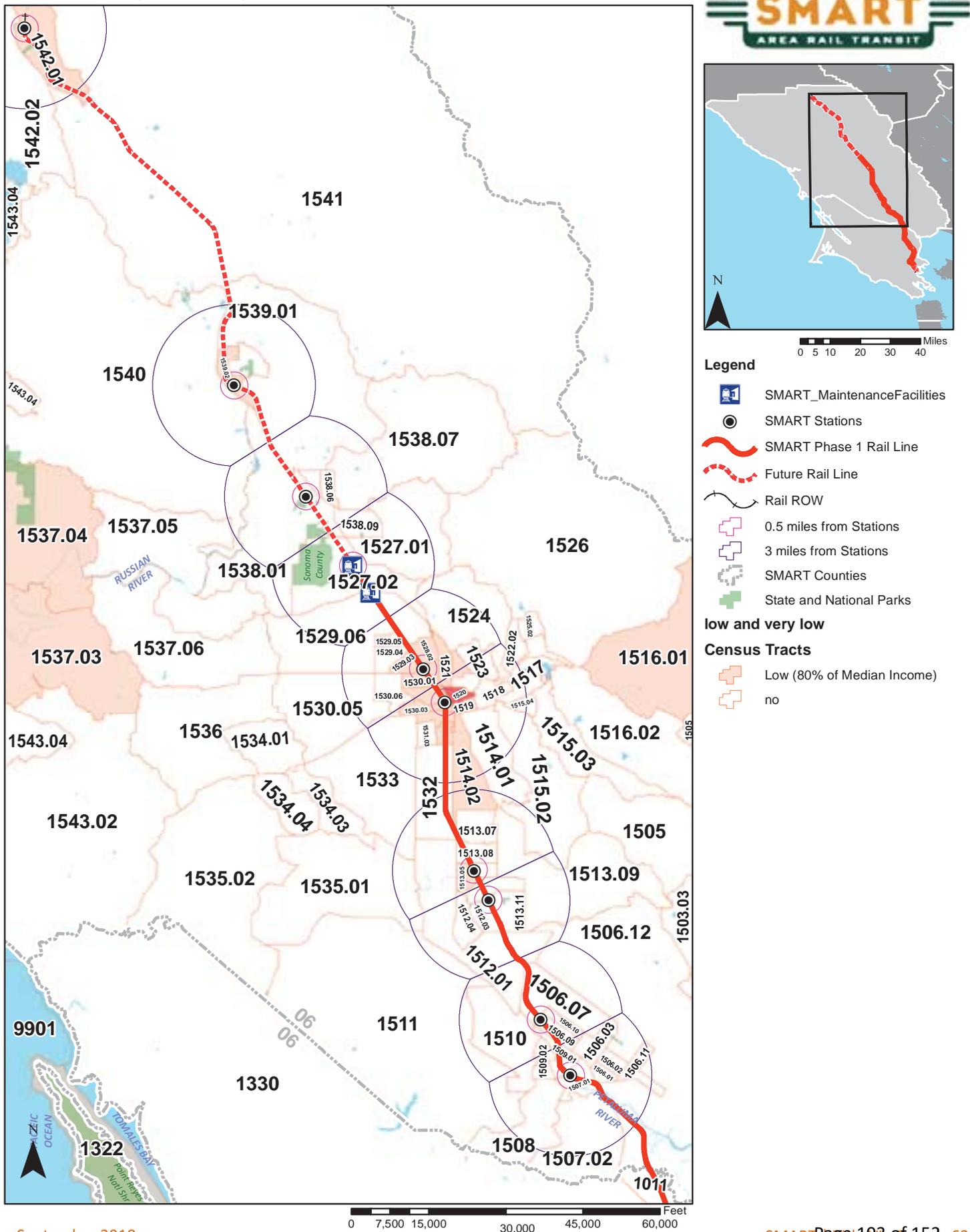


**Legend**

- SMART Stations
  - SMART Phase 1 Rail Line
  - Future Rail Line
  - Rail ROW
  - BrazosBranch
  - 0.5 miles from Stations
  - 3 miles from Stations
  - SMART Counties
  - State and National Parks
- low and very low**
- Census Tracts**
- Low (80% of Median Income)
  - Very Low (50% of Median Income)
  - no

Figure 14. Low income census tracts, Sonoma cities close to transit facility.

### Sonoma County Low & Very Low Income Census Tracts



**Table 14. Low income census tracts.**

County	Census Tract	Within 0.5 mi of a Station?	Within 1 mi of a Station?	Within 3 mi of a Station?	Total Households	Median Household Income (\$)	Low Income tract?	Population for whom poverty status is determined	Population Below poverty level	Percent below poverty level (Estimate)	Below Poverty Level Tract?
Marin	1011	Yes	Yes	Yes	962	118,359	no	2,823	238	8%	no
Marin	1012	Yes	Yes	Yes	984	64,389	Low	2,491	182	7%	no
Marin	1021	Yes	Yes	Yes	916	102,500	no	2,459	60	2%	no
Marin	1022.02	No	Yes	Yes	2,113	73,875	no	5,692	483	9%	no
Marin	1022.03	Yes	Yes	Yes	1,781	49,552	Low	4,234	285	7%	no
Marin	1031	No	No	Yes	2,584	102,039	no	7,490	108	7%	no
Marin	1032	No	No	Yes	2,512	70,938	Low	5,480	614	9%	no
Marin	1041.01	No	Yes	Yes	3,056	101,012	no	1,479	82	1%	no
Marin	1041.02	No	No	Yes	2,012	66,277	Low	6,030	625	10%	Yes
Marin	1042	Yes	Yes	Yes	2,432	83,219	no	3,737	199	11%	Yes
Marin	1043	No	Yes	Yes	637	102,639	no	5,809	539	6%	no
Marin	1050	Yes	Yes	Yes	2,397	75,495	no	6,566	273	10%	Yes
Marin	1060.01	Yes	Yes	Yes	2,156	68,275	Low	6,465	627	5%	no
Marin	1060.02	Yes	Yes	Yes	2,193	61,783	Low	3,688	367	9%	Yes
Marin	1070	No	No	Yes	2,506	109,636	no	3,955	68	4%	no
Marin	1081	Yes	Yes	Yes	2,634	100,167	no	5,300	286	4%	no
Marin	1082	Yes	Yes	Yes	2,952	68,207	Low	4,272	375	10%	Yes
Marin	1090.01	Yes	Yes	Yes	1,650	65,297	Low	7,220	2,038	10%	Yes
Marin	1090.02	No	Yes	Yes	1,825	93,880	no	3,600	304	2%	no
Marin	1101	Yes	Yes	Yes	2,394	90,102	no	3,250	385	14%	Yes
Marin	1102	No	No	Yes	2,285	135,670	no	3,447	72	3%	no
Marin	1110	Yes	Yes	Yes	2,762	66,058	Low	5,843	235	5%	no
Marin	1121	Yes	Yes	Yes	1,875	74,408	no	5,175	98	9%	no
Marin	1122.01	No	Yes	Yes	1,878	32,018	Very Low	5,679	142	28%	Yes
Marin	1122.02	Yes	Yes	Yes	1,310	46,289	Low	3,005	109	8%	no
Marin	1130	No	No	No	1,489	89,740	no	7,635	978	6%	no
Marin	1141	No	No	Yes	2,186	108,676	no	5,825	128	8%	no
Marin	1142	No	No	Yes	1,262	73,375	no	4,552	594	5%	no
Marin	1150	No	No	Yes	2,804	125,000	no	4,413	136	3%	no
Marin	1160	No	No	Yes	1,244	75,044	no	3,362	237	6%	no
Marin	1170	No	No	Yes	1,938	81,132	no	4,612	224	12%	Yes
Marin	1181	No	No	Yes	710	136,833	no	4,388	73	7%	no
Marin	1191	No	Yes	Yes	1,907	123,650	no	5,452	933	4%	no
Marin	1192.01	Yes	Yes	Yes	1,882	64,788	Low	8,985	868	12%	Yes
Marin	1192.02	Yes	Yes	Yes	1,296	123,333	no	6,919	624	2%	no
Marin	1200	Yes	Yes	Yes	2,803	90,605	no	2,555	467	4%	no
Marin	1211	No	Yes	Yes	2,390	101,442	no	1,990	815	2%	no
Marin	1212	Yes	Yes	Yes	2,596	90,053	no	1,929	488	3%	no
Marin	1220	No	No	Yes	-	-	no	3,508	207	0%	no
Marin	1230	No	No	No	931	132,446	no	5,153	798	1%	no

**Table 14. Low income census tracts (con't).**

County	Census Tract	Within 0.5 mi of a Station?	Within 1 mi of a Station?	Within 3 mi of a Station?	Total Households	Median Household Income (\$)	Low Income tract?	Population for whom poverty status is determined	Population Below poverty level	Percent below poverty level (Estimate)	Below Poverty Level Tract?
Marin	1241	No	No	Yes	2,130	116,719	no	6,306	1658	3%	no
Marin	1242	No	No	No	2,384	135,625	no	4,895	792	4%	no
Marin	1250	No	No	No	1,935	91,685	no	4,614	390	7%	no
Marin	1261	No	No	Yes	2,380	117,090	no	5,282	981	2%	no
Marin	1262	No	No	Yes	2,158	83,835	no	6,029	1,399	4%	no
Marin	1270	No	No	Yes	1,888	121,324	no	5,764	1,100	2%	no
Marin	1281	No	No	No	2,629	134,375	no	5,888	1,027	4%	no
Marin	1282	No	No	No	1,893	114,896	no	5,087	545	4%	no
Marin	1290	No	No	No	1,135	41,384	Very Low	3,665	461	33%	Yes
Marin	1302.01	No	No	No	2,068	102,167	no	6,555	1,263	5%	no
Marin	1302.02	No	No	No	2,636	92,500	no	9,399	546	8%	no
Marin	1311	No	No	Yes	398	90,816	no	3,227	54	3%	no
Marin	1321	No	No	No	772	69,000	Low	2,971	133	13%	Yes
Marin	1322	No	No	No	868	65,000	Low	3,948	333	10%	Yes
Marin	1330	No	Yes	Yes	1,209	88,036	no	5,671	415	4%	no
Sonoma	1501	No	No	No	1,115	76,203	no	4,001	601	4%	no
Sonoma	1502.02	No	No	No	2,314	68,614	no	3,447	333	6%	no
Sonoma	1502.03	No	No	No	2,128	49,548	Low	4,725	278	7%	no
Sonoma	1502.04	No	No	No	1,622	80,268	no	3,782	435	5%	no
Sonoma	1503.03	No	No	No	2,090	59,918	no	5,906	399	6%	no
Sonoma	1503.04	No	No	No	2,249	52,665	no	5,502	791	14%	Yes
Sonoma	1503.05	No	No	No	1,558	37,254	Low	7,353	512	25%	Yes
Sonoma	1503.06	No	No	No	1,554	74,313	no	6,094	529	10%	Yes
Sonoma	1505	No	No	No	1,852	66,091	no	4,923	489	17%	Yes
Sonoma	1506.01	No	Yes	Yes	1,314	72,500	no	6,322	272	11%	Yes
Sonoma	1506.02	No	No	Yes	1,519	72,009	no	5,656	153	8%	no
Sonoma	1506.03	No	Yes	Yes	2,662	57,465	no	4,149	228	13%	Yes
Sonoma	1506.07	Yes	Yes	Yes	1,845	101,395	no	5,263	403	2%	no
Sonoma	1506.09	Yes	Yes	Yes	1,903	59,561	no	2,791	133	13%	Yes
Sonoma	1506.10	Yes	Yes	Yes	1,417	100,899	no	7,295	219	3%	no
Sonoma	1506.11	No	No	Yes	1,271	85,787	no	2,883	172	7%	no
Sonoma	1506.12	No	Yes	Yes	1,621	102,679	no	4,299	515	5%	no
Sonoma	1507.01	Yes	Yes	Yes	2,034	59,375	no	2,002	134	5%	no
Sonoma	1507.02	No	Yes	Yes	1,721	87,026	no	4,872	185	2%	no
Sonoma	1508	No	Yes	Yes	1,881	68,638	no	-	0	7%	no
Sonoma	1509.01	Yes	Yes	Yes	1,857	55,662	no	2,141	30	14%	Yes
Sonoma	1509.02	No	Yes	Yes	1,337	95,139	no	5,226	168	8%	no
Sonoma	1510	Yes	Yes	Yes	1,482	79,875	no	5,497	238	3%	no
Sonoma	1511	No	No	Yes	1,693	66,767	no	3,993	293	5%	no
Sonoma	1512.01	No	Yes	Yes	2,725	53,552	no	5,946	98	11%	Yes

