



BOARD OF DIRECTOR MEETING AGENDA

May 17, 2023 – 1:30 PM

5401 Old Redwood Highway, 1st Floor
Petaluma, CA 94954

The SMART Board of Directors will facilitate using a dual format with listening and participation available through Zoom and in-person. SMART provides several remote methods for viewing the SMART Board Meetings and providing Public Comment.

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Webinar ID: 861 1724 9784

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Prior To Meeting:

Technology limitations may limit the ability to receive verbal public comments during the meeting. If you wish to make a comment you are strongly encouraged to please submit your comment to SMART by 5:00 PM on Tuesday, May 16, 2023. Use the following link to submit your comment on agenda items: <https://www.surveymonkey.com/r/SMARTBoardComments>

During the Meeting:

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



BOARD OF DIRECTOR MEETING AGENDA

MAY 17, 2023

5401 Old Redwood Highway, 1st Floor
Petaluma, CA 94954

1. Call to Order
2. Approval of the April 19, 2023 Board Meeting/Workshop Minutes and May 3, 2023 Board Meeting Minutes
3. Board Member Announcements
4. General Manager's Report
5. Public Comment on Non-Agenda Items

Consent Calendar

- 6a. Accept Monthly Ridership Report – April 2023
- 6b. Approval of Monthly Financial Reports – March 2023
- 6c. Approve Resolutions Authorizing the Annual Filing of Grant Applications for Federal Transit Administration Formula 5307, State Transit Assistance, State Rail Assistance, State Low Carbon Transit Program, and State Transit Assistance -State of Good Repair Fund Programs \$13,699,131 in Fiscal Year 2023-2024 Budget Operations Grant Support

Regular Calendar

7. Bicycle and Pedestrian Counters Update (*Information*) – *Presented by Emily Betts*
8. Approve a Resolution Increasing Expenditure and Appropriation Authority by \$153,854.80 for design of a street signal at West Third Street and the SMART Pathway Crossing in Santa Rosa, CA - *Presented by Heather McKillop*
9. Approve an Increase in Contract for Oracle Licenses from \$108,899.25 to \$211,514.74 and extend the period from February 28, 2024 to June 30, 2024 *Presented by Heather McKillop*
10. Fiscal Year 2023/24 Draft Budget (*Information and Discussion*) – *Presented by Heather McKillop*
11. Next Regular Meeting Board of Directors, June 21, 2023 – 1:30 PM – 5401 Old Redwood Highway, 1st Floor, Petaluma, CA 94954
12. Adjournment

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**BOARD OF DIRECTORS
REGULAR MEETING MINUTES**

April 19, 2023 – 1:30 PM
5401 Old Redwood Highway, 1st Floor
Petaluma, CA 94954

1. Call to Order

Chair Lucan called the meeting to order at 1:33pm. Directors, Colin, Coursey, Fudge, Farac, Garbarino, Paulson, Rabbitt, Rogers, Sackett, and Vice Chair Bagby were present. Director Pahre absent.

Chair Lucan recognized past Chair David Rabbit for his service for the last 2 years as Board Chair, as well as Vice Chair Barbra Pahre, who was absent. A gift was presented to Director Rabbit & Director Pahre.

Director Rabbitt thanked the staff at SMART and mentioned that in his 13-year tenure, there have been 19 disasters (9 federally declared, 7 state, and 3 local disasters) and he expressed appreciation for the dedication of the entire SMART staff and leadership. He also expressed that he looks forward to the agency's continued success.

2. Approval of the March 15, 2023, Board Meeting Minutes

MOTION: Director Rogers moved approval of the March 15, 2023 Board Meeting Minutes as presented. Director Garbarino second. The motion carried 11-0 (Director Pahre absent).

3. Board Members Announcements

Director Sackett thanked Eddy for his letter of support for the Marin County Sunday Farmers Market Bike Pilot. The request will be approved in a month or so and she is excited to have bike parking, in conjunction with the Bicycle Coalition, at the farmers market on Sunday.

Director Garbarino announced that the North Bay Leadership Counsel is awarding Eddy the *Red Tape to Red Carpet Award* on May 12th at the Double Tree Hotel in Rohnert Park. She has sponsored a table and would love to have anyone interested join her table. Eddy stated that SMART has 2 tables as well if anyone wants to attend.

4. General Manager's Report

General Manager Cumins provided a brief overview on the following:

- Freight Incident
- Contracts/Procurements over \$100K
- Oracle Park Connection
- Ridership
- Upcoming Improvements
- Marketing and Communications
- Regional Coordination
- Highlight of the Month
- Questions

Freight Incident

- The incident occurred at the Schellville Yard just south of the 121 crossing on Mar 16, 2023, at 8:06 PM
- It was an eight-car train (Speed = 5 MPH and hauling feed grain (non-hazardous materials))
- Four cars derailed
- Two cars tipped over
- No injuries
- Cause of incident: Saturated rail bed due to flooding
- Contractor re-railed cars on Monday March 20, 2023
- Staff repaired and inspected track
- Delivered freight on March 27, 2023
- Total cost of damages is \$234,228
- Applied for reimbursement through emergency relief funding

General Manager Cumins went on to explain that this area has been underwater multiple times this year, mainly in January and March. Although flooding is severe at times, after a day or two the water recedes, and the track becomes passable. Once the cars were re-railed, SMART immediately began the investigation. Although the track bed looked dry, once the ties were pulled it revealed that the rail bed was completely saturated which allowed the ties to flex and eventually the rail rolled over under the weight of the loaded railcars causing the derailment.

General Manager Cumins showed a photo of the temporary repair in place and stated that the area is currently safe and serviceable, but we will be making permanent repairs this summer. Moving forward, we will halt operations after flooding incidents for a period to ensure all water has receded and the rail bed is stable; this area needs to be elevated in the long term.

General Manager Cumins explained that we also experienced some wind damage in Schellville at the 8th street crossing to the signal mast and cantilever. This crossing is rarely used, but we are working on making repairs. The cost of this damage is \$25,310. In total, we have \$260,110 in storm damages.

Contracts/Procurements over \$100K

Contract Amendment No. 2 with Hulcher Service Inc was executed for On-call equipment derailment and mobile repair support services in an increase amount of \$61,000 and not-exceed \$161,000.

Oracle Park Connection

- Giants opening day was Friday, April 7th
- SMART saw three times the average number of passengers connecting at Larkspur
- Total SMART ridership was up approximately 9% for opening weekend
- Full Giants train-ferry connections schedule at
- <https://www.sonomamarintrain.org/giantsgames>. Our Marketing team put together the entire season of home games and lined it up with the rail and ferry connections.

Ridership

- Ridership for March was 53,622
- March 2023 ridership is up 52% from March 2022
- Fiscal Year 2023 is up 87% vs. Fiscal Year 2022
- April Average Weekday ridership is at 97% pre-COVID at 2,340
- March Average Weekday ridership to date: 2,049

Upcoming Improvements

- Fri/Sat late evening service
 - Begins May 5, 2023
 - SB departure – 7:41 PM (Fri) / 8:02 PM (Sat)
 - NB departure – 9:10 PM (Fri) / 9:30 PM (Sat)
- Free Summer Youth Pass
 - Begins June 1, 2023
 - Free fare June through August
- On today's agenda
 - Micro transit Pilot Project
 - Overnight parking
 - 3-day commute week monthly pass

Marketing and Communications

- The Starlighter
 - We are calling our new late-night service train the *Starlighter*, your date night train.
 - On Friday, May 5th, SMART's new *Starlighter* evening service will make its debut.
 - We plan to advertise the *Starlighter* in Sonoma and Marin County, and will seek opportunities to partner with restaurants, tap rooms, wine bars, night clubs and visitor centers to promote the evening service.
 - SB departure – 7:41 PM (Fri) / 8:02 PM (Sat)
 - NB departure – 9:10 PM (Fri) / 9:30 PM (Sat)
- Youth Ride Free
 - This summer we are launching our regional Youth Ride Free campaign in partnership with Marin Transit, Sonoma County Transit, Santa Rosa City Bus, and Petaluma Transit. For the months of June, July and August, youth K-12 will be able to ride for free on SMART and the other listed transit providers.