**Table 14. Low income census tracts (con't).**

County	Census Tract	Within 0.5 mi of a Station?	Within 1 mi of a Station?	Within 3 mi of a Station?	Total Households	Median Household Income (\$)	Low Income tract?	Population for whom poverty status is determined	Population Below poverty level	Percent below poverty level (Estimate)	Below Poverty Level Tract?
Sonoma	1512.03	Yes	Yes	Yes	2,173	64,896	no	4,256	170	9%	Yes
Sonoma	1512.04	No	Yes	Yes	1,585	61,141	no	4,055	85	10%	Yes
Sonoma	1513.01	Yes	Yes	Yes	1,599	55,888	no	6,310	251	19%	Yes
Sonoma	1513.05	Yes	Yes	Yes	2,294	43,618	Low	4,556	183	17%	Yes
Sonoma	1513.06	Yes	Yes	Yes	1,535	58,142	no	2,509	831	6%	no
Sonoma	1513.07	No	Yes	Yes	1,804	80,903	no	3,400	161	8%	no
Sonoma	1513.08	Yes	Yes	Yes	2,096	58,056	no	4,166	321	6%	no
Sonoma	1513.09	No	Yes	Yes	1,851	77,599	no	925	29	10%	Yes
Sonoma	1513.10	Yes	Yes	Yes	1,465	62,178	no	1,630	211	7%	no
Sonoma	1513.11	Yes	Yes	Yes	2,445	73,114	no	1,946	198	12%	Yes
Sonoma	1514.01	No	Yes	Yes	1,976	54,485	no	2,947	120	14%	Yes
Sonoma	1514.02	No	Yes	Yes	3,347	46,924	Low	4,719	277	10%	Yes
Sonoma	1515.02	No	No	Yes	3,039	59,422	no	4,365	313	9%	no
Sonoma	1515.03	No	No	No	1,463	122,011	no	3,482	162	2%	no
Sonoma	1515.04	No	No	Yes	1,352	70,300	no	4,119	236	7%	no
Sonoma	1516.01	No	No	No	1,673	49,050	Low	5,995	859	14%	Yes
Sonoma	1516.02	No	No	No	1,906	65,044	no	4,761	1198	4%	no
Sonoma	1517	No	No	Yes	2,911	57,686	no	4,029	396	8%	no
Sonoma	1518	No	No	Yes	2,081	56,875	no	4,787	819	9%	no
Sonoma	1519	Yes	Yes	Yes	1,295	44,970	Low	3,951	426	18%	Yes
Sonoma	1520	Yes	Yes	Yes	930	30,750	Very Low	4,582	376	41%	Yes
Sonoma	1521	No	Yes	Yes	930	40,208	Low	4,208	198	25%	Yes
Sonoma	1522.01	No	Yes	Yes	1,615	45,141	Low	4,318	307	22%	Yes
Sonoma	1522.02	No	No	Yes	2,875	56,639	no	4,562	641	16%	Yes
Sonoma	1522.03	No	Yes	Yes	1,785	58,505	no	3,190	242	6%	no
Sonoma	1523	No	No	Yes	1,965	63,147	no	3,764	115	5%	no
Sonoma	1524	No	No	Yes	4,051	116,103	no	4,467	242	3%	no
Sonoma	1525.01	No	No	Yes	1,629	59,219	no	6,681	710	13%	Yes
Sonoma	1525.02	No	No	No	1,518	65,500	no	5,198	486	11%	Yes
Sonoma	1526	No	No	No	3,138	105,294	no	3,552	343	4%	no
Sonoma	1527.01	Yes	Yes	Yes	1,988	82,202	no	4,566	856	9%	no
Sonoma	1527.02	Yes	Yes	Yes	2,000	56,304	no	3,535	221	16%	Yes
Sonoma	1528.01	No	Yes	Yes	1,969	61,114	no	4,796	388	9%	no
Sonoma	1528.02	Yes	Yes	Yes	2,674	36,637	Low	5,032	280	26%	Yes
Sonoma	1529.03	Yes	Yes	Yes	1,519	44,741	Low	5,029	479	16%	Yes
Sonoma	1529.04	No	Yes	Yes	1,877	70,938	no	3,540	245	5%	no
Sonoma	1529.05	No	No	Yes	1,480	62,576	no	6,235	736	13%	Yes
Sonoma	1529.06	No	No	Yes	1,723	77,443	no	6,317	885	9%	no
Sonoma	1530.01	Yes	Yes	Yes	2,274	40,559	Low	3,598	81	19%	Yes
Sonoma	1530.02	Yes	Yes	Yes	1,907	47,039	Low	3,121	211	23%	Yes

**Table 14. Low income census tracts (con't).**

County	Census Tract	Within 0.5 mi of a Station?	Within 1 mi of a Station?	Within 3 mi of a Station?	Total Households	Median Household Income (\$)	Low Income tract?	Population for whom poverty status is determined	Population Below poverty level	Percent below poverty level (Estimate)	Below Poverty Level Tract?
Sonoma	1530.03	Yes	Yes	Yes	2,046	46,250	Low	2,697	363	19%	Yes
Sonoma	1530.05	No	No	Yes	2,470	77,027	no	3,406	148	8%	no
Sonoma	1530.06	No	Yes	Yes	2,706	62,292	no	6,701	548	11%	Yes
Sonoma	1531.02	No	Yes	Yes	1,404	49,738	Low	4,862	439	17%	Yes
Sonoma	1531.03	No	Yes	Yes	1,414	55,833	no	3,830	841	11%	Yes
Sonoma	1531.04	Yes	Yes	Yes	1,216	48,163	Low	7,311	1143	13%	Yes
Sonoma	1532	No	No	Yes	2,031	61,036	no	4,078	207	19%	Yes
Sonoma	1533	No	No	Yes	3,142	64,509	no	9,844	289	15%	Yes
Sonoma	1534.01	No	No	No	2,653	51,515	no	4,082	549	8%	no
Sonoma	1534.03	No	No	No	1,599	67,297	no	3,759	413	6%	no
Sonoma	1534.04	No	No	No	1,793	75,399	no	7,975	340	3%	no
Sonoma	1535.01	No	No	Yes	1,760	81,958	no	4,611	394	9%	no
Sonoma	1535.02	No	No	No	1,531	81,250	no	5,462	496	4%	no
Sonoma	1536	No	No	No	2,162	79,781	no	5,091	257	10%	Yes
Sonoma	1537.03	No	No	No	1,630	39,950	Low	3,392	426	14%	Yes
Sonoma	1537.04	No	No	No	2,034	42,212	Low	6,873	577	16%	Yes
Sonoma	1537.05	No	No	Yes	1,489	61,734	no	7,422	797	8%	no
Sonoma	1537.06	No	No	No	1,925	72,786	no	9,603	1463	5%	no
Sonoma	1538.01	Yes	Yes	Yes	3,144	75,134	no	6,081	504	6%	no
Sonoma	1538.04	Yes	Yes	Yes	1,033	83,324	no	3,581	205	2%	no
Sonoma	1538.06	No	Yes	Yes	1,190	66,304	no	4,270	134	5%	no
Sonoma	1538.07	No	No	Yes	1,339	101,875	no	4,216	369	2%	no
Sonoma	1538.08	Yes	Yes	Yes	1,516	55,100	no	3,957	149	8%	no
Sonoma	1538.09	No	No	Yes	1,429	68,878	no	5,426	529	8%	no
Sonoma	1539.01	Yes	Yes	Yes	2,329	67,446	no	3,149	435	7%	no
Sonoma	1539.02	Yes	Yes	Yes	1,468	42,449	Low	4,031	660	15%	Yes
Sonoma	1539.03	Yes	Yes	Yes	1,468	67,950	no	3,565	282	10%	Yes
Sonoma	1540	Yes	Yes	Yes	1,074	83,542	no	4,244	207	7%	no
Sonoma	1541	No	No	Yes	1,580	77,826	no	4,126	76	6%	no
Sonoma	1542.01	Yes	Yes	Yes	1,405	39,761	Low	4,062	330	12%	Yes
Sonoma	1542.02	Yes	Yes	Yes	2,348	64,250	no	2,757	182	7%	no
Sonoma	1543.02	No	No	No	1,588	70,281	no	3,291	352	11%	Yes
Sonoma	1543.03	No	No	No	592	62,222	no	1,150	81	7%	no
Sonoma	1543.04	No	No	No	1,024	65,515	no	2,538	259	10%	Yes
Marin	9901	No	No	Yes	-	-	no	-	0	0%	no
Sonoma	9901	No	No	No	-	-	no	-	0	0%	no

## APPENDIX F

# Acronym & Definitions Guide

Acronym	Meaning
ACS	American Community Survey
CAC	Community Advisory Council
CE	Categorical Exclusion
CEQ	Council on Environmental Quality
CEQA	California Environmental Quality Act
COC	Citizens Oversight Committee
DOT	Department of Transportation
EA	Environmental Assessment
EIS	Environmental Impact Statement
EJ	Environmental Justice
EO	Executive Order
EPA	Environmental Protection Agency
ESL	English-as-a-Second Language
FHWA	Federal Highway Administration
FTA	Federal Transit Administration
GGT	Golden Gate Transit
GIS	Geographic Information System
HHS	Department of Health and Human Services
IOS	Initial Operating Segment
LEP	Limited English Proficiency
MPO	Metropolitan Planning Organization (MTC is the MPO for Marin and Sonoma Counties)
MTC	Metropolitan Transportation Commission
NEPA	National Environmental Policy Act
OMB	Office of Management and Budget
PPP	Public Participation Plan
ROW	Right-of-Way
SCTA	Sonoma County Transportation Authority
SCT	Sonoma County Transit
SMART	Sonoma-Marín Area Rail Transit District
STIP	Statewide Transportation Improvement Program
TAM	Transportation Authority of Marin
TIP	Transportation Improvement Program

Definition	Meaning
Applicant	A person or entity that submits an application, request, or plan required to be approved by the FTA Administrator or by a primary recipient, as a condition of eligibility for financial assistance from FTA, and “application” means such an application, request, or plan.

Demand response system	Any non-fixed route system of transporting individuals that requires advanced scheduling including services provided by public entities, non-profits, and private providers. An advance request for service is a key characteristic of demand response service.
Designated recipient	An entity designated, in accordance with the planning process under sections 5303 and 5304, by the Governor of a State, responsible local officials, and publicly owned operators of public transportation, to receive and apportion amounts under section 5336 to urbanized areas of 200,000 or more in population.
Direct recipient	An entity that receives funding directly from FTA.
Discrimination	Any action or inaction, whether intentional or unintentional, in any program or activity of a Federal aid recipient, subrecipient, or contractor that results in disparate treatment, disparate impact, or perpetuating the effects of prior discrimination based on race, color, or national origin.
Disparate impact	Refers to a facially neutral policy or practice that disproportionately affects members of a group identified by race, color, or national origin, where the recipient's policy or practice lacks a substantial legitimate justification and where there exists one or more alternatives that would serve the same legitimate objectives but with less disproportionate effect on the basis of race, color, or national origin.
Disproportionate burden	Refers to a neutral policy or practice that disproportionately affects low-income populations more than non-low-income populations. A finding of disproportionate burden requires the recipient to evaluate alternatives and mitigate burdens where practicable.
Disparate treatment	Refers to actions that result in circumstances where similarly situated persons are intentionally treated differently (i.e., less favorably) than others because of their race, color, or national origin.
Fixed guideway	A public transportation facility—using and occupying a separate right-of-way for the exclusive use of public transportation; using rail; using a fixed catenary system; for a passenger ferry system; or for a bus rapid transit system.
Fixed route	Refers to public transportation service provided in vehicles operated along pre-determined routes according to a fixed schedule.
Federal financial assistance	Refers to: <ol style="list-style-type: none"> <li>1. Grants and loans of Federal funds;</li> <li>2. The grant or donation of Federal property and interests in property;</li> <li>3. The detail of Federal personnel;</li> <li>4. The sale and lease of, and the permission to use (on other than a casual or transient basis), Federal property or any interest in such property without consideration or at a nominal consideration, or at a consideration which is reduced for the purpose of assisting the recipient, or in recognition of the public interest to be served by such sale or lease to the recipient; and</li> <li>5. Any Federal agreement, arrangement, or other contract that has as one of its purposes the provision of assistance.</li> </ol>
Limited English Proficient (LEP) persons	Refers to persons for whom English is not their primary language and who have a limited ability to read, write, speak, or understand English. It includes people who reported to the U.S. Census that they speak English less than very well, not well, or not at all.
Low-income person	A person whose median household income is at or below the U.S. Department of Health and Human Services (HHS) poverty guidelines.

Low-income population	<p>Any readily identifiable group of low-income persons who live in geographic proximity, and, if circumstances warrant, geographically dispersed/transient persons (such as migrant workers or Native Americans) who will be similarly affected by a proposed FTA program, policy or activity.</p> <p>The locally developed threshold, is according to 49 U.S.C. 5302 as amended by MAP-21: “refers to an individual whose family income is at or below 150 percent of the poverty line (as that term is defined in Section 673(2) of the Community Services Block Grant Act (42 U.S.C 9902(2)), including any revision required by that section) for a family of the size involved.”</p>
Metropolitan planning organization (MPO)	The policy board of an organization created and designated to carry out the metropolitan transportation planning process.
Metropolitan transportation plan (MTP)	The official multimodal transportation plan addressing no less than a 20-year planning horizon that is developed, adopted, and updated by the MPO through the metropolitan transportation planning process.
Minority persons	<p>Include the following:</p> <ul style="list-style-type: none"> <li>• American Indian and Alaska Native, which refers to people having origins in any of the original peoples of North and South America (including Central America), and who maintain tribal affiliation or community attachment.</li> <li>• Asian, which refers to people having origins in any of the original peoples of the Far East, Southeast Asia, or the Indian subcontinent, including, for example, Cambodia, China, India, Japan, Korea, Malaysia, Pakistan, the Philippine Islands, Thailand, and Vietnam.</li> <li>• Black or African American, which refers to people having origins in any of the Black racial groups of Africa.</li> <li>• Hispanic or Latino, which includes persons of Cuban, Mexican, Puerto Rican, South or Central American, or other Spanish culture or origin, regardless of race.</li> <li>• Native Hawaiian or Other Pacific Islander, which refers to people having origins in any of the original peoples of Hawaii, Guam, Samoa, or other Pacific Islands.</li> </ul>
Minority population	Any readily identifiable group of minority persons who live in geographic proximity and, if circumstances warrant, geographically dispersed/transient populations (such as migrant workers or Native Americans) who will be similarly affected by a proposed DOT program, policy, or activity.
Minority transit route	A route that has at least 1/3 of its total revenue mileage in a Census block or block group, or traffic analysis zone(s) with a percentage of minority population that exceeds the percentage of minority population in the transit service area. A recipient may supplement this service area data with route-specific ridership data in cases where ridership does not reflect the characteristics of the census block, block group, or traffic analysis zone.
National origin	The particular nation in which a person was born, or where the person’s parents or ancestors were born.
Noncompliance	Refers to an FTA determination that the recipient is not in compliance with the DOT Title VI regulations, and has engaged in activities that have had the purpose or effect of denying persons the benefits of, excluding from participation in, or subjecting persons to discrimination in the recipient’s program or activity on the basis of race, color, or national origin.
Non-profit organization	A corporation or association determined by the Secretary of the Treasury to be an organization described by 26 U.S.C. 501(c) which is exempt from taxation under 26 U.S.C. 501(a) or one which has been determined under State law to be non-profit and for which the designated State agency has received documentation certifying the status of the non-profit organization.

Predominantly minority area	A geographic area, such as a neighborhood, Census tract, block or block group, or traffic analysis zone, where the proportion of minority persons residing in that area exceeds the average proportion of minority persons in the recipient's service area.
Primary recipient	Any FTA recipient that extends Federal financial assistance to a subrecipient.
Provider of fixed route public transportation (or "transit provider")	Any entity that operates public transportation service, and includes States, local and regional entities, and public and private entities.
Public transportation	Regular, continuing shared-ride surface transportation services that are open to the general public or open to a segment of the general public defined by age, disability, or low income; and does not include Amtrak, intercity bus service, charter bus service, school bus service, sightseeing service, courtesy shuttle service for patrons of one or more specific establishments, or intra-terminal or intra-facility shuttle services. Public transportation includes buses, subways, light rail, commuter rail, monorail, passenger ferry boats, trolleys, inclined railways, people movers, and vans. Public transportation can be either fixed route or demand response service.
Recipient	Any public or private entity that receives Federal financial assistance from FTA, whether directly from FTA or indirectly through a primary recipient. This term includes subrecipients, direct recipients, designated recipients, and primary recipients. The term does not include any ultimate beneficiary under any such assistance program.
Secretary	The Secretary of the U.S. Department of Transportation.
Service area	Refers either to the geographic area in which a transit agency is authorized by its charter to provide service to the public, or to the planning area of a State Department of Transportation or Metropolitan Planning Organization.
Service standard/policy	An established service performance measure or policy used by a transit provider or other recipient as a means to plan or distribute services and benefits within its service area.
Statewide transportation improvement program (STIP)	A statewide prioritized listing/program of transportation projects covering a period of four years that is consistent with the long-range statewide transportation plan, metropolitan transportation plans, and TIPs, and required for projects to be eligible for funding under title 23 U.S.C. and title 49 U.S.C. Chapter 53.
Subrecipient	An entity that receives Federal financial assistance from FTA through a primary recipient.
Title VI Program	Refers to a document developed by an FTA recipient to demonstrate how the recipient is complying with Title VI requirements. Direct and primary recipients must submit their Title VI Programs to FTA every three years. The Title VI Program must be approved by the recipient's board of directors or appropriate governing entity or official(s) responsible for policy decisions prior to submission to FTA.
Transportation improvement program (TIP)	A prioritized listing/program of transportation projects covering a period of four years that is developed and formally adopted by an MPO as part of the metropolitan transportation planning process, consistent with the metropolitan transportation plan, and required for projects to be eligible for funding under title 23 U.S.C. and title 49 U.S.C. Chapter 53.
Transportation management area (TMA)	An urbanized area with a population over 200,000, as defined by the Bureau of the Census and designated by the Secretary of Transportation, or any additional area where TMA designation is requested by the Governor and the MPO and designated by the Secretary of Transportation.

APPENDIX G: SMART BOARD RESOLUTION ADOPTING TITLE VI PROGRAM  
*TO BE REPLACED WITH SEPTEMBER 2018 RESOLUTION*

Resolution No. 2015-13  
Sonoma-Marín Area Real Transit District  
July 1, 2015

**RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT ADOPTING A TITLE VI PROGRAM AND NONDISCRIMINATION POLICY.**

---

**WHEREAS**, Title VI (codified at 42 U.S.C. §2000d et seq.) of the Civil Rights Act of 1964 prohibits discrimination on the basis of race, color, and national origin in programs and activities receiving federal financial assistance; and

**WHEREAS**, the Federal Transit Administration (FTA) issued Title VI Circular 4702.IB, effective October 1, 2012, setting forth requirements and guidelines for Title VI compliance; and

**WHEREAS**, the FTA has made a determination that SMART is an eligible direct recipient of FTA funds and is required to have in place a Title VI program that ensures that the level and quality of public transportation service is provided in a nondiscriminatory manner, promotes full and fair participation in public transportation decision-making without regard to race, color or national origin, and ensures meaningful access to transit-related programs and activities by persons with limited English proficiency; and

**WHEREAS**, the above-referenced Circular requires SMART's Board of Directors to approve SMART's Title VI Program before it is submitted to the FTA; and

**WHEREAS**, the above-referenced Circular details required elements of the Title VI Program, which each recipient of FTA assistance must submit to the FTA triennially; and

**WHEREAS**, SMART's Title VI Program contains those required elements and is set forth in the attached Exhibit A entitled "Title VI Program and Nondiscrimination Policy"; and

**WHEREAS**, SMART's Title VI Program and Nondiscrimination Policy is being presented for Board consideration and approval.

**NOW, THEREFORE, BE IT RESOLVED THAT** The Board of Directors of the Sonoma-Marín Area Rail Transit District has reviewed, considered and approves SMART's overall Title VI Program and Nondiscrimination Policy; and

**BE IT FURTHER RESOLVED** that the Board of Directors authorizes the General Manager, or a designee, to:

1. Submit the SMART Title VI Program and Nondiscrimination Policy to the FTA; and

2. Include evidence of the Board's consideration and approval of the SMART Title VI Program; and
3. Authorizes the SMART General Manager to make non policy and administrative modifications to implement SMART's Title VI Program and Nondiscrimination Policy as required by the FTA or as necessary and to report those modifications to the Board.

**PASSED AND ADOPTED** at a regular meeting of the Board of Directors of the Sonoma-Marín Area Rail Transit District held on the 1<sup>st</sup> day of July, 2015, by the following vote:

**DIRECTORS:**

AYES: Arnold, Eddie, Fudge, Kellner, Mackenzie, Pahre, Russell, Sears and Zane

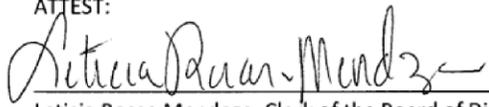
NOES:

ABSENT: Moulton-Peters, Phillips and Rabbitt

ABSTAIN:

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

ATTEST:

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



September 19, 2018

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

**Judy Arnold, Vice Chair**  
 Marin County Board of Supervisors

**Damon Connolly**  
 Marin County Board of Supervisors

**Jim Eddie**  
 Golden Gate Bridge,  
 Highway/Transportation District

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

**Eric Lucan**  
 Transportation Authority of Marin

**Jake Mackenzie**  
 Sonoma County Mayors' and  
 Councilmembers Association

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

**Gary Phillips**  
 Transportation Authority of Marin

**David Rabbitt**  
 Sonoma County Board of Supervisors

**Carol Russell**  
 Sonoma County Mayors' and  
 Councilmembers Association

**Shirlee Zane**  
 Sonoma County Board of Supervisors

**Farhad Mansourian**  
 General Manager

5401 Old Redwood Highway  
 Suite 200  
 Petaluma, CA 94954  
 Phone: 707-794-3330  
 Fax: 707-794-3037  
 www.sonomamarintrain.org

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

**SUBJECT:** Approval of Transit Sourcing Services, Inc. Purchase Contract No. OP-EQ-18-004

Dear Board Members:

**RECOMMENDATION:**

The Board-Approved Fiscal Year 2019 Budget includes the purchase of Diesel Multiple Unit (DMU) Train wheels for SMART's Vehicle Maintenance Department. Staff recommends authorizing the General Manager to execute Purchase Contract No. OP-EQ-18-004 with Transit Sourcing Services, Inc. in an amount of \$167,112 for 88 Diesel Multiple Unit (DMU) Train Wheels.

**SUMMARY:**

SMART's Vehicle Maintenance team is tasked with performing routine maintenance and timely repairs on SMART's DMUs to ensure a smooth and safe operation for its passengers. This wheel purchase is a combination of wheels required for new axles in order to increase SMART's on-hand spare part availability, as well as, replacement wheels for wheels that have been in use where tread has worn down to a level requiring replacement.

A formal Invitation for Bid (IFB) was issued to procure the DMU Train Wheels for SMART's Vehicle Maintenance Department. SMART received a total of 3 bids of from the following vendors:

1. ORX Railroad Company
2. Penn Machine Company
3. Transit Sourcing Services, Inc.

Out of the three bids received, Transit Sourcing Services, Inc. was the lowest responsive responsible bidder.

Staff recommends authorizing the General Manager to execute Purchase Contract No. OP-EQ-18-004 with Transit Sourcing Services, Inc. in the amount of \$167,112 for 88 DMU Train Wheels.

**FISCAL IMPACT:** Funds for the purchase are included in the Fiscal Year 2018-19 operations budget.

**REVIEWED BY:** [ X ] Finance  [ X ] Counsel 

Very truly yours,



Ken Hendricks  
Procurement Coordinator



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

**Judy Arnold, Vice Chair**  
 Marin County Board of Supervisors

**Damon Connolly**  
 Marin County Board of Supervisors

**Jim Eddie**  
 Golden Gate Bridge,  
 Highway/Transportation District

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

**Eric Lucan**  
 Transportation Authority of Marin

**Jake Mackenzie**  
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**Carol Russell**  
 Sonoma County Mayors' and  
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September 19, 2018

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

**SUBJECT:** Award Sole-Source Purchase Agreements to ZF North America, Inc., Knorr Brake Holding Corporation, and Voith Turbo, Inc. for the Purchase of Specialized Rail Parts and Equipment Included in the Board-Approved Fiscal Year 2019 Budget.