Regional Coordination

- Golden Gate Ferry made schedule changes on April 3rd, adding three new connecting ferries and improvements to existing connections.

- Marin Transit will be making extensive changes to local routes on June 11, including improving connections at the San Marin SMART station.
- A second route will be extended to serve this station, opening new connections to destinations throughout the San Marin neighborhood and central Novato.

Highlight of the Month

Ken Hendricks, SMART's Procurement Manager was selected for the 2024 APTA Emerging Leaders Program. He was one of only 35 transit professionals selected nationwide.

Comments

Director Paulson thanked General Manager Cumins for his focus on the ridership and stated that he started riding SMART with his 5-year-old son on February 11th and made a checklist (Is it on time? What are the costs? How does the payment method work? etc.). Director Paulson felt the staff was friendly, everything was clean, and he is happiest about the effort going into marketing, promotion, and pricing; he is trying to carry that message into Larkspur.

Director Paulson asked what SMART's plans are regarding fire safety in the event of a catastrophic wildfire and what the outcome of FeBREWary campaign was. General Manager Cumins stated that we will keep up with trimming and managing the tracks, that it is something that is monitored closely, and if anything were to happen, we would move our trains into an area of safety. General Manager Cumins stated that the FeBREWary campaign received great feedback, but the challenge was that we had a lot of rainy days during that promotion, and we typically see a 45% decrease in ridership on rainy days.

Director Rogers gave kudos and stated that over the years we have been trying to find more opportunities for people to ride and give partnerships a chance to work. We have seen the huge impact baseball has had on ridership. He also mentions there is a new comedy club in Downtown Santa Rosa that may work well with the date night train.

Director Farac asked how SMART will be measuring the success of the initiatives, like the baseball games, evening train, and free youth rides. General Manager Cumins stated that we monitor ridership closely and can monitor all the way down to the station location and time of day. We can slice ridership just about any way we need, to check on that impact. General Manager Cumins also stated that this is a "use it or lose it" service, so if it is successful and meets the needs of the community, we will find a way to keep it. If it is not successful, we will "kill it" and find another place for those resources.

5. Public Comment on Non-Agenda Items

Matthew Hartzell thanked General Manager Cumins for his report and extended congratulations on increased ridership. He thinks the evening service is a great idea and recommended this service be advertised in July around the Marin County Fair. He also recommended implementing a late train on July 4th after the fireworks show.

Eris Weaver says she is happy about the evening train, but it seems as if it is optimized for dates heading south. It is great to have extra cars out this weekend because of the Butter and Eggs Day parade, as well as Earth Day and the North Bay Cruisers bike show in Santa Rosa. May is national

bike month and May 18th is “Bike to Work Day” and this is the first year since Covid that Sonoma county Bicycle Coalition are really being able to go all out and do the full suite of activities. Their staff will be hosting an energizer station at the downtown Santa Rosa station the morning of “Bike to Work Day.” They will also be putting posters on the train cars and at the train stations, which includes a QR Code. Eris has been hearing from cyclists about the stretch of path right near Olympia State Park that is all buckled and needs repair, as well as the signage and maps and things initially were not adequately informing people before they rode their bike all the way from Petaluma down to that spot. Lastly, she asked who has jurisdiction over repairs and maintenance on different parts of the SMART path. Chair Lucan let her know that we will get that information for her.

Director Fudge commented that should anybody want to go north to Windsor on Saturday, It's Levi's Gran Fondo. The riders start at 8 am, but there is going to be a festival all day long on the Town Green for families.

General Manager Cumins responded to Ms. Weaver comment regarding the stretch of roadway that is blocked. He said that staff is working with Cal-Trans, as well as the County. He does not think we will allow bikes through that area, but we are looking into ways that we can shuttle people around it. There is more to follow, and we will put information out as we get everything nailed down.

David Harris stated he is very encouraged by the General Manager’s report today on seeing that ridership is going up. In the long term, he is concerned about voters going up. He believes that SMART is invisible to most people. Mr. Harris stated that Cal-Trans has a sign near Coddington that tells your timing to neighboring cities, and he thinks information about how much time you could save by riding SMART should be displayed.

6. Consent
 - a. Accept Monthly Ridership Report – March 2023
 - b. Approval of Monthly Financial Reports – February 2023
 - c. Authorize the General Manager to Execute Contract Amendment No. 2 with Golden Five, LLC in an amount of \$30,000, not-to-exceed \$224,600

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

MOTION: Director Paulson moved approval of Consent Agenda as presented. Director Rabbitt second. The motion carried 11-0 (Director Pahre absent).

7. Review and approve Board Resolution No. 2023-12, Budget Amendment for Freight for Fiscal Year 2022-23 – *Presented by Heather McKillop*

Chief Financial Officer, Heather McKillop stated she would like to point out the cost is right around the \$260,000 that General Manager Cumins mentioned previously, at \$259,538. That number includes both the cost for the re-railing, the cleanup, and some future improvements, as well as being able to deal with the cars and the grain issue. It would also take care of the signal mast, and the cantilever repairs, too. Ms. McKillop sent information to the County of Sonoma, and they are going to investigate what we can possibly recover since both instances are storm related. There was \$125,000 already in contingency in that budget, so the net amount that she is asking for today

is \$134,538, to be amended to the freight budget, which would then decrease the fund balance in the attached document down to \$1,307,000 that we would be moving into Fiscal Year 2024. She opened the meeting to questions.

Comments

Director Coursey asked if this is a situation where we can ally with Sonoma County's FEMA recovery efforts.

Ms. McKillop stated that she is working with Ryan Burns at the County of Sonoma, and he is looking into what is eligible for freight traffic, as they are not used to that, and she is sure we will be in communication about what's available, both at the Federal and State level.

Director Coursey stated that they are still awaiting reimbursements related to the 2017 fires. Ms. McKillop responded that SMART had that conversation internally and received reimbursements a few months ago for generators damaged from the 2017 fires.

MOTION: Director Rabbitt moved approval of the Budget Amendment, as presented. Director Rogers second. The motion carried 11-0 (Director Pahre absent).

8. Authorize the General Manager to execute Contract No. OP-SV-22-011 with Code 3 Entertainment Services dba Code 3 Transportation for the provision of Micro transit Operator Services in an amount not-to-exceed amount of \$1,133,506 - *Presented by Emily Betts*

Principal Planner, Emily Betts provided a PowerPoint presentation, which is located on SMART's website. Highlights include:

Background

- July 2022 - staff brought information to the Board regarding a shuttle at the Sonoma County Airport Station.
- The board gave directions to issue Request for Proposals for both the micro transit software and the service provision, separately.
- January 2023 – The board approved SMART agreement with The Routing Company for the provision of the Micro transit Software.
- April 2023 – Recommendation for Micro transit Operator Services

First-Last Mile Connections

- First-last mile connections to the SMART stations are essential for riders to conveniently access the system
- Solutions range from auto parking to bike-share, scooter-share, bike parking, convenient bus connections, and on-demand car and shuttle services; in this project we are addressing the shuttle component

Sonoma County Airport Station

- The Airport SMART Station is 1.2 miles from the Airport Passenger Terminal
- The only connection options are walking, taxi, Uber, Lyft or the infrequent Sonoma County Transit Route 62

- Flight passengers are at an all-time high – 30% over pre-COVID and the current year is 7% today over last year
- Over 3,000 employees and 1,000 residents within 1 mile of the station, with more projects in the pipeline

What is Micro transit?

- Micro transit uses the technology made popular by on-demand services such as Uber and Lyft to offer flexible routing for public transit
- Traditional transit picks up passengers at set stops and times
- On-demand micro transit creates efficient routing based on customer ride requests

Flexible, On-Demand Technology

- Riders request micro transit through a smartphone or call center and get an estimate of their pickup time
- Algorithm analyzes requests and dispatches trips, pooling people onto the vehicle along the way
- The routing is automated, flexible, and efficient – with features like digital payment and live traffic updates
- Passengers catch a ride from wherever they request the trip or a “virtual bus stop” for more efficient service

The Routing Company

- Book Your Trip
- Ride Pingo: Transit Connect and Pingo Journey
- Driver App
- Dynamic scheduling and turn-by-turn, hands-free navigation
- Agency Dashboard
- Service Zones and Parameters
- Performance/Data Reporting

Micro transit Shuttle Operations Request for Proposal

In January 2023, SMART issued request for proposal for micro transit shuttle operator. SMART received three proposals and the Selection Committee determined that the proposal submitted by Code 3 (C3) Transportation provides the overall best value to SMART and is recommending the firm for the award of this contract.