Dear Board Members:

**RECOMMENDATION:**

The Board-Approved Fiscal Year 2019 Budget includes purchases of Diesel Multiple Unit (DMU) spare parts essential for supporting operations. Staff recommends authorizing the General Manager to execute Sole-Source Purchase Agreements with ZF North America, Inc., Knorr Brake Holding Corporation, and Voith Turbo, Inc. for an amount of \$675,000:

- 1) There is only a single source of procurement for certain rail vehicle equipment and/or spare parts for equipment already installed on current Diesel Multiple Units (DMU) that SMART owns and operates.
- 2) The Board approves the direct purchases of the specialized equipment and/or parts from ZF North America, Inc., Knorr Brake Holding Corporation, and Voith Turbo, Inc.

**SUMMARY:**

ZF North America, Inc. is the sole manufacturer and distributor of certain vehicle equipment installed on SMART's current Diesel Multiple Unit rail cars (DMU). SMART is requesting to purchase three (3) transmissions and gear assemblies.

Knorr Brake Holding Corporation is the sole manufacturer and distributor of certain brake assembly equipment installed on SMART's current Diesel Multiple Unit rail cars (DMU). SMART is requesting to purchase forty-eight (48) brake discs.

Voith Turbo, Inc. is the sole manufacturer and distributor of SMART's Front Mask Assembly of the DMU. SMART is requesting to purchase one (1) complete Front Mask Assembly.

The parts being purchased are single components incorporated in larger safety critical and operation systems such as braking, drivetrain, and collision management. These parts have been tested and configured to perfectly match SMART's DMUs to provide safe operation.

The equipment purchases we are requesting meets the state sole source criteria in Public Contract Code §3400. SMART's Diesel Multiple Units designed and manufactured are comprised of components that are only compatible with those manufactured by ZF North America, Inc., Knorr Brake Holding Corporation, and Voith Turbo, Inc.

Your Board may direct the purchase of any supply, equipment, or material upon a finding that there is only a single source of procurement and that the purchase is for the purpose of matching other products in use on a particular system or equipment or for replacing supplies, equipment or material already in use (Public Contract Code §3400).

Additionally, pursuant to Public Utilities Code §20355.7 the supplies, equipment or material are specialized rail transit equipment and the Board may, upon a finding by two-thirds of the members, determine that the purchase is in compliance with certain provisions of the code generally applicable to the purchase of materials and equipment does not constitute a method of procurement adequate for the District's needs.

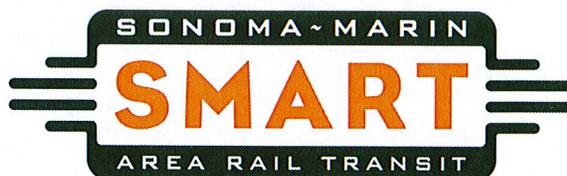
**FISCAL IMPACT:** Purchase was assumed and funded in the Fiscal Year 2018-19 budget.

**REVIEWED BY:** [ X ] Finance  [ X ] Counsel 

Very truly yours,



Ken Hendricks  
Procurement Coordinator



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

**Judy Arnold, Vice Chair**  
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September 19, 2018

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

**SUBJECT:** Approval of Delta Wheel Truing Solutions Purchase Contract No. OP-EQ-18-001

Dear Board Members:

**RECOMMENDATION:**

The Board-Approved Fiscal Year 2019 Budget includes the purchase of a wheel truing machine for SMART's Rail Operation Center. Staff recommends authorizing the General Manager to execute Purchase Contract No. OP-EQ-18-001 with Delta Wheel Truing Solutions in the amount of \$898,432.87 to manufacture and install a Lathe Type Wheel Truing Machine, provide operation training and perform routine maintenance for one year.

**SUMMARY:**

SMART currently contracts with Utah Transit Authority (UTA) to perform wheel truing services on all of its Diesel Multiple Unit (DMU) wheels. This process results in SMART trucking its wheels to Utah on a routine basis, waiting on the wheel truing services to be performed, and trucking the wheels back to SMART's Rail Operation Center. This current process is costly, time consuming, and doesn't allow SMART's Vehicle Maintenance team flexibility in performing quick and unexpected repairs. Wheel truing is the act of re-profiling the wheels to remove defects, flat spots, and other irregularities which in turn reduces rolling resistance to create a smooth, efficient, and safe ride for passengers.

A formal Request for Proposal (RFP) was issued to procure a vendor to manufacture and install a lathe type wheel truing machine at SMART's Rail Operation Center. SMART received a total of two proposals from the following vendors:

1. Delta Wheel Truing Solutions - \$898,432.87
2. Talgo, Inc. - \$1,654,636.00

Out of the two proposals received, the evaluation committee identified the Delta Wheel Truing Solutions proposal to be the most advantageous to the District in terms of both qualifications, minimal required modifications to SMART's existing Rail Operation Center, and project cost.

Staff recommends authorizing the General Manager to execute Purchase Contract No. OP-EQ-18-001 with Delta Wheel Truing Solutions in the amount of \$898,432.87 to manufacture and install a Lathe Type Wheel Truing Machine, provide operation training and perform routine maintenance for one year.

**FISCAL IMPACT:** Funding is included in the Fiscal Year 2018-19 budget and is supported by Senate Bill 1 funding from the State of California.

**REVIEWED BY:** [ X ] Finance  [ X ] Counsel 

Very truly yours,



Ken Hendricks  
Procurement Coordinator



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

**Judy Arnold, Vice Chair**  
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September 19, 2018

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

**SUBJECT:** Approve a Resolution to Award Design-Build Contract No. SYS-DB-18-001 to Modern Railway Systems, Inc. for Systems Work for the Windsor Extension Project

Dear Board Members:

**RECOMMENDATION:**

Approve Resolution No. 2018-21 to Award Design-Build Contract No. SYS-DB-18-001 to Modern Railway Systems (MRS) for an amount of \$15,687,333 with a term of three years to design and construct the train control, communications system and platform communications elements for the Windsor Extension Project and authorize the General Manager to execute change orders for up to five percent of the contract award amount.

**SUMMARY:**

Background: SMART is commencing the Windsor Extension Project – a 3-mile extension of the SMART passenger rail system from Airport Boulevard in unincorporated Santa Rosa to the Town of Windsor. This segment of the SMART passenger rail system is another step in completing the 70-mile system from Larkspur to Cloverdale. The Project is funded through Federal, State and Regional funding.

The 3-mile route will utilize the existing SMART owned railroad right-of-way. The project requires railway improvements, including reconstructing track, constructing a station platform, reconstructing grade crossings, replacing trestle bridges, constructing park and ride lot, extending of the Positive Train Control (PTC) signaling, radio, and communications systems.

In order to carry out these activities, it is critical to begin work on the train control and communication systems. This long-lead work utilizes specialty engineer designers, technicians and installers that are highly in demand. SMART has developed a state-of-the-art Positive Train Control system for the current portion of the passenger rail system and is being deployed in the Larkspur Extension. This contract will extend the train control and communication system to Windsor. The Civil work (tracks, bridges, drainage, roadway, etc.) will be procured through a Request-for-Proposal (RFP) process in the Spring of 2019.

*Systems Scope of Work:* Contract No. SYS-DB-18-001 will design and construct the systems portion of the passenger rail system – Positive Train Control (PTC), grade crossing protection systems, and communications systems to provide train-to-dispatch communication as well as communications systems for such elements as the security camera systems.

Staff is advancing the Windsor Extension Project in a similar fashion to the Larkspur Extension Project. That approach involves segregating in-ground or “civil” construction activities from the train control and systems work. For the Windsor Extension we propose to initiate the systems work in order to maintain the continuity from the Larkspur Extension Project by utilizing the same firm, MRS, the same equipment and the same implementation team. We believe it is essential to maintain the same train control signaling and communications system that is in the current SMART passenger rail system. We have invested significant time and money into developing a state-of-the-art system that incorporates Positive Train Control (PTC) technologies to assure the safest operation of our system. In addition, we have developed a strong relationship with the Federal Railroad Administration (FRA) as it pertains to our train control system that has enabled us to secure their approval for current operations.

*The Solicitation Process:*

Staff recommends that the “System” work be procured through a sole source process using SMART’s present systems contractor Modern Railway System, Inc. (MRS). The Justification for this process includes:

- SMART train control signaling and communications systems must be compatible system wide and must seamlessly communicate with our existing system to insure utmost safety.
- The state-of-the-art systems developed by MRS incorporates Positive Train Control technologies and communication systems were specifically designed and are unique to SMART’s rail system.
- MRS is the only vendor that can design, develop and extend the existing systems consistent with the methodology and approach utilized on SMART’s existing rail system.
- Staff has determined that a sole source “systems” procurement is necessary to maintain the safety and integrity of the SMART’s existing and unique PTC signaling and communications.

SMART requested that Modern Railway Systems (MRS) prepare a price proposal based upon a detailed scope of work and in accordance with a prescribed bid sheet. The project team has prepared an independent estimate for the work that served as a baseline to evaluate the contractor's price proposal. Staff conducted an "open book" evaluation of the contractor's price proposal evaluating individual activities by hours and material costs. Our previous experience with the Initial Operating Segment and the Larkspur Extension provided a detailed understanding of crew sizes, durations to complete activities as well as cost detail that provided staff with the basis and background necessary to negotiate a fair and reasonable price for the systems work.

Funding:

SMART has received committed funding of \$55M, for the Project. It includes the following funding amounts and funding sources.

- Federal Railroad Administration (FRA): \$5M
- California State Transportation Agency TCRIP Funding Program: \$20M
- Metropolitan Transit Commission (MTC) Regional Measure 3 Funding: \$30M

**RECOMMENDATION:**

Approve Resolution No. 2018-21 to award Design-Build Contract No. SYS-DB-18-001 to Modern Railway Systems, Inc. for an amount of \$15,687,333 with a term of three years for the design and construction of the Systems and Train Control work for the Windsor Extension Project. Staff is also recommending authorizing the General Manager to execute change orders for unanticipated needs for up to five (5) percent of the contract award amount. This is consistent with what SMART has done on or previous design-build contracts.

**FISCAL IMPACT:** Approval will require increased appropriation authority in Fiscal Year 2018-19 funded through grants. Item 13 on the Agenda provides the additional authority needed.

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

Very truly yours,



Bill Gamlen, P.E.  
Chief Engineer

Attachment(s): 1) Resolution No. 2018-21 with Design-Build Contract No. SYS-DB-18-001

**RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT APPROVING CONTRACT NO. SYS-DB-18-001 WITH MODERN RAILWAY SYSTEMS, INC. FOR THE DESIGN BUILD OF THE SYSTEMS COMPONENTS FOR THE WINDSOR EXTENSION**

---

**WHEREAS**, The Sonoma-Marín Area Rail Transit District (SMART) is authorized to enter into design build contracts; and

**WHEREAS**, the use of the sole source process for the Windsor Extension Project is in the best interest of SMART since it will likely result in an earlier completion date and anticipated cost savings; and

**WHEREAS**, the SMART has received Federal, State, and Regional funding for a three-mile extension of the SMART passenger rail system from the Airport Boulevard passenger station to Windsor; and

**WHEREAS**, the Federal Rail Safety Improvement Act of 2008 requires freight and passenger railroads with regularly scheduled service to have a Positive Train Control (PTC) system in place by the end of calendar year 2018 and SMART constructed a fully compliant PTC train control system as part of the Initial Operating Segment; and

**WHEREAS**, SMART has determined that it is necessary to extend the same PTC technology and methodology to the Windsor Extension Project and SMART's design engineers have specified the continued use of the cab signal system technology because: (i) it has been deployed in SMART's initial operating system (IOS-1) and Larkspur Extension; (ii) technical resources and personnel are available to support the long-term maintenance and expansion of the system; and provides for seamless integrations with SMART's existing PTC system; and

**WHEREAS**, the Federal Railroad Administration (FRA), a funding partner for the Windsor Extension Project allows sole source contracts to be executed when a critical element or technology is in the best interest of the system and the public; and

**WHEREAS**, SMART has negotiated a sole source contract with Modern Railway Systems, Inc. in the amount of \$15,687,333 to provide the same systems and PTC technology in designing and construction of the train control and communications systems for the Windsor Extension Project; and

**WHEREAS**, pricing for the Systems work was obtained through an open-book process and all pricing breakdown, vendor pricing, staffing and overheads were provided to SMART for review during the negotiation process; and

**Resolution No. 2018-21  
Sonoma-Marín Area Rail Transit District  
September 19, 2018**

**WHEREAS**, SMART’s review of this data determined both the vendor pricing and assumptions were reasonable and representative of industry norms; and

**NOW, THEREFORE, BE IT RESOLVED THAT THE BOARD OF DIRECTORS OF SMART HEREBY FINDS, DETERMINES, DECLARES, AND ORDERS AS FOLLOWS:**

1. The foregoing Recitals are true and correct and are incorporated herein and form a part of this Resolution.
2. There is adequate justification to award a sole source contract procurement for the Systems work.
3. The General Manager is authorized to spend up to five (5) percent of the contract amount from the Project Budget to serve as contingency for unanticipated costs.
4. The General Manager and staff are authorized to take all actions necessary and reasonable to carry out the Contract.
5. That Contract No. SYS-DB-18-001, a copy of which is attached hereto and incorporated herein as Exhibit “A”, is hereby approved.
6. The Clerk of the Board is designated as the custodian of the documents and other materials that constitute the record of the proceedings upon which the Board’s decision herein are based. These documents can be found at SMART, 5401 Old Redwood Hwy, Suite 200, Petaluma, CA 94954

**PASSED AND ADOPTED** at a regular meeting of the Board of Directors of the Sonoma-Marín Area Rail Transit District held on the 19<sup>th</sup> day of September, 2018, by the following vote:

**DIRECTORS:**

AYES:

NOES:

ABSENT:

ABSTAIN:

\_\_\_\_\_  
Debora Fudge, 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



# WINDSOR EXTENSION PROJECT

## DESIGN-BUILD CONTRACT

Contract No.: SYS-DB-18-001

## 1.0 DESIGN-BUILD CONTRACT

**CONTRACT No. SYS-DB-18-001**

THIS DESIGN-BUILD CONTRACT No. SYS-DB-18-001 is made and entered into this \_\_\_\_\_ day of \_\_\_\_\_ (the "Contract"), between the SONOMA-MARIN AREA RAIL TRANSIT DISTRICT (the "District") and, Modern Railway Systems, Inc. (MRS)

- A corporation organized and existing under the laws of the State of \_\_\_\_\_,
- A partnership, whose general partners are \_\_\_\_\_,
- A joint venture, whose members are: \_\_\_\_\_,

the location of whose principal office is (hereinafter referred to as the "Contractor"), with reference to the definitions of terms set forth in General Conditions Article GC 1.3 and the following facts:

### RECITALS

A. The District negotiated a design-build contract for design and construction of Windsor Extension (the "Project").

B. The District's goals for the Project as stated in the RFP include: (1) satisfying its standards for design, construction, environmental sensitivity, maintainability, operability and life cycle; (2) providing opportunity for local workers and local subcontracted firms, including small businesses; (3) developing the system in accordance with the established schedule; (4) obtaining best value that is within SMART's budget and desire to minimize cost; and (5) satisfying the District's commitments to stakeholders including operating freight railroad.

C. The Contract Drawings and Contract Specifications set forth preliminary design concepts for the Project and serve to provide certain baseline requirements for the Project. These documents are preliminary in nature, and the Proposers were advised that the Contractor would be required to assume full responsibility and liability with respect to design of the Project in accordance with the requirements of the Contract Documents, including correction of any errors in the Contract Drawings and Contract Specifications.

D. The Contract Documents include provisions intended to allow the District's goals for the Project to be achieved and to reflect the Contractor's assumption of responsibility, risk, and liability for design of the Project, and a requirement to pay Liquidated Damages in the event of unexcused delay in completion. The RFP required the Proposers to account for such restrictions and requirements in determining the proposed Contract Price.

NOW, THEREFORE, for good and valuable consideration, the receipt and adequacy of which are hereby acknowledged, the parties hereto agree as follows:

**ARTICLE 1 CONTRACT DOCUMENTS.**

**Certain Definitions.** Refer to General Conditions Article GC 1.2 and GC 1.3 for the meaning of various terms used in the Contract Documents.

**Contract Documents.** The Contract Documents are initially comprised of the following documents:

<b>CONTRACT DOCUMENTS</b>
Design-Build Contract (including Attachments A through F)
Supplemental Conditions for Contract SYS-DB-18-001
General Conditions for Contract SYS-DB-18-001
Program Requirements for Contract SYS-DB-18-001
General Requirements - Division 01 – for Contract SYS-DB-18-001
SMART Design Criteria Manual, , Rev. 2, December 15, 2012
Baseline Documents (to the extent specified in the definition of Baseline Documents in SC 1.3)
Construction Specifications, excluding any deviations from the requirements of the other Contract Documents contained therein which have not been specifically approved in writing as such by SMART
Construction Drawings, excluding any deviations from the requirements of the other Contract Documents contained therein which have not been specifically approved in writing as such by SMART
Contractor’s Proposal, to the extent it meets or exceeds the requirements of the other Contract Documents.

The Contract Documents will also include: one or more Notice(s) to Proceed (NTP) and any supplemental agreements, amendments, Change Orders and Contract Modifications.

**Interpretation of Contract Documents.** Cross references to any articles of the General Conditions shall be deemed to mean reference to the General Conditions as modified and supplemented by the Supplemental Conditions.

**ARTICLE 2 SCOPE OF WORK.**

This Contract is a Design-Build Contract that will complete the Systems work for the Windsor Extension, including design, procurement, installation, testing, and commissioning of the signal and communications systems.

In consideration of the payments and agreements hereinafter set forth to be made and performed by the District and the Contractor, and under conditions expressed in the bond(s) of even date herewith and attached hereto, the Contractor agrees with the District to do all the work and furnish all the materials (except those materials expressly stated in the Contract Documents to be furnished by the District) necessary for the completion of the Project (the "Work"). The Contractor shall perform the Work in a good, workmanlike and substantial manner and to the satisfaction of the District in accordance with the Contract Documents attached hereto.

### **ARTICLE 3 CONTRACT TIME**

**Notice To Proceed.** The Contractor shall begin the Work as specified in, and on the date set forth in one or more Notices to Proceed issued by the District. See General Conditions Article GC 8.1.

**Milestone Deadlines.** The Contractor shall diligently prosecute the Work so as to achieve completion on or before the dates specified in General Conditions Article GC 8.4.1, as such dates may be extended in accordance with the Contract Documents.

**Time Extensions.** No extension of any Milestone Deadline shall be effective unless in writing signed by the District. See General Conditions Article GC 8.4 for more information regarding time extensions. Any extension shall be for such time and terms and conditions as shall be fixed by the District.

### **ARTICLE 4 COMPENSATION.**

**Contract Amount.** As full compensation for the Work, the District will pay the Contractor the lump sum amounts specified in Attachment A hereto, and amounts for Provisional Sum Work not to exceed the amounts specified in Attachment A hereto, as such amounts may be adjusted under the terms and conditions of the Contract Documents. The total amount so payable is referred to herein as the "Contract Price."

### **ARTICLE 5 EXAMINATION OF DOCUMENTS AND SITE.**

The Contractor warrants that, before submitting its Proposal, it carefully examined the Contract Documents together with the site of the proposed Work and its surrounding territory and is informed regarding all of the conditions affecting the Work to be done and labor and materials to be furnished for the completion of this Contract, including the existence of poles, wires, pipes, and other facilities and structures of municipal and other public service corporations on, over, or under the site, except latent conditions that constitute Differing Site Conditions under the terms of the Contract Documents, and that its information was secured by personal and other investigation and research.

### **ARTICLE 6 ALTERATIONS AND OMISSIONS.**

The Work identified in the Contract Documents shall be performed in accordance with the true intent and meaning of the Contract Documents without any further expense of any nature whatsoever to the District other than the consideration named in this Contract.

The District reserves the right, at any time during the progress of the Work, to alter the scope of Work, or omit any portion of the Work as it may deem reasonably necessary for the public interest,

making allowances for additions and deductions with compensation made in accordance with the Contract Documents for the altered or omitted Work, in accordance with General Conditions Article GC 4.2.

#### **ARTICLE 7 PAYMENTS.**

As the Work progresses in accordance with this Contract and in a manner that is satisfactory to the District, the District will make payments to the Contractor for Work completed in accordance with General Conditions Article GC 9.

If the Contractor does not comply with any direction concerning the Work or materials given by the District's Authorized Representative, the Contractor shall not be entitled to have any payment made for the non-complying Work. See General Conditions Article GC 5.12 regarding nonconforming Work.

#### **ARTICLE 8 DBE COMMITMENT GOAL.**

This Contract is subject to certain requirements concerning utilization of DBEs. It is the District's intent that DBEs have the maximum practicable opportunity to participate in the Contract. The Contractor must comply with the DBE commitments and demonstrate good faith efforts to achieve the **4.40%** DBE goal for this contract included in its Proposal, as it may be modified during the course of this Contract.

The Contractor agrees to:

- A. Carry out the award of Subcontracts to DBEs to the fullest extent consistent with efficient Contract performance.
- B. Establish procedures to ensure the timely payments of amounts due DBEs pursuant to the terms of the Subcontracts with DBEs.
- C. Cooperate in any studies or surveys as may be conducted by the District as may be necessary to determine the extent of the Contractor's compliance with DBE participation.

#### **ARTICLE 9 PROJECT ORGANIZATION AND CONTACTS.**

Attachment B identifies the Engineer and the initial Authorized Representatives of the District and the Contractor. The District shall have the right to change the Engineer, and each party shall have the right to change its Authorized Representative and addresses for notices, upon written notice delivered pursuant to this Article.

All notices and other communications concerning this Contract shall be written in English, shall bear the number assigned to this Contract by the District and shall follow the District's correspondence format and reference system.

Notices and other communications may be (a) delivered personally, (b) sent by certified mail, return receipt requested, (c) sent by a recognized overnight mail or courier service, with delivery receipt requested, or (d) sent by facsimile or email communication followed by a hard copy. A notice to the District will be effective only if it is delivered to the District's Authorized Representative and other person(s) designated for delivery of notices in Attachment B hereto,

and a notice to Contractor will be effective only if it is delivered to Contractor's Authorized Representative and other person(s) designated for delivery of notices in Attachment B hereto.

Notices shall be deemed delivered when actually received in the office of the addressee (or by the addressee if personally delivered) or when delivery is refused, as shown on the receipt of the U. S. Postal Service, private carrier or other Person making the delivery. Notwithstanding the foregoing, notices sent by telefacsimile after 4:00 p.m. Pacific Standard or Daylight Time (as applicable) and all other notices received after 5:00 p.m. shall be deemed received on the first business day following delivery (that is, in order for a fax to be deemed received on the same day, at least the first page of the fax must have been received before 4:00 p.m.). Any technical problem or any failure of any kind preventing Contractor from delivering notice in accordance with the Contract shall be the sole responsibility of Contractor.

Contractor shall copy the District on all written correspondence pertaining to the Contract between Contractor and any Person other than Contractor's Subcontractors, consultants and attorneys.

#### **ARTICLE 10 WORKERS' COMPENSATION CERTIFICATION.**

By executing this Contract, the Contractor certifies that it is aware of the provisions in Section 3700 of the California Labor Code which require every employer to be insured against liability for Workers' Compensation or to undertake self-insurance in accordance with the provisions of that Code, and the Contractor covenants and agrees to comply with such provisions prior to commencing the performance of the Work of this Contract.

#### **ARTICLE 11 LICENSING.**

The Contractor acknowledges that all contractors in California are required by State law to be licensed, and are regulated by the Contractors State License Board, which has jurisdiction to investigate complaints against contractors if a complaint is filed within three years of the date of the alleged violation. Any questions concerning a contractor may be referred to the Registrar, Contractors' State License Board, 9821 Business Park Drive, Sacramento, CA 95827-1703, mailing address P.O. Box 26000, Sacramento, CA 95826- 0026, Phone (800) 321-CSLB.

#### **ARTICLE 12 INSURANCE.**

The Contractor shall maintain in full force and effect liability insurance necessary to cover claims arising from the Contractor's operations under this Agreement, in accordance with Attachment C hereto.