Proposed Service Launch

- C3 Transportation is proposing an electric 10-passenger van
- Vehicle will be branded as SMART Connect
- Tentative launch and ribbon-cutting event planned for early June
- SMART working with Sonoma County Airport staff to market the new service to airport passengers
- Staff will do outreach to employers and residents in the area to market the new service

Staff recommends authorizing the General Manager to execute Contract No. OP-SV-22-011 with Code 3 Entertainment Services dba Code 3 Transportation for the provision of Micro transit Operator Services in an amount not-to-exceed amount of \$1,133,506.

Comments

Director Colin asked what time slots the service will be available or if that will be figured out once SMART starts working with the airport.

Ms. Betts stated that we are planning an initial service span from 8am to 6pm Monday through Friday, and then 8am to 5:30pm on Saturday and Sunday. These time spans meet almost all the SMART trains except the first train and last train. We can expand the scope if it is successful.

Director Coursey asked if those times meet all the planes arriving and leaving. Ms. Betts stated that our analysis shows that for past flight schedules, it meets 75%-80% of flights. The airport told SMART that their busiest flight times are now 1pm, so this is great news for our shuttle. It can be hard to plan around how early people choose to get to the airport, and then how long it takes them to get their bags and leave, so we may not be able to serve those early morning and evening flights, but the majority would.

General Manager Cumins stated that Airport staff was concerned that we weren't running early enough, so the agreement was from 8am to 6pm, then see how it goes, identify our gaps, and if there's demand there, we can look at expanding. They would be happy to partner in that expansion.

Director Coursey asked if the airport is taking on any of the cost of this.

General Manager Cumins stated "not yet," but cobranding was talked about, and they are probably going to pay for the wrap on the vehicle and do radio promotions. We are going to run the pilot, then see where it is and find partners to help fund in the future. The airport was very excited about it, and they think it is going to be hugely successful, as it will solve a parking problem for them.

Director Coursey asked if the cost of this contract is for one year or three. Ms. Betts stated that it is for three years.

Director Coursey asked if it is a free service for SMART riders. Ms. Betts stated that it is a \$1.50 fare for all users, regardless of whether they transfer from SMART. Unfortunately, we were not able to use Clipper at this time to set that up. In the future, if we were able to use Clipper, we could think about a free transfer.

Director Paulson asked what led to the decision to go with a 3-year base option versus going with less of a base with more option years, meaning you could exit sooner if there was a problem. He also stated that he looked up the company and was wondering if they can expand to Larkspur if needed. Procurement Manager, Ken Hendricks explained that in the pilot program there is a funding that takes place that we are looking at for a 3-year period. So, if in case we do want to get out of this contract, there is a "termination of convenience" clause based on funding availability.

Director Coursey asked if there is also a termination "no fault, no cause" or is that the same as the "termination for convenience" clause. Mr. Hendricks confirmed it was the same.

General Manager Cumins stated that regarding scalability, Code 3 are not a major player today, but are excited to have this contract, and he is confident they will be able to scale with us.

Doug Kerr stated that marketing of parking at Sonoma County Airport Station and taking the train and ferry into San Francisco to avoid the \$50 parking fees to our neighbors in Mendocino and Humboldt County, could be beneficial.

Jack Swearingen stated that the micro transit idea is very exciting and loaded with potential and asked if this could turn a profit. He also asked if it works at the airport, if there are any promises to replicate the service at Larkspur.

Eris Weaver stated that this is great, and she cannot wait for it to be implemented.

General Manager Cumins responded to Jack that it is very difficult to make anything public transit-related profitable. We hope to see the service be hugely successful, but there will be some level of investment that we will have to find to continue this in the future.

MOTION: Director Fudge moved approval to Authorize the General Manager to execute Contract No. OP-SV-22-011 with Code 3 Entertainment as presented. Director Paulson second. The motion carried 11-0 (Director Pahre absent).

9. Approve a Resolution to Extend the Suspension of Parking Fees during daytime hours and allow overnight parking for a nominal fee – *Presented by Heather McKillop*

Chief Financial Officer, Heather McKillop stated as a follow-up to the last item regarding shuttle service that we felt it was necessary to address parking and are asking the board to support continued free parking during the day but would like to charge for parking in the evening. Right now, between midnight and 5am, we do not allow parking at our parking lots, so this would change that policy to allow for parking, but charge for it during that period which would allow people to park at our park and ride lots all along the line.

We are recommending a fee of \$5 per night. If that doesn't work out or we see overcrowding at certain parking lots, we may have to come back to the board to adjust that.

Comments

Director Rogers asked if we have done any outreach to the cities or jurisdictions about having an increased presence of law enforcement in certain areas that may need additional monitoring or might have any additional impacts. Chief of Police McGill responded that yes, we do outreach with our partners all the time. She added that all our parking lots have cameras that we have 24/7 access to at our dispatch center. This makes it easy if we see an issue like fights in the parking lot or vehicles that don't appear to belong to riders, so we can quickly contact law enforcement and they are quick to respond.

Director Rogers asked if we have discussed this potential change with them yet and if so, whether anyone has expressed concerns. Chief of Police McGill responded "no, not yet." She further explained that we are waiting for the board's direction on that, and then we will follow up with additional information to our partners.

Director Colin asked if folks who are unhoused and might be living in their vehicles are able to purchase that permit and spend the night. Chief of Police McGill responded that we have thought

about that scenario, and that is a real issue that could come up for us. We are working on language right now for additional signage that would be in our parking lots. We have not finalized that yet, and it is going to be a “wait and see” kind of effort. We have our Code Compliance Officers and can certainly work to issue citations, if necessary, for those that are not using the permit to ride the train. Director Colin confirmed that there is a correlation between people that are buying a SMART ticket, so this is an added benefit.

Director Fudge commented that she will be one of the riders enjoying this every month.

General Manager Cumins stated that this is something we must monitor closely. He took a ride from the Petaluma Station with Ms. Betts and the parking lot was completely full, which is a great problem to have, but he has zero doubts that we will have to adjust over time to solve some of these issues.

Vice-Chair Bagby stated that the last mile issue is the challenge that every transit agency absolutely must solve, and SMART is doing it and leading the way.

Director Paulson asked how many parking spaces we have at the Hamilton parking lot, which seems empty most of the time, and what is the average occupancy during operational hours. General Manager Cumins stated it has been a while since we have done that study and it was brought to the board when we implemented the free parking. We have those stats, but we have not looked at it in quite some time, though we don't have a way to do it, since it's free. It's basically a manual count. General Manager Cumins is sure he could have the Chief of Police McGill ask the Code Enforcement Officers to look at that and see where we are.

Director Paulson asked how we can measure success. General Manager Cumins responded that we will do a study this month, and report back on that next month at the Board Meeting.

MOTION: Director Garbarino moved for approval to extend the suspension of parking fees during daytime hours and allow overnight parking for a nominal fee as presented. Director Rabbitt second. The motion carried 11-0 (Director Pahre absent).

10. Accept the Annual Report for Fiscal Year 2021-22 – *Presented by Heather McKillop*

Chief Financial Officer, Heather McKillop provided a PowerPoint presentation, which is located on SMART's website. Highlights include:

Contents

- Section 1 - Governance
- Section 2 - Mission and Vision
- Section 3 - Customer Experience
- Section 4 - Financials
- Section 5 – Projects

Section 1 – Governance – June 30, 2022

- Chair Rabbit and Vice Chair Pahre

- Directors Arnold, Bagby, Colin, Connolly, Coursey, Fudge, Garbarino, Hillmer, Lucan and Rogers

Citizens Advisory Committee – June 30, 2022

- Russ Colombo, Chair
- Members, Steve Birdlebough, Peter Breen, Dennis Harter, Patricia Kendall
- Davis Oster, Steve Rabinowitsh, Tanya Narath – alternate and Julia Violich - alternate

Section 2 – Mission and Vision

Ms. McKillop displayed a photo of the SMART house. Developing the vision and mission was a major event that occurred in 2022, as we had not had one up to this point. The house consists of 4 pillars: Ridership, Pathways, Extensions, and Freight, supported by our Values. When we get into the Budget discussion in May, the Board will see that our budget will be built around the SMART house.

Section 3 – Customer Experience

- March 16, 2022
 - Board approved free parking in all SMART lots
- May 1, 2022
 - Sunday service is restored
 - Real-Time information is available on Google Maps
- June 4, 2022
 - Muir Woods shuttle pickup location moved to Ferry Terminal
- June 13, 2022
 - 10 additional trips added during the weekday
- June 12 and 26, 2022
 - Added Giant’s game service

Section 4 – Financials (Passenger)

Expenses:

- Labor
- Non-Labor

Revenues:

- Operating Revenues
- Non-Operating Revenues

Section 4 – Financial (Freight)

Expenses:

- Labor
- Non-Labor

Revenues:

- Operating Revenues
- Non-Operating Revenues

Section 5 Projects (Outreach)

Ms. McKillop showed photos of Outreach events we had in 2022, including SMART's Holiday Express Santa Train, The May Madness car show in which General Manager Cumins attended and was a judge, and our first return to Butter and Eggs days after COVID.

Section 5 Projects (Projects)

Ms. McKillop stated that we really focused last year on two major design projects, and they were all on the pathways. Those two design projects are ongoing now and will be going to construction.

Design – Non-Motorized Pathway (BKF Engineers) – Sonoma County:

- McInnis Parkway to Smith Ranch Road (Marin County)
- Main Street to Railroad Avenue (Sonoma County)
- Joe Rodota Trail to 3rd Street (Sonoma County)
- Santa Rosa Downtown Station to 6th Street (Sonoma County)
- Guerneville Road to West Steele Lane (Sonoma County)
- West Steele Lane to San Miguel Road (Sonoma County)
- San Miguel Road to Airport Boulevard (Sonoma County)

Design – Non-Motorized Pathway (CSW Stuber-Stroeh Engineering Group) – Marin County

- Smith Ranch Road to Main Gate Road/ Novato Hamilton Station (Marin County)
- State Access Road to Bay Trail (Marin County)
- Hannah Ranch Road to south side of Novato Creek (Marin County)
- Grant Avenue to Olive Avenue (Marin County)
- Olive Avenue to Rush Creek Place (Marin County)

We spent a lot of time and money last year on these designs which will be under construction in Fiscal Years 2024 and 2025. We have received significant grants to be able to fund the construction of those pathways.

Comments

Director Lucan complimented Ms. McKillop on the presentation, layout, design, and comprehensiveness of the report for which Ms. McKillop gave credit to SMART's Outreach staff, Julia Gonzalez and Carrie Willis.

Vice Chair Bagby commented on the storytelling of the photo of the father and son on page 12 of the presentation and stated it sends such a strong message about the agency's values - it's about quality of life.

MOTION: Director Rogers moved for approval of the Annual Report as presented. Director Farac second. The motion carried 11-0 (Director Pahre absent).

11. Approve a Resolution to Extend the Reduction of Fares through June 30, 2024; Reduce the 31-day pass to \$117.00 – *Presented by Heather McKillop*

Chief Financial Officer, Heather McKillop stated that we are gearing up for the budget and a lot of these decisions will impact how we move forward with the budget. She provided PowerPoint presentation, which is located on SMART's website. Highlights include:

Current Individual Fares

- Adults
 - \$1.50 base fare for 1 zone
 - \$1.50 for each additional zone
 - \$15.00 daily maximum
- Discounted Fares for Seniors, Youth, Low-income, and passengers with disabilities
 - 50% discount from adult fare
 - \$0.75 base fare for 1 zone
 - \$0.75 for each additional zone
 - \$7.50 daily maximum

Ms. McKillop requested to keep those prices at that level. Each year it has been approved on an annual basis, so it is being asked to be approved thought June 30th, 2024.

Ms. McKillop stated that we also did an analysis and heard a lot from a survey conducted by Bay Area Council Economic Institute. They have been sending a survey out about every 6 months to employers around the Bay Area to provide feedback on how they view their employee's work week. The chart Ms. McKillop displayed shows that a majority of companies see their employees coming back to work in-person either voluntarily or asking their employees to come in at least 3 times a week. Our ridership numbers do typically reflect this, as ridership is usually lower on Monday and Fridays and higher on Tuesday, Wednesday, and Thursday.

With that information, as well as anecdotal information we have heard from our own customers, people communicating, as well as newspaper articles and other things we have seen, SMART had a conversation as to what it would look like if we priced our commuter pass based on this 3-day commute instead of our current 5-day commute.

Pass History:

- FY 19 brought in \$1.37 million
- FY 20 brought in \$1.1 million
- FY 21 brought in \$262,955
- FY 22 brought in \$295,911
- FY 23 has bright in \$270,942 so far in 9 months

Current 31-Day Pass Pricing

- \$135.00 for Adults
- \$67.50 for Seniors, Youth, Low-income, and RTC (passengers with disabilities)

Proposed 31-Day Pass Pricing

- \$117.00 for Adults
- \$58.50 for Seniors, Youth, Low-income and RTC (passengers with disabilities)
- Based on 3 days per week and 3 zones

Ms. McKillop recommends moving in this direction and making it worthwhile, even if customers are only riding 3 days a week. The benefit is that they may ride a lot more, and anything they ride over 3 days round trip will be free to them, but for SMART it will be people now riding our system, getting used to riding the system, and perhaps encouraging others to ride the system with them. We see

this as a huge benefit to increasing our ridership with a limited amount of cost to SMART. If we did not see any increase in the number of passes sold, we would see a loss of about \$48,000 a year. The belief is those pass sales will go up and will compensate for lost revenue for fiscal year 24.

We are asking for this to go into effect July 1st through June 30th, 2024, and we would bring it back as part of the next budget cycle.

Comments

General Manager Cumins stated that the 3-day work week is a nationwide thing, and he is not aware of any transit agency in the country that has priced a fare product based on that knowledge.

Director Coursey commented that between micro transit, overnight parking, and this 31- day pass program, there is not going to be a potential rider left out there with an excuse not to use the train.

Vice Chair Bagby appreciated General Manager Cumins's comments on the 3-day work week because no one else is responding; everyone else is reacting and that is what sets this staff and board apart.

David Harris stated this was a fantastic meeting and he is very excited to see the progress. Here we are in a time where all the news is about inflation, and SMART is here reducing fees. He believes we should do all we can to spread the news of this story.

MOTION: Director Rogers moved to approve a resolution to extend the reduction of fares through June 30, 2024 as presented. Director Paulson second. The motion carried 11-0 (Director Pahre absent).

Chair Lucan adjourned the Board to Closed Session at 2:58pm on the following:

12. Closed Session - Conference with Labor Negotiator General Manager Cumins pursuant to California Government Code Section 54957.6
Agency Designated Representative: General Manager
Represented Employees: Operating Engineers Local No. 3
13. Report Out Closed Session

District Counsel Lyons reported out of Closed Session at 3:59pm on the following:

Conference with Labor Negotiator General Manager Cumins pursuant to California Government Code Section 54957.6
Agency Designated Representative: General Manager
Represented Employees: Operating Engineers Local No. 3
Report Out: Direction given to staff

14. Next Regular Meeting of the Board of Directors, May 17, 2023 – 1:30 PM – 5401 Old Redwood Highway, 1st Floor, Petaluma, CA 94954
15. Adjournment – Meeting adjourned at 4:01pm

Respectfully submitted,

Simone Mosley
Administrative Assistant

Approved on : _____



**BOARD OF DIRECTORS
MEETING/ WORKSHOP MINUTES**

May 3, 2023 – 1:30 PM

5401 Old Redwood Highway, 1st Floor
Petaluma, CA 94954

1. Call to Order

Chair Lucan called the meeting to order at 1:33pm. Directors Colin, Coursey, Farac, Fudge, Garbarino, Pahre, Paulson, Sackett and Vice-Chair Bagby were present; Director Rabbitt arrived later; Director Rogers absent.