#### **ARTICLE 13 SECURITY INTEREST.**

**ARTICLE 14** In the event District fails to pay when due any sum owed to Contractor under this Agreement, Contractor shall have a security interest in the proceeds of the transactions and use tax approved by the voters of District in 2008 (the "Measure Q Sales Tax") as necessary to secure the sum due. The security interest created by this paragraph shall be subordinate to (i) any pledge of or grant of a security interest in the proceeds of the Measure Q Sales Tax to secure District's indebtedness or other obligations for borrowed money, whether such pledge or grant of security interest is made before or after this Agreement is made and (ii) any security interest created by an agreement for the provision of goods or services to District made before this Agreement is made. The security interest created by this paragraph shall expire on the sooner of satisfaction or extinguishment of District's duty to pay such sum or expiration or termination of this Agreement.

It is the intent of District that this Section, having been duly approved by a resolution of District's Board of Directors, constitutes an evidence of indebtedness pursuant to Section 105262 of the Public Utilities Code. Upon expiration of the security interest as specified herein, Contractor shall execute and deliver to District any and all documents necessary to release such security interest.

**ARTICLE 15 FURTHER ASSURANCES.**

**ARTICLE 16** Contractor shall promptly execute and deliver to the District all such instruments and other documents and assurances as are reasonably requested by the District to further evidence the obligations of Contractor hereunder, including assurances regarding assignments of Subcontracts contained herein.

IN WITNESS WHEREOF, the parties have hereunto executed this Contract as of the date first above written.

**DISTRICT:**

**SONOMA-MARIN AREA RAIL TRANSIT  
DISTRICT**

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

District Board Chairperson

**CONTRACTOR:**

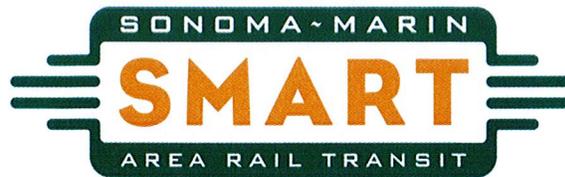
**NAME OF CONTRACTOR**

**By:** \_\_\_\_\_  
Authorized Signer for Contractor

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

California Contractor's License No. \_\_\_\_\_

Class A, License Expiration Date: \_\_\_\_\_



September 19, 2018

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

**Judy Arnold, Vice Chair**  
Marin County Board of Supervisors

**Damon Connolly**  
Marin County Board of Supervisors

**Jim Eddie**  
Golden Gate Bridge,  
Highway/Transportation District

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

**Eric Lucan**  
Transportation Authority of Marin

**Jake Mackenzie**  
Sonoma County Mayors' and  
Councilmembers Association

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

**Gary Phillips**  
Transportation Authority of Marin

**David Rabbitt**  
Sonoma County Board of Supervisors

**Carol Russell**  
Sonoma County Mayors' and  
Councilmembers Association

**Shirlee Zane**  
Sonoma County Board of Supervisors

**Farhad Mansourian**  
General Manager

A handwritten signature in black ink, appearing to read "Farhad Mansourian".

5401 Old Redwood Highway  
Suite 200  
Petaluma, CA 94954  
Phone: 707-794-3330  
Fax: 707-794-3037  
www.sonomamarintrain.org

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

**SUBJECT:** Authorize the General Manager to amend three Professional Services Contracts with WRA, Inc., Stantec, Inc. and RailPros, Inc. for the Windsor Extension Project and an Engineering Feasibility Study on existing railroad right-of-way to connect to Suisun City

Dear Board Members:

**RECOMMENDATION:**

- 1) Approve Contract Amendment No. 1 to Professional Service Contract No. EV-PS-18-002 with WRA, Inc. for Environmental Evaluation and Permitting Activities for the Windsor Extension Project for an amount of \$286,000.
- 2) Approve Contract Amendment No.1 to Professional Service Contract No. EV-PS-18-003 with Stantec, Inc. for Environmental Evaluation and Permitting Activities for the Windsor Extension Project for an amount of \$246,082.
- 3) Approve Contract Amendment No. 5 to Professional Service with RailPros, Inc. for Track Design and Civil Preliminary Engineering for the Windsor Extension Project for an amount of \$959,375.

**SUMMARY:**

Background: SMART received funding from the California State Transportation Agency for the Windsor Extension Project and to perform a high-level engineering feasibility study to evaluate providing passenger rail service from Novato through Napa and to Suisun where a connection with the Capital Corridor is possible.

SMART is commencing the Windsor Extension Project – a 3-mile extension of the SMART passenger rail system from Airport Boulevard in unincorporated Santa Rosa to the Town of Windsor. This segment of the SMART passenger rail system is another step in completing the 70-mile system from Larkspur to Cloverdale. The Project is funded through Federal, State and Regional funding. The 3-mile route will utilize the existing SMART-owned railroad right-of-way. The project requires railway improvements, including reconstructing track, constructing a station platform, reconstructing grade crossings, replacing trestle bridges, constructing a park and ride lot, extending of the Positive Train Control (PTC) signaling, radio, and communications systems.

The California State Transportation Agency identified a possible opportunity to provide passenger rail service between the North Bay and Napa and Solano Counties in the 2018 California State Rail Plan. The concept would utilize the SMART owned rail corridor from Ignacio in Novato to Napa. From Napa, track owned by the Union Pacific Railroad exists to provide a potential connection to Suisun and the Capital Corridor rail system. SMART will evaluate the engineering feasibility of provide a passenger rail connection. The study will evaluate the railroad corridor for needed improvements for such elements as track improvements or reconstruction, condition of bridges, opportunities for stations, locations of possible passing sidings, signaling and train communication systems, connections to Capital Corridor, as well as environmental and biological habit for permitting and mitigation considerations. Essentially, the study will identify opportunities as well as potential challenges in order to provide a sense of how practical a rail connection could be.

SMART requires the professional design and construction assistance of firms that can help staff begin work on both the Windsor Extension Project and to assist with evaluating the concept of a passenger rail to Napa and Solano Counties. The professional services activities will include preliminary engineering designs, topographical surveys, compiling of utility information, assisting with the preparation of design-build documents for a track/civil engineering procurement, prepare resource agency construction permit applications, conduct biological evaluations, develop environmental mitigation plans, and other support activities. The recommended contract amendments will initiate this work on the extension to Windsor and to assist with the high-level feasibility study to evaluate the Novato to Suisun passenger rail connection.

Funding:

SMART has received committed funding of \$55M, for the Project. It includes the following funding amounts and funding sources. There is no local SMART Measure Q funding in the Project.

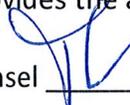
- Federal Railroad Administration (FRA): \$5M
- California State Transportation Agency TCRIP Funding Program: \$21M
- Metropolitan Transit Commission (MTC) Regional Measure 3 Funding: \$30M

**RECOMMENDATION:**

- 1) Approve Contract Amendment No. 1 to Contract No. EV-PS-18-002 with WRA, Inc. in the amount of \$286,000 to provide professional services to evaluate the natural environment, conduct plant and tree surveys, and prepare permit applications for construction of the Windsor Extension Project and high-level evaluations of the natural environment for the Novato to Suisun passenger rail study.
- 2) Approve Amendment No. 1 to Contract No. EV-PS-18-003 with Stantec, Inc. in the amount of \$246,082 to provide professional services for biological studies, preparation of regulatory permit applications, and assist with the implementation of permitting requirements for the construction of the Windsor Extension Project and high-level evaluations of the natural environment for the Novato to Suisun passenger rail study.

- 3) Approve Contract Amendment No. 5 to Contract No. CV-PS-15-005 with RailPros, Inc. in the amount of \$959,375 will provide for the development of preliminary engineering documents, and assistance in preparing a track/civil works Request for Proposal for design-build work and high-level evaluations of track and infrastructure for the Novato to Suisun passenger rail study

**FISCAL IMPACT:** Approval will require increased appropriation authority in Fiscal Year 2018-19 funded through grants. Item 13 on the Agenda provides the additional authority needed.

**REVIEWED BY:** [ X ] Finance  [ X ] Counsel 

Very truly yours,



Bill Gamlen, P.E.  
Chief Engineer

- Attachment(s): 1) WRA, Inc. Contract Amendment No. 1  
2) Stantec, Inc. Contract Amendment No. 1  
3) RailPros, Inc. Contract Amendment No. 5

**FIRST AMENDMENT TO AGREEMENT FOR CONTRACTOR SERVICES  
BETWEEN THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT  
AND WRA, INC.**

This First Amendment dated as of September 19, 2018 (the “First Amendment”) to the Agreement for Contractor Services by and between the Sonoma-Marín Area Rail Transit District (“SMART”) and WRA, Inc. (“Contractor”), dated as of July 1, 2018 (the “Original Agreement,” and now as amended by this First Amendment, the “Agreement”).

**RECITALS**

WHEREAS, SMART and Contractor previously entered into the Original Agreement to provide environmental permitting management, technical consulting, construction compliance monitoring, and related support services; and

WHEREAS, SMART desires to increase the not-to-exceed amount by \$286,000 for a total not-to-exceed amount of \$376,000 and amend the Scope of Work to include baseline studies necessary for the Windsor Extension Project and the Novato to Suisun Passenger Rail Feasibility Study.

NOW, THEREFORE, in consideration of the recitals set forth above and the covenants contained herein, it is mutually agreed by and between the parties that:

**AGREEMENT**

1. **“ARTICLE 2. LIST OF EXHIBITS.”**

“Exhibit A: Scope of Work & Timeline” Exhibit A is amended to include environmental studies related to the Windsor Extension Project and the Novato to Suisun Passenger Rail Feasibility Study, as attached.

2. **“ARTICLE 5. PAYMENT.”** Article 5 shall be amended as follows:

“Section 5.02 Contractor shall be paid on a time and expense basis in accordance with **Exhibit B**; provided, however, that total payments to Contractor shall not exceed \$376,000 without the prior written approval of SMART.”

3. Except to the extent the Agreement is specifically amended or supplemented hereby, the Agreement, together with all supplements, amendments and exhibits thereto is, and shall continue to be, in full force and effect as originally executed, and nothing contained herein shall, or shall be construed to, modify, invalidate, or otherwise affect any provision of the Agreement.

**IN WITNESS WHEREOF**, the parties hereto have executed this First Amendment as set forth below.

**SONOMA-MARIN AREA RAIL TRANSIT DISTRICT**

Dated: \_\_\_\_\_

By \_\_\_\_\_  
Farhad Mansourian, General Manager

**WRA, INC.**

Dated: \_\_\_\_\_

By \_\_\_\_\_

Its \_\_\_\_\_

**APPROVED AS TO FORM:**

Dated: \_\_\_\_\_

By \_\_\_\_\_  
District Counsel

**EXHIBIT A**  
**SCOPE OF WORK & TIMELINE**

Task 6 and 7 are in addition to Tasks 1-5 from the Exhibit A Scope of Work from the Original Agreement.

Task 6: Winsor Extension Project

WRA will perform multiple baseline studies in the Windsor Extension Project Area that are necessary for the preparation of complete and accurate environmental permit applications. WRA will complete tree surveys, botanical surveys, an aquatic resources delineation, and a wetland conditions assessment using the California Rapid Assessment Method. Using the results from these baseline studies and the results of studies being performed by other contractors, WRA will develop and negotiate compensatory mitigation strategies for wetlands, streams, riparian habitat, and trees. Utilizing these baseline studies and mitigation strategies, WRA will prepare permit applications to obtain authorization to construct from the U.S. Army Corps of Engineers, the North Coast Water Quality Control Board, and the California Department of Fish and Game.

Task 7: Novato to Suisun Passenger Rail Feasibility Study

WRA will support the development of a feasibility study for the Novato to Suisun passenger rail feasibility study by providing technical services and recommendations pertaining to biological resources, potentially jurisdictional aquatic resources, and environmental planning. WRA will work with SMART and their other contractors to identify and anticipate potential environmental constraints on the project's design and construction as well as potential opportunities for minimizing and mitigating environmental impacts. WRA's project manager, Leslie Allen, will be available to facilitate and attend meetings with SMART, their contractors, and regulatory agencies as appropriate.