2. Board Members Announcements

None

3. Public Comment on Non-Agenda Items

Director Rabbitt arrived at 1:35pm

Duane Bellinger stated that there has not been any public hearing meeting regarding the design of the new Petaluma station. He said that 20 years ago BART stated that the best way to increase ridership is to have transit-oriented communities along the tracks.

Richard Brand stated that freight locomotives are challenging at this time due to Positive Train Control requirements. He suggested getting an update of the plans for freight rolling stock.

Sheila Baker stated that on May 1, 2023, the Petaluma City Council approved the Petaluma North Station. There was some opposition to the 100 parking spaces. She also disagrees with the 100 parking spaces at any train station and suggested 10 parking spaces.

Philip Mooney, a SMART supporter, stated that on March 22, there was a landslide on Redwood Drive, Novato near the SMART pathway. There were no alternative routes for bicycles during the closure.

General Manager Cumins stated that there was an interesting conversation at the Petaluma City Council Meeting regarding parking and bicycle lockers. The utilization of bicycle lockers on weekdays in 2022 was approximately 9% (2000 bicycles) and the train carried 78,000. We are paying attention to the needs of the bicycle community and if there are additional lockers need they will be installed.

4. Consent – Approve a Resolution and Authorize the Board Chair to Execute the Collective Bargaining Agreement between the Sonoma-Marin Area Rail Transit District (SMART) and the Operating Engineers Union Local No. 3 AFL-CIO (OE3) for the period of May 1, 2023 to April 30, 2028

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

MOTION: Director Fudge moved approval of the Consent Agenda item as presented. Director Paulson second. The motion carried 11-0 (Director Rogers absent).

5. Fiscal Year 2024 Draft Budget (Discussion) - *Presented by Heather McKillop*

Chief Financial Officer, Heather McKillop, introduced Budget and Finance Manager, Claire Springer. They have worked together to provide the Draft Budget being presented today. The purpose of today's presentation is to receive feedback to prepare the Fiscal Year 2023 Budget. The presentation is located on SMART's website. Highlights include:

Fiscal Year 2024 Draft Budget Workshop:

Content of Discussion

- Vision and Mission
- Strategies
- Revenues – Passenger
- Expenditures – Passenger
- Revenues – Freight
- Expenditures – Freight
- Next Steps

Vision and Mission

- SMART House

Strategies

- Ridership Strategies
- Pathway Strategies
- Extension Strategies
- Freight Strategies

Revenues – Passenger

- Estimated Revenues – Fiscal Year 2024
- Revenues – Sales and Use Tax

- Revenues – Federal
- Revenues – State
- Revenues – State (Project Specific)
- Revenues – Local Governments (Project Specific)
- Revenues – Other SMART Sources

Comments

Director Coursey asked for the Fiscal Year 2020 Growth Rate. Chief Financial Officer McKillop responded that it was between -4.5% and/or -5%.

Chair Lucan asked if staff had evaluated the state's latest news about zero emission rail and the long term plan of what it means to SMART. Chief Financial Officer McKillop responded that SMART passenger rail is in Tier 4 and capital funds have been placed aside. The current freight locomotive is in Tier 0 and SMART has applied for funding. General Manager Cumins stated that the DMU's are in good shape since they are in Tier 4, however it's going to be challenging for the freight locomotive.

Director Sackett asked about the positive and negative impacts on the community regarding the Quality of Life and Economic Impact factors. Principal Planner, Emily Betts responded that SMART brings more than ridership based benefits to the community. If you live in the North Bay, and you never ride SMART, what benefits are you receiving or not receiving from having this commuter rail infrastructure in your community, so that that can range from things like greenhouse gas emission reductions, development patterns, affordable housing projects that have been spurred property values, economic investment from businesses locating near the stations. The scope covers a wide range of different measures, health impacts to our community. SMART will be conduction outreach on the corridor.

Vice Chair Bagby stated that the Sonoma County Transportation Authority (SCTA) is working with Nelson\Nygaard Consulting Associates to conduct a survey on how transit is working, not working for you and asked how SMART plans to work with other transportation partners. Ms. Betts responded that the survey was initiated from the Transit Integration that SCTA has been working on with the three bus operators in Sonoma County, SMART was not part of the project scope. There are questions related to SMART and there is space for people to fill in, however, t is oriented towards bus connections, and how it can improve bus service. We are coordinating to a certain extent, but we're not part of the scope of that study.

General Manager Cumins stated that SMART's goal for Fiscal Year 2024 is to carry 717,000 riders, which will be higher than 2019.

Director Paulson asked for clarification of the Interest Revenue and the Reserves. Chief Financial Officer McKillop responded that SMART has investments at Sonoma County Treasure, which holds the bulk of funds, Bank of Marin, and Money Market. The Board approved a Policy that the Reserves need to be 25% of the operating cost or \$10 million.

Vice Chair Bagby stated that Advertising Revenue is low and asked for clarification. General Manager Cumins responded that train wraps will bring additional funds. There are many options, but it gets complex, and we have a good brand with nice looking trains. Director Fudge is concerned about wraps on the train especially if it is plasticized.

Director Garbarino asked for clarification on the term “flagging”. Chief Financial Officer McKillop responded that flaggers are employees who control traffic around/near construction sites and are needed near SMART’s right-of-way during construction.

Expenditures - Passenger

- Expenditures – Ridership
- Expenditures – Pathways
- Expenditures – Extensions
- Expenditures – Pathway and Extension Overhead
- Efficiencies
- Compliance
- Other Capital and State of Good Repair
- Expenditures – Salaries and Benefits
- Expenditures Services and Supplies

Comments

Director Fudge asked for clarification on the Website upgrade and redesign. Chief Financial Officer McKillop responded that the current software will not be supported. Director Fudge said that the train schedule is not user friendly on mobile devices and asked if it would be included in the redesign. General Manager Cumins responded yes, and staff has made some modifications to the website to make the train schedule user friendly.

Director Paulson asked how much is being spent on Ridership and if there is an allocation tracking system. Chief Financial Officer McKillop responded that this is the first year that SMART has objectives, she will have the information available at the next Board meeting. Director Paulson asked if there has been a discussion regarding Wi-Fi on the train. General Manager Cumins responded that wi-fi was discontinued during the pandemic and SMART was the last agency that the provider was supporting. SMART would have to purchase a new system with an initial cost of \$750,000. Director Paulson stated that having wi-fi may be an incentive for people to ride.

Vice Chair Bagby stated that there is an opportunity to co-brand and partner with someone for the Wi-fi on the trains.

Director Rabbitt stated that SMART has a contract with Sonic to provide wi-fi at SMART stations. Is there an opportunity to use additional conduit on the trains to lower the initial cost. Information Manager, Bryan Crowley responded that he and his staff are researching all possibilities. General Manager Cumins suggested additional feedback from the Board. Chair Lucan stated that the initial cost is \$750,000, however SMART was paying approximately \$600,000 annually for the service.

Director Farac asked how many EV Charging stations will be installed at San Marin and Hamilton stations. Ms. Betts responded that there will be 1 dual with 4 charging stations total to each station.

Director Colin asked for clarification of the funded pathway segments completion dates. Chief Financial Officer McKillop responded that construction would begin in Fiscal Year 2024, however they may not be completed. Director Colin suggested adding the expected completion date on the funded pathway segments.

Chair Lucan commended Director Colin for advocating for the Puerto Suello to San Pedro Road segment. He asked the timing of the Novato Creek Bridge segment. Chief Financial Officer McKillop responded that matching funds have been allocated for pathway segments that are in design phase. She will provide further information at the next meeting.

Director Sackett asked if the southside of San Rafael Meadows in the Civic Center Station segment is encompassed within the Marin Pathway Phase. General Manager Cumins responded that the segment is not, and additional research is needed.

Director Paulson asked if there is a Pathway Master plan for the next 5-10 years. Chief Financial Officer McKillop responded that SMART's Capital Plan lists all the committed projects.

Director Rabbitt asked if the 500 feet segment in Petaluma was included in the budget. General Manager Cumins responded no, additional information/ research is needed to be funded.

Director Fudge asked for clarification of grant funds and Regional Measure 3 funds to construct Windsor Extension. General Manager Cumins responded that it varies depending on how the fund sources can be used.

Director Garbarino asked if the timing of receiving fleet vehicles is much longer. Chief Financial Officer Ms. McKillop responded yes, and SMART is very fortunate because a lot of other agencies had their vehicle orders just cancelled.

Director Garbarino asked when was the last Compensation study completed and what is the normal timeframe for Compensation studies to be conducted. Chief Financial Officer McKillop responded that Compensation studies are conducted between 3-5 years and the last one for or at SMART was conducted in 2016.

Chair Lucan asked for clarification of the 10% increase in benefits. Chief Financial Officer McKillop responded that there is an increase in premiums. Human Resources Manager, Lisa Hansley stated that SMART pays 85% for Medical Benefits, 80% for Dental Benefits, and 100% for Vision, Life Insurance, and long-term disability.

Revenues – Freight

- Revenues
- Freight Strategies

Director Garbarino asked if staff has done additional research to increase the storage fees revenue. General Manager Cumins responded that most of the business in storing comes from LPG tanks, it has been very challenging for SMART.

Expenditures – Freight

- Expenditures
- Priority Projects

Next Steps

- Incorporate Feedback as Appropriate from Workshop
- Board Meeting on May 17th
- Draft Budget Published for Public Review
- COC meeting on May 24th
- Incorporate comments
- Present Budget for Board Approval June 21st

Comments

Director Coursey asked for clarification on SMART's obligation to continue to operate freight. General Manager Cumins responded that SMART is a common carrier and would have to apply to discontinue freight service.

Director Sackett suggested staff research the San Rafael Meadows Safe Route to Schools area and get involved with the discussion. She asked for projects/segments timelines.

General Manager Cumins stated that there has been discussions for staff to consider: 1) wi-fi on the train; 2) the 500 foot pathway segment in Petaluma; and 3) San Rafael Meadow pathway segment. He asked the board to provide feedback for staff to prioritize.

Director Lucan suggested a brief Pathway update.

Director Pahre suggested receiving a brief Freight update. General Manager Cumins responded that Freight Manager Kerruish works every day to secure new freight customers.

Director Fudge stated that there are warehouses in the north and spur discussion will have to take place to serve customers.

Chair Lucan acknowledged the COC member for attending the meeting on-line and in person to provide comments to staff.

Duane Bellinger suggested the following: 1) for the COC to review any changes to SMART's investment reserves; 2) form a Freight Advisory Committee to provide feedback to the Board and Staff; and 3) conduct a Wi-Fi survey for the public.

Warren Wells thanked the agency for the pathway progress and bicycle accommodations that have been made. He is very pleased to see funding allocated for bicycle locker upgrades and to complete various pathway segments. He thanked SMART staff, the Board and Director Colin for evaluating and considering the Puerto Suello to San Pedro pathway segment. He realizes that funding is finite, however, he emphasizes that the purpose of this agency is to have passenger service and multiuse pathway between Larkspur and Cloverdale. He suggested that the \$700,000 would be better spent on a piece of infrastructure that will last generations rather than Wi-Fi. He invited the agencies, new board members and staff to attend a bicycle ride along the pathway and outstanding gaps.

Matthew Hartzell stated that is heartening to see this budget and the new allocations, the gap closure segment, or design for the gap closure, segment between Puerto Suello Hill and San Pedro Road is important and good use of funds. He encouraged staff and the Board to consider funding the design and low cost improvement centered around the Marin Civic Center Station, including a bike path, new storage and bike share facility, parking lot with ADA to increase ridership and turn the station into a multimodal activity. He said that TAM and the City of San Rafael are actively pursuing funds for the San Rafael Meadows segment and suggested SMART staff reach out to those agencies to make progress.

Richard Brand stated that there are misunderstandings about the freight business. You make money when shipments are initiated instead of bringing them in. There are existing spurs that go into Industrial Park, which is an excellent place to transport. There are various opportunities, and it is important to get the message out as SMART moves to the north.

Philip Mooney stated that he appreciates the priority that this budget is placing on the pathway projects. It is great to hear from the Board members and their focus on the pathway projects and their questions about the progress towards completing the path. He strongly supports for the \$700,000 budgeted for the design and permitting of the Puerto Suello Hill to San Pedro Road pathway segment. Director Colin's advocacy was instrumental in getting the project to this point. There is a huge support for this project, and he applauded SMART for listening to the public and acting in a timely manner to move the project forward.

Patrick Stidler thanked the Board, staff, and General Manager for making SMART a multimodal transportation project. It is becoming more clear SMART's commitment to the pathway, and to complete it through the entire corridor. He compliments Director/Mayor Colin for getting the Puerto Suello Hill to San Pedro Road feasibility study completed. The commitment to getting Marin County segments completed is being accomplished. The graphics on pages 2 and 3 of the letter submitted show the opportunity for station area improvements and he urged staff to keep an eye on that project.

Chair Lucan stated that the Board and Staff received good feedback from the community. It is great to hear so many people engaged in the positive feedback we are hearing today.

General Manager Cumins responded to Mr. Brand's comments and clarified that SMART is not trying to get out of the freight business. He said it is important that staff is transparent to the Board and the public by informing the various challenges with Freight service.

Director Colin thanked the public for addressing their support to the Puerto Suello Hill project and the current Board and past members for recognizing this important segment. She found the Wi-fi discussion fascinating and suggested waiting another year until we bring that forward.

Director Bagby stated that she agrees with Director Colin's comment regarding the Wi-fi. She suggested not using capital funds but suggested that we go out for specific funds for those types of extras. The wi-fi is an important amenity and makes it convenient and easy for riders, especially students but let's find alternate funding sources.

Director Sackett asked how often surveys are conducted. She stated that this is an important topic. She has used her smartphone on the train without issues. She asked if SMART needs to spend \$700,000 to provide wi-fi. General Manager Cumins stated that there is excellent cell service on the train.

Chair Lucan adjourned the Board to Closed Session at 3:47pm on the following:

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

District Counsel Lyons reported out of Closed Session at 4:27pm on the following:

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

Report Out: No Action Taken; Nothing to report

8. Next Regular Meeting of the Board of Directors, May 17, 2023 – 1:30 PM - 5401 Old Redwood Highway, 1st Floor, Petaluma, CA 94954
9. Adjournment - Meeting adjourned at 4:29pm.

Respectfully submitted,

Leticia Rosas
Clerk of the Board

Approved on: _____



May 17, 2023

Eric Lucan, Chair
Marin County Board of Supervisors

Melanie Bagby, Vice Chair
Sonoma County Mayors' and
Councilmembers Association

Kate Colin
Transportation Authority of Marin

Chris Coursey
Sonoma County Board of Supervisors

Rachel Farac
Transportation Authority of Marin

Debora Fudge
Sonoma County Mayors' and
Councilmembers Association

Patty Garbarino
Golden Gate Bridge,
Highway/Transportation District

Barbara Pahre
Golden Gate Bridge,
Highway/Transportation District

Gabe Paulson
Marin County Council of Mayors and
Councilmembers

David Rabbitt
Sonoma County Board of Supervisors

Chris Rogers
Sonoma County Mayors' and
Councilmembers Association

Mary Sackett
Marin County Board of Supervisors

Eddy Cumins
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: Monthly Ridership Report – April 2023

Dear Board Members:

RECOMMENDATIONS: Accept Monthly Ridership Report – April 2023

SUMMARY:

We are presenting the monthly ridership report for activity for the month of April 2023. This report shows trends in ridership for SMART by tracking Totals, Average Weekday riders, and Average Saturday riders, Average Sunday/Holiday riders, as well as bicycles and mobility devices.