**FIRST AMENDMENT TO AGREEMENT FOR CONTRACTOR SERVICES  
BETWEEN THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT  
AND STANTEC CONSULTING SERVICES, INC.**

This First Amendment dated as of September 19, 2018 (the “First Amendment”) to the Agreement for Contractor Services by and between the Sonoma-Marín Area Rail Transit District (“SMART”) and Stantec Consulting Services, Inc. (“Contractor”), dated as of July 1, 2018 (the “Original Agreement,” and now as amended by this First Amendment, the “Agreement”).

**RECITALS**

WHEREAS, SMART and Contractor previously entered into the Original Agreement to provide environmental permitting management, construction compliance monitoring, and related support services; and

WHEREAS, SMART desires to increase the not-to-exceed amount by \$246,082 for a total not-to-exceed amount of \$336,082 and amend the Scope of Work to include environmental support services for the Windsor Extension Project and the Novato to Suisun Passenger Rail Feasibility Study.

NOW, THEREFORE, in consideration of the recitals set forth above and the covenants contained herein, it is mutually agreed by and between the parties that:

**AGREEMENT**

1. **“ARTICLE 2. LIST OF EXHIBITS.”**

“Exhibit A: Scope of Work & Timeline” Exhibit A is amended to include environmental support services for the Windsor Extension Project and the Novato to Suisun Passenger Rail Feasibility Study, as attached.

2. **“ARTICLE 5. PAYMENT.”** Article 5 shall be amended as follows:

“Section 5.02 Contractor shall be paid on a time and expense basis in accordance with **Exhibit B**; provided, however, that total payments to Contractor shall not exceed \$336,082 without the prior written approval of SMART.”

3. Except to the extent the Agreement is specifically amended or supplemented hereby, the Agreement, together with all supplements, amendments and exhibits thereto is, and shall continue to be, in full force and effect as originally executed, and nothing contained herein shall, or shall be construed to, modify, invalidate, or otherwise affect any provision of the Agreement.

**IN WITNESS WHEREOF**, the parties hereto have executed this First Amendment as set forth below.

**SONOMA-MARIN AREA RAIL TRANSIT DISTRICT**

Dated: \_\_\_\_\_

By \_\_\_\_\_  
Farhad Mansourian, General Manager

**STANTEC CONSULTING SERVICES, INC**

Dated: \_\_\_\_\_

By \_\_\_\_\_  
Its \_\_\_\_\_

**APPROVED AS TO FORM:**

Dated: \_\_\_\_\_

By \_\_\_\_\_  
District Counsel

**EXHIBIT A**  
**SCOPE OF WORK & TIMELINE**

Tasks 5 and 6 are in addition to Tasks 1-4 from the Exhibit A Scope of Work from the Original Agreement.

III. Scope of Work

Task 5: Windsor Extension Project

The Sonoma-Marin Area Rail Transit District (SMART) is proposing to rehabilitate approximately 3.3 miles of track located north of the City of Santa Rosa in the Town of Windsor (Project) as part of the Windsor extension segment (Project). To initiate this Project, SMART is pursuing environmental services support from Stantec Consulting Services Inc. (Stantec) to identify all potential biological and cultural resources located in the Project area and assist with securing regulatory environmental construction permits. The findings of these surveys will determine which environmental permits that SMART would be required to obtain to complete the Project.

Stantec will complete biological field surveys to identify all potential biological resources along the Project alignment including; wetlands and other sensitive habitats, state and federally-listed plants and wildlife, and all tree species. Stantec will also conduct background research and a field inventory of the Project alignment to identify all potential cultural (archaeological and architectural) resources. The findings of all biological and cultural surveys will be compiled in separate technical reports for submittal to SMART. Based on the resources identified in the Project alignment, Stantec will then collaborate with state and federal regulatory agencies, as appropriate, to obtain any necessary environmental permits to move forward with Project construction.

Task 6: Novato to Suisun Passenger Rail Feasibility Study

Stantec will support the Novato to Suisun passenger rail feasibility study by providing technical services pertaining to biological resources, wetland evaluation, a high-level cultural evaluation and identify potential environmental constraints. Stantec will work with SMART and their other contractors to identify and anticipate potential environmental constraints on the project's design and construction as well as potential opportunities for minimizing and mitigating environmental impacts. Stantec will actively support SMART and their consultants as planning activities identify alignments, options and possible improvements.

**FIFTH AMENDMENT TO THE AGREEMENT FOR CONSULTANT SERVICES  
BETWEEN THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT  
AND RAILPROS, INC.**

This Fifth Amendment dated as of September 19, 2018 (the “Fifth Amendment”), to the Agreement for Consultant Services by and between Sonoma-Marín Area Rail Transit District (“SMART”) and RailPros, Inc. (“CONSULTANT”), dated as of November 19, 2015 (the “Original Agreement,” as amended and supplemented by the First, Second, Third, Fourth and now this Fifth Amendment).

**RECITALS**

WHEREAS, CONSULTANT and SMART previously entered the Original Agreement to provide Preliminary Engineering Design for the Larkspur Extension Project; and

WHEREAS, CONSULTANT and SMART desire to amend the Agreement to add additional scope of services and increase the not-to-exceed amount by \$959,375, for a total not-to-exceed amount of \$3,629,801.

NOW THEREFORE, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties hereto agree as follows:

**AGREEMENT**

1. **“ARTICLE 5. PAYMENT”** Article 5 of the Agreement is amended as follows:

In addition to the not-to-exceed amount set forth in the Original Agreement, the contract amount shall be increased by an amount not-to-exceed \$959,375 for the provisions of the services, for an aggregate not-to-exceed amount of \$3,629,801 for the Agreement.

2. **EXHIBITS.** The following exhibit is attached hereto and incorporated herein:

(a) EXHIBIT A: SCOPE OF WORK

All reference in the Original Agreement and First through Fourth Amendments to Exhibit A shall include reference to this Fifth Amendment.

3. Except to the extent the Agreement is specifically amended or supplemented hereby, the Agreement, together with all supplements, amendments and exhibits thereto is, and shall continue to be, in full force and effect as originally executed, and nothing contained herein shall, or shall be construed to, modify, invalidate, or otherwise affect any provision of the Agreement.

**IN WITNESS WHEREOF**, the parties hereto have executed this Fifth Amendment as of the date first set forth above.

**SONOMA-MARIN AREA RAIL TRANSIT  
DISTRICT**

Dated: \_\_\_\_\_

By \_\_\_\_\_  
Farhad Mansourian, General Manager

**RAILPROS, INC.**

Dated: \_\_\_\_\_

By \_\_\_\_\_  
Consultant

**APPROVED AS TO FORM:**

Dated: \_\_\_\_\_

By \_\_\_\_\_  
Tom Lyons, District Counsel

# EXHIBIT A

## PRELIMINARY DESIGN SERVICES FOR WINDSOR EXTENSION

September 13, 2018

### SONOMA MARIN AREA RAIL TRANSIT DISTRICT Summary Scope for Design Services for Preliminary Design (Bridging Documents) for the Windsor Extension

#### Project Description AND UNDERSTANDING

SMART desires to extend passenger service from the current end-of-line at Airport Road to a station site on the near Windsor River Road. The approximate length of the extension is 3.2 miles. To accomplish the civil construction (e.g., track, structures, and grade crossings), SMART intends to procure a design-build contractor. This scope document is for professional design services associated with the development of “bridging documents” which are the preliminary designs and contract documents that will serve as the basis for SMART’s design-build construction procurement.

#### SCOPE OF WORK

##### General Scope:

The general scope of the improvements SMART contemplates for the civil component of the Windsor Extension is as follows:

- Reconstruct the existing main track from Airport Road to a point north of Windsor River Road.
- Establish a station platform in the general vicinity of Windsor River Road grade crossing or the former Windsor station building.
- Extend a second track from the Rail Operations Center (ROC) northward to a point just south of the Shiloh Road grade crossing.
- Modify the existing grade crossings at Airport Road and Aviation Boulevard to accommodate a second track. Provide pedestrian access across track on one or both sides of the roadway.
- Construct a siding from near the wastewater treatment plant adjacent to the SMART right of way, towards Windsor River Road. The siding may extend across Windsor River Road grade crossing (final extents of siding to be determined based on SMART’s operational requirements).
- Reconstruct five existing timber trestles. SMART prefers structures based on precast concrete elements.
- Provide space for future construction of a Multi-Use Pathway in the SMART right of Way (ROW) between Airport Road and Windsor River Road.
- Coordination with utilities.
- Coordination with SMART’s Systems improvements.

The following list of activities identifies the scope of work for development of the design-build bridging documents (that is, “preliminary engineering” upon which the design-build teams can base their proposals). This list includes a description of the scope elements and major assumptions for each activity.

#### TASK 1: EVALUATION OF CURRENT MATERIAL

##### 2.1 Review Advanced Conceptual Engineering Drawings and CAD Files

Review previous drawings prepared by SMART in the 2008 – 2010 time frame. Identify which CAD files from prior segments of SMART’s work are relevant, such as the as-built CAD files for the ROC. Train design staff on SMART’s new CAD file management system, “BIM360 Documents.”

**2.2 Review Previous Documents**

Review documents, such as the SMART Environmental Impact Report to identify constraints to be incorporated into the design.

**2.3 Field Review with SMART**

Site review with SMART Engineering and key members of the design team.

**TASK 2 – FIELD INVESTIGATIONS**

**2.1 Survey**

Verify existing control points; compile previous aerial survey data and orient on verified control; prepare topographic mapping tiles in SMART coordinate system based on previous aerial survey; up to four days of supplemental topographic mapping in the field (with office post-processing) for grade crossings; and up to four days for miscellaneous survey requests.

Subsequent to the design effort, a record of survey will be prepared. Cost for one title report is included. It is believed that SMART has already collected channel cross sections at each of the five stream crossings; it is assumed that this data is still valid; new field survey of these channels is excluded

**2.2 Geotechnical**

Perform five geotechnical borings, one at each trestle, to a depth of 75 feet below surface, or refusal, whichever occurs first. Summarize results in boring logs, with the intent that the bridging documents will include only the bore logs, but no geotechnical baseline report (GBR); instead, the D/B will be expected to prepare the GBR.

**TASK 3 - UTILITY**

**3.1 Utility Composite Mapping**

Compile information SMART has previously developed, and request CAD files from outside agencies and utility firms. No separate utility investigations are planned as part of the bridging documents; the D/B will be expected to finalize the utility mapping and perform field investigations.

**3.2 And 3.3 Coordination with Owners of High Pressure Gas and Sanitary Sewer Force Main and Minor Utility Owners**

Make initial contacts and gather data on existing parallel utilities, including a high-pressure gas main and sanitary sewer force main believed to exist in the corridor. Coordination with other utility owners based on results of field investigation. D/B will be expected to finalize the utility relocation plans or design around utilities (in conformance with SMART standards). For the purpose of this scope for the bridging documents, this is a level of effort basis until the extent of utility conflicts are determined.

## **TASK 4 – PS&E**

### **4.1 Update Existing CAD Files**

SMART has CAD files for portions of the Windsor Extension; however, at 8-10 years old, some links are no longer valid, and the files are no longer compliant with SMART's current CAD standard.

### **4.2 General Sheets/Index**

Prepare "general sheets" or "front sheets" for the bridging document package, based on previous bridging document packages.

### **4.3 Track Alignment and Profile**

Develop horizontal alignments and vertical profiles for sections of double track and single track, extending northward from Airport Road to north of Windsor River Road. Perform initial coordination with utility locations, once (and to the extent) utilities are located and resolutions identified during the bridging document development. Note that tracks may vary from the existing alignment in order to accommodate double track sections and in order to avoid utility (or other) impacts. Track vertical profile is expected to be raised to accommodate new/replaced bridges. Track plans will be developed with the intent of allowing space for future construction of a multi-use pathway. For the bridging documents, alignments and profiles for the future multi-use pathway are assumed to be "tied" a fixed distance away from the track centerline, and a fixed vertical distance from top-of-rail. Track configurations at the ROC and the limits of double track and control point locations will be coordinated with SMART Systems and Operations staff. For development of the bridging documents, the SMART ROW will be assumed to be 80' wide, centered on the existing track.

### **4.4 Track Sections**

Develop typical sections and an earthwork model for the bridging documents. Earthwork model will consist of approximately 3-5 templates ("assemblies") in order to provide the D/B bidders with a rough approximation of the earthwork required. Retaining wall locations will not be identified. Cross sections may be included in the bridging documents, or as reference documents, pending discussion with SMART. Typical sections showing more detailed criteria will be developed to include in the bridging documents.