With the transition to the Automatic Passenger Counter (APC) in October 2022, SMART now has a highly accurate method of tracking boardings and alightings at stations that does not depend on manual counts by the conductors. The APC system has been tested and validated at a 99% accuracy level and has been certified for passenger count use by the Federal Transit Administration (FTA). Both APC-based ridership and fare-based collection rider counts are shown in the attached report to give a full picture of ridership. APC-based ridership captures all riders, including riders with passes who neglect to tag on or off, riders who fail to activate their mobile app tickets, as well as categories of riders such as children under five years old.

This report compares the most recent month to the same month during the prior year, as is standard industry practice for tracking trends over time. The report also shows progress so far in the Fiscal Year compared to the same time in the last Fiscal Year, to enable tracking of riders relative to budget expectations. These reports also note relevant details associated with fare program discount usage and trends in riders bringing bicycles onboard.

SMART's ridership data through April 2023 is posted on the SMART Ridership website (<http://sonomamarintrain.org/RidershipReports>).

FISCAL IMPACT: None

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

Respectfully,
/s/
Emily Betts
Principal Planner

APRIL 2023 SMART RIDERSHIP REPORT

April 2023 saw a strong increase in ridership, with average weekday ridership at 2,339, up 14% from the previous month, and total monthly ridership at 58,551, a 71% increase over last April. Total monthly ridership for April was 93% of the pre-COVID average (12-month). Year to date, FY23 has seen 80% ridership recovery, compared with the same months pre-COVID.

As a reminder, SMART modified services in March 2020 due to the COVID-19 pandemic, with weekend service annulled and weekday service reduced to 16 trips. In May 2021, SMART added back 10 weekday trips. Saturday service was restored in May 2021, and Sunday service in May 2022. In June 2022, SMART added 10 additional weekday trips, and in October 2022, SMART added 2 additional midday trips, for the current schedule of 38 trips per weekday. In May 2023, SMART is adding two evening trips on Friday and Saturday, known as the Starlighter.

The tables below present data for April 2022 and 2023, year-over-year. Total ridership for the fiscal year to date is up 85% over the same time period for FY22, with weekday ridership up 77% over FY22.

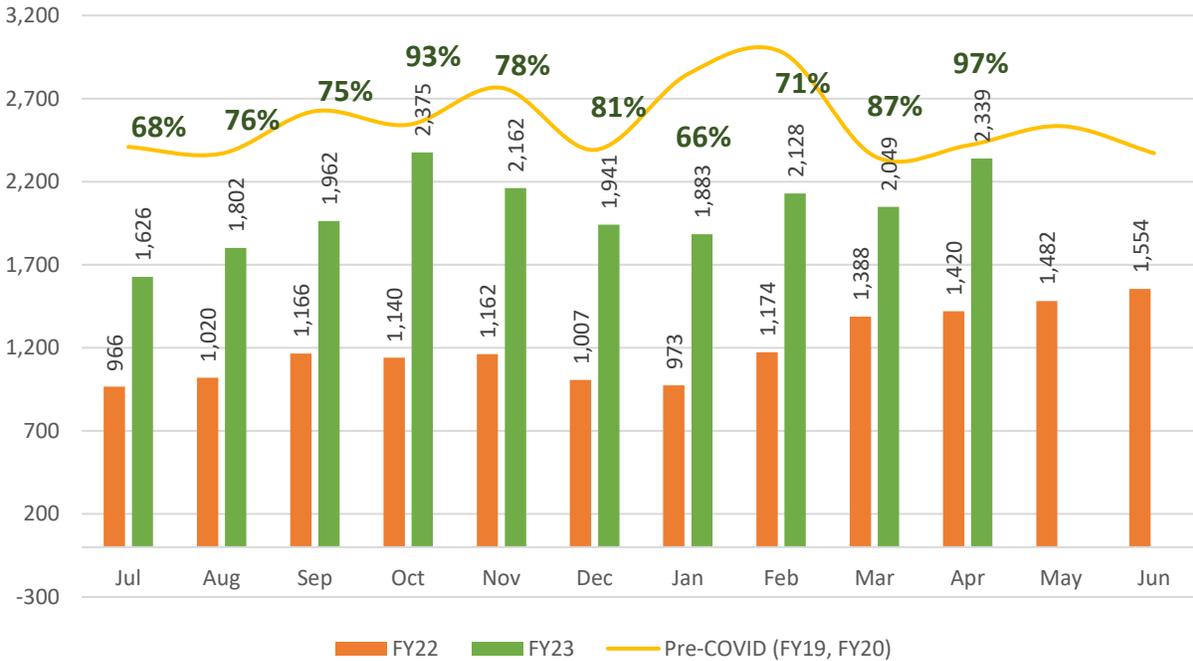
FISCAL YEAR-TO-DATE (JUL - APR)	Fiscal Year 2022	Fiscal Year 2023	% Change
Ridership	274,148	507,521	85%
Fare Payments (Clipper + App Only)	251,931	420,953	67%
Average Weekday Ridership	1,143	2,026	77%
Average Saturday/Holiday Ridership	663	1,012	53%
Average Sunday Ridership	0	800	N/A
Bicycles	41,394	65,969	59%
Mobility Devices	1,194	1,381	16%

Bicycles on board are up 72% over last April and passengers boarding with mobility devices are down 9%. In April, 14% of riders brought bikes on the train, with a total of 8,266 bikes on board.

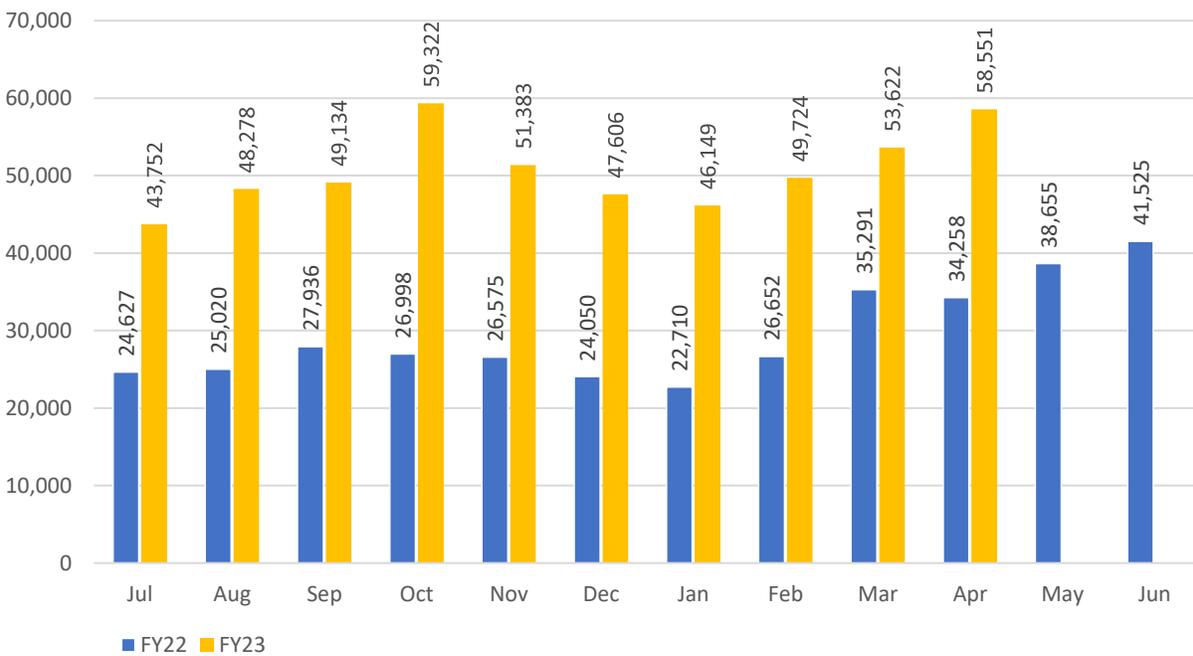
MONTHLY TOTALS YEAR-OVER-YEAR	APRIL 2022	APRIL 2023	% Change
Ridership	34,258	58,551	71%
Fare Payments (Clipper + App Only)	31,872	48,017	51%
Average Weekday Ridership	1,420	2,339	65%
Average Saturday Ridership	889	1,447	63%
Average Sunday Ridership	0	909	N/A
Bicycles	4,814	8,266	72%
Mobility Devices	130	118	-9%

The following charts compare the average weekday ridership and monthly totals for FY22-FY23.