### **4.5 Not Used**

### **4.6 And 4.7 And 4.8 Grade Crossing Design Airport Road, Aviation Blvd, and Mitchell Ln.**

Develop roadway plan views indicating approximate limits and types of improvements (e.g., new pavement surface, curb and gutter, sidewalks, curb ramps, traffic signals, etc.) at Airport Road and Aviation Blvd., both of which will be modified to accommodate two tracks. At Mitchell Ln., identify scope of improvements for potential crossing/roadway modifications. Conduct a field diagnostic meeting with the California Public Utilities Commission (CPUC), SMART, and affected roadway authority at two crossings, and develop CPUC General Order 88-B forms for two crossings.

### **4.9 Not Used**

### **4.10 Hydrology and Hydraulics**

Gather data on existing hydraulic conditions at each of five existing bridge locations. Refine with updated data and identify preliminary controlling water elevations and flows for design of new bridges. This information will be used to inform the development of bridging documents for the

structures, as well as to support the subsequent permit applications. For the purpose of this scope for the bridging documents, the permitting support has been assumed to be on a level of effort basis.

#### **4.11 Structures Type, Size, and Location**

For the five stream crossings, new structure types, preliminary lengths, preliminary sections, and conceptual construction laydown areas will be developed for the bridging documents and to support permit documents.

#### **4.12 Station and Parking**

This task will develop bridging documents for the station platform and ADA-access ramp at Windsor, near the Windsor River Road intersection, including exact location and configuration of the platform. In addition, a bridging document for paving of the Airport Road parking lot will be developed, as well as for a new paved parking lot at Windsor, near the southwest quadrant of the Windsor River Road grade crossing. The D/B will be expected to develop drainage, grading, and stormwater connections at each location.

#### **4.13 Systems Coordination**

Coordinate with SMART systems team for development of typical details for the SMART fiber optic system, identify locations for Central Instrument Locations (CILs) and Control Points.

#### **4.14 Program Requirements**

Develop project-specific written design and construction criteria and/or contractor restrictions for the Windsor Extension for inclusion in the bridging documents.

#### **4.15 Quantities and Estimates**

Develop preliminary quantities (to support estimating) based on the scope identified in the bridging documents. Develop an opinion of probable construction cost using the unit cost format.

#### **4.16 SMART Informal Working Group Over the Shoulder Review**

Meet with the SMART team and key members of the design team to review CAD files and design progress prior to the first submittal of bridging documents.

#### **4.17 and 4.18 Interdisciplinary Review**

Leads/key staff for the respective design disciplines meet to review the bridging documents prior to submittal to SMART.

#### **4.19 Preliminary Hazard Analysis Sample for Bridging Documents**

Leads/key staff for the respective design disciplines meet to review the bridging documents prior to submittal to SMART.

### **TASK 5 - DESIGN-BUILD DOCUMENT PREPARATION**

The effort under this task will develop documents to be included in the bridging documents, other than the plans and program requirements. This effort includes supporting SMART in reviewing the General Conditions, developing Special Conditions, developing General Requirements, developing bidder evaluation criteria, updating SMART's Design Criteria, Reference Documents, and supporting SMART during compilation of the Request for Proposals to be issued to the D/B firms.

### **TASK 6 – PROJECT MANAGEMENT**

The effort under this task is related to coordination amongst team members and with SMART's management team. Efforts include providing a design team member to meet with SMART on a weekly basis, preparing a draft basis of design report (to be updated by the D/B), and internal coordination calls with the design team.

**Other Assumptions:**

Environmental permitting for structures and waterways will be performed by another team; SMART has already completed environmental documentation for this area of work. As with previous SMART design-build projects, the selected design-build contractor will be expected to finalize design for all project elements, provide coordination with third parties, and provide sealed and stamped construction documents. In addition, the D/B's design must comply with applicable regulations and statutes. Design support during bid and construction phases are excluded. Submittals will be via PDF, with updates to SMART's CAD file system, and with 2 hard copies (in 11"x17" format for plans) to SMART.

**End of Scope for Bridging Documents**

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# **FEASIBILITY STUDY: EXTENSION OF SMART SERVICE TO SUISUN CITY**

**September 13, 2018**

## **SONOMA MARIN AREA RAIL TRANSIT DISTRICT**

### **Summary Scope of Services for Suisun Extension Feasibility Study**

#### **INTRODUCTION**

SMART's current passenger operations are oriented in the former Northwestern Pacific north-south corridor extending between San Rafael and Santa Rose. Passenger operations in the north-south corridor will soon be extended to a connection to the Larkspur ferry terminal. Preliminary engineering will soon commence on an extension to Windsor.

SMART desires to study the feasibility of extending passenger service to Suisun City, generally as outlined in the California State Rail Plan. This would provide rail connectivity for travelers in the Highway 37 corridor between Blackpoint, Sonoma, Napa/American Canyon/Vallejo, and Suisun/Fairfield areas, as well as provide linkages via existing SMART service to northern Sonoma County, Marin, and, via ferry, to San Francisco.

SMART owns the right of way (ROW) between Ignacio and Lombard (just west of Napa Junction); however, there is no passenger service on this corridor. The only rail operations are those of the Northwestern Pacific freight operator. Union Pacific Railroad owns the ROW between Lombard and Suisun City, with freight service provided by the California Northern Railroad.

This study will examine the technical feasibility of instituting passenger service between Ignacio and Suisun City, identify potential infrastructure and environmental challenges, identify institutional challenges, and develop a conceptual suite of infrastructure improvements and order of magnitude cost estimates. Please note that ridership estimates and operational cost estimates are not included in this study, which will focus primarily on capital costs and overall feasibility.

#### **TASK 1: EVALUATION OF EXISTING CONDITIONS**

##### **1.1 Identify Existing Resources**

Identify documents, studies, and other resources (including individuals) with knowledge of the existing conditions. Examples include bridge inspection documents, timetables and track classifications for the corridor east of Ignacio, and the availability of aerial imagery.

##### **1.2 SMART Corridor**

Review project with SMART operations team. Conduct field inspection of the SMART-owned corridor between Ignacio and Lombard in order to assess infrastructure. (It is assumed that SMART will provide a hirail vehicle and operator.) Visually identify topographically challenging terrain (e.g., terrain that would complicate construction of a siding) as well as environmentally challenging areas, such as wetlands and potential endangered species habitat.

##### **1.3 UPRR Corridor**

The team will work with SMART to engage California Northern Railroad and Union Pacific Railroad with the goal of introducing these entities to the project, which is assumed to rely on the Union Pacific corridor between Lombard and Suisun City. Such an inspection would provide access to otherwise inaccessible facilities, such as the track through Jameson Canyon and the tunnel between Cordelia and Suisun. If such an inspection is unavailable, the team will make best efforts to access these facilities from public right of way.

#### **TASK 2 – SERVICE SCENARIOS**

EXHIBIT A

RailPros, Inc.

Fifth Amendment

Contract No. CV-PS-15-005

## **2.1 Service Scenarios**

Establish the conceptual service scenarios to be considered for the study. These scenarios will inform the assumptions about required infrastructure. These scenarios will also inform the type of passenger equipment needed. Conceptual station locations would be identified for the various scenarios. Define level of freight service that must be maintained.

## **2.2 Equipment Scenarios**

Identify the type of passenger equipment likely to be employed.

## **2.3 Conceptual Running Times**

While no operational simulations are contemplated as part of this feasibility study, the team will work to identify an *approximate* running time using simple spreadsheet methods (not accounting for acceleration/deceleration times), probable curve geometry, and the team's experience. Note that establishing a running time would provide information on best-case operation, no meets/overtakes or other interference would be included. This is a first step both in evaluating the appeal of the service to potential travelers and in identifying a suite of infrastructure improvements.

## **TASK 3 – INFRASTRUCTURE SCENARIOS**

Identify the infrastructure that would be required to support the service scenarios identified in the prior task. This may include combinations of track rehabilitation, improvements to structures and grade crossings, and siding or double-track locations. Given the conceptual nature of the study, the improvements identified will be “representative”: though they may not precisely identify the final locations for infrastructure improvements for any given scenario, the representative improvements will have characteristics similar to what a final infrastructure package might include. That is, the representative improvements are expected to present generally similar challenges, costs, service/operational opportunities, and overall feasibility for a range of scenarios.

Based on information provided by the environmental team (which is working under a separate contract), these tasks will also report environmentally sensitive areas and the effect these areas might have on the feasibility of infrastructure improvements. It is assumed that the environmental team will identify representative mitigations. To the extent information is available, the team will also identify whether sea-level rise mitigations could be incorporated into the project.

### **3.1 Define Infrastructure Scenarios in SMART Corridor**

Identify representative infrastructure necessary to support the service scenarios identified in the prior task in the portion of the corridor owned by SMART. This may include combinations of track rehabilitation, improvements to structures and grade crossings, and siding or double-track locations.

### **3.2 Define Infrastructure Scenarios in UPRR Corridor**

Similar to the prior task, identify representative infrastructure necessary to support the service scenarios in the portion of the corridor owned by Union Pacific Railroad. The scope of the infrastructure in the UPRR-owned corridor may be more complex than that in the SMART-

owned corridor. The team will endeavor to engage UPRR in this effort. It is expected that the scope of infrastructure improvements would be similar to other UPRR corridors. Assess feasibility of providing the infrastructure, including passenger connectivity to the Capitol Corridor service at Suisun.

#### **TASK 4 – INFRASTRUCTURE ESTIMATES**

##### **4.1 Develop Order of Magnitude Cost Estimates for SMART Corridor**

Using the scope of infrastructure in the SMART-owned corridor defined in Task 3, develop conceptual quantities and order of magnitude cost estimates.

##### **4.2 Develop Order of Magnitude Cost Estimates for UPRR Corridor**

Using the scope of infrastructure in the UPRR-owned corridor defined in Task 3, develop conceptual quantities and order of magnitude cost estimates.

#### **TASK 5 – NEXT STEPS**

In the event that one or more service scenarios are considered feasible, identify likely next steps for further study, including organizational coordination with Union Pacific and public agencies.

#### **TASK 6 – DRAFT FEASIBILITY STUDY**

Reporting on the data gathered and developed in prior tasks, produce a draft study, including graphics, of the overall feasibility of extending SMART service to Suisun. The report will address the tasks identified above and the information gathered therefrom. The draft study will be provided to SMART staff for review in electronic (pdf) format, as well as native MS Word files and Excel spreadsheets.

#### **TASK 7 – FINAL FEASIBILITY STUDY**

Based on comments received from SMART staff, revise the draft study, updating text, cost estimates, and conclusions.

#### **TASK 8 – PROJECT MANAGEMENT**

The effort under this task is related to coordination amongst team members and with SMART's management team. Efforts include providing a design team member to coordinate with SMART on a bi-weekly basis (via phone or in-person), and internal coordination calls with the design team.

**End of Scope for Suisun Extension Feasibility Study**



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

**Judy Arnold, Vice Chair**  
Marin County Board of Supervisors

**Damon Connolly**  
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September 19, 2018

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

**SUBJECT:** Fiscal Year 2018-19 Budget Amendment for Windsor Extension and an Engineering Feasibility Study on existing railroad right-of-way to connect to Suisun City

Dear Board Members:

**RECOMMENDATION:**

Approve Resolution Number 2018-22 Amending the Fiscal Year 2018-19 Adopted Budget to Provide Increased Appropriation Authority of \$8,080,137 for the Windsor Extension Project and an Engineering Feasibility Study on existing railroad right-of-way to connect to Suisun City.

**SUMMARY:**

In order to execute and implement the Windsor Extension Project work authorized in Items 11 and 12, we request your Board approve a budget amendment to increase both revenues and expense of \$8,080,137. This work has three grant funding sources, the State of California, the Federal Railroad Administration and the Metropolitan Transportation Commission. The breakdown for the entire project is as follows:

- State: \$21 million from the Transit and Intercity Rail Capital Program
- Federal: \$5 million from the Federal Railroad Administration
- Regional: \$30 million in Regional Measure 3 Bridge Toll funding

**FISCAL IMPACT:** Increases authorized expenditures by \$8,080,137 funded by grant revenues.

Very truly yours,

Erin McGrath  
Chief Financial Officer

Attachment(s): Resolution No. 2018-22 to Revise the Annual Budget for Fiscal Year 2018-19 to provide for Increased Expenditure Authority