SMART Average Weekday Ridership



SMART Monthly Ridership (FY22 v FY23)





Eric Lucan, Chair
Marin County Board of Supervisors

Melanie Bagby, Vice Chair
Sonoma County Mayors' and Councilmembers Association

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Transportation Authority of Marin

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Sonoma County Board of Supervisors

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May 17, 2023

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

SUBJECT: Monthly Financial Status

Dear Board Members:

RECOMMENDATION: Approve Monthly Financial Reports – March 2023

SUMMARY:

We have provided budgeted revenues and actual expenditures for both passenger rail and freight in separate charts in the attached document. The actual column reflects revenues and expenditures for July 2022 – March 2023. In addition, for passenger rail, we have shown more detail regarding sales tax and fare revenues to show current and comparative information over the last four years.

Information on the approved budget, actual expenditures, and remaining budget have been provided. Please keep in mind that expenditures do not always occur on a straight-line basis, many large expenditures such as debt service only occur on specific intervals. In addition, we are including more extensive information on our capital program.

We have also included information regarding SMART's investment policy, where our funds are being held, and how much is currently being held. In addition, we have shown the current obligations, reserves, and fund balance requirements for FY 2022-23.

Sincerely,

/s/
Heather McKillop
Chief Financial Officer

Attachment(s):

- 1) Monthly Financial Status Report
- 2) Contract Summary Report



**MONTHLY FINANCIAL STATUS
MARCH 2023**

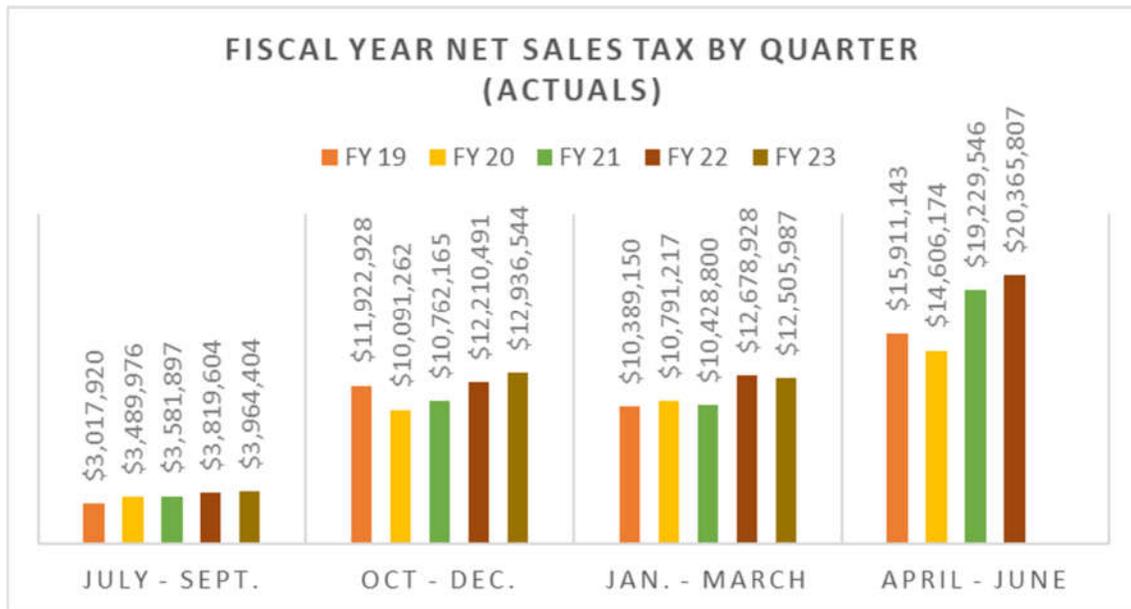
PASSENGER REVENUES

	FY 2022-23 Approved Budget	Actual	Amount Over/ Under Budget	Comments
Revenues				
Passenger Rail				
Sales/Use Taxes	\$ 50,190,000	\$ 29,406,935	\$ (20,783,065)	Sales Taxes are recorded when received not when earned
Interest and Lease Earnings	\$ 816,631	\$ 908,886	\$ 92,255	Leases renew throughout the year
Miscellaneous Revenue	\$ 145,000	\$ 409,271	\$ 264,271	
Passenger Fares	\$ 1,600,000	\$ 1,251,478	\$ (348,522)	
State Grants	\$ 12,089,233	\$ 4,700,336	\$ (7,388,897)	State grants are received throughout the year
Charges For Services	\$ 28,325	\$ 30,628	\$ 2,303	
Federal Funds (Non-COVID Relief)	\$ 5,034,529	\$ 1,866,113	\$ (3,168,416)	Federal funds are received on a reimbursable basis. Funds need to be expended before they can be requested.
Federal Funds (COVID)	\$ 7,507,797	\$ 6,045,635	\$ (1,462,162)	Federal funds are received on a reimbursable basis. Funds need to be expended before they can be requested.
Other Governments	\$ 1,519,892	\$ 30,000	\$ (1,489,892)	
Passenger Rail Subtotal	\$ 78,931,407	\$ 44,649,282	\$ (34,282,125)	

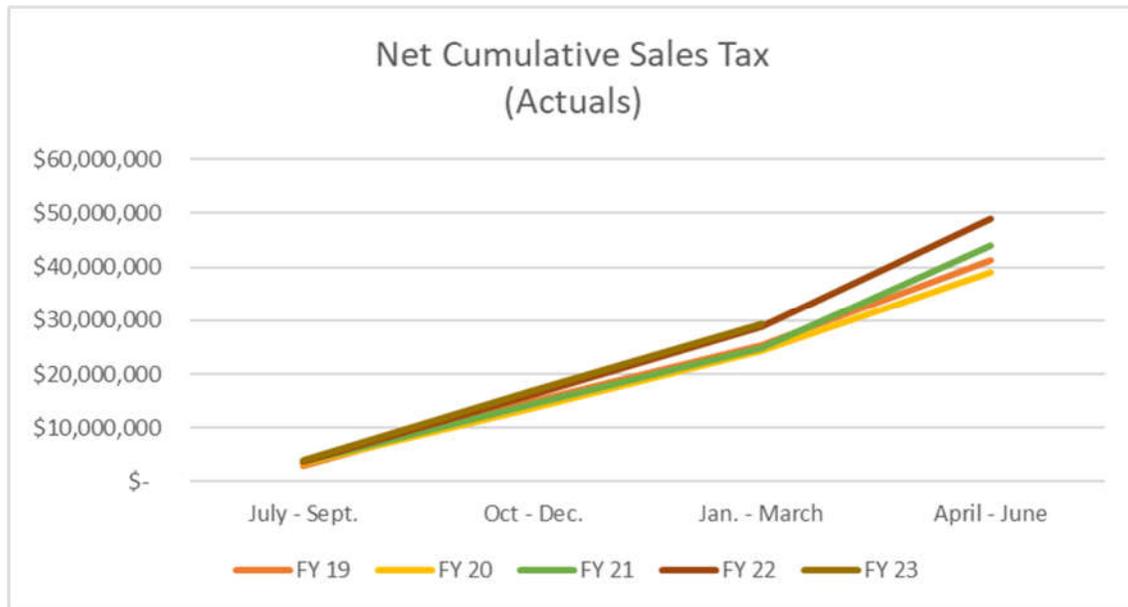
**Measure Q Sales Tax
Fiscal Year (FY) 2022/2023**

Time Period	July - Sept.	Oct - Dec.	Jan. - March	April - June
Forecasted FY 23 Budget	\$ 4,017,856	\$ 12,844,262	\$ 13,444,817	\$ 20,783,065
Actual	\$ 3,964,404	\$ 12,936,544	\$ 12,505,987	
Difference	\$ (53,452)	\$ 92,282	\$ (938,830)	

**Fiscal Year 2019-2023 Net Sales Tax Comparison
(by Quarter)**

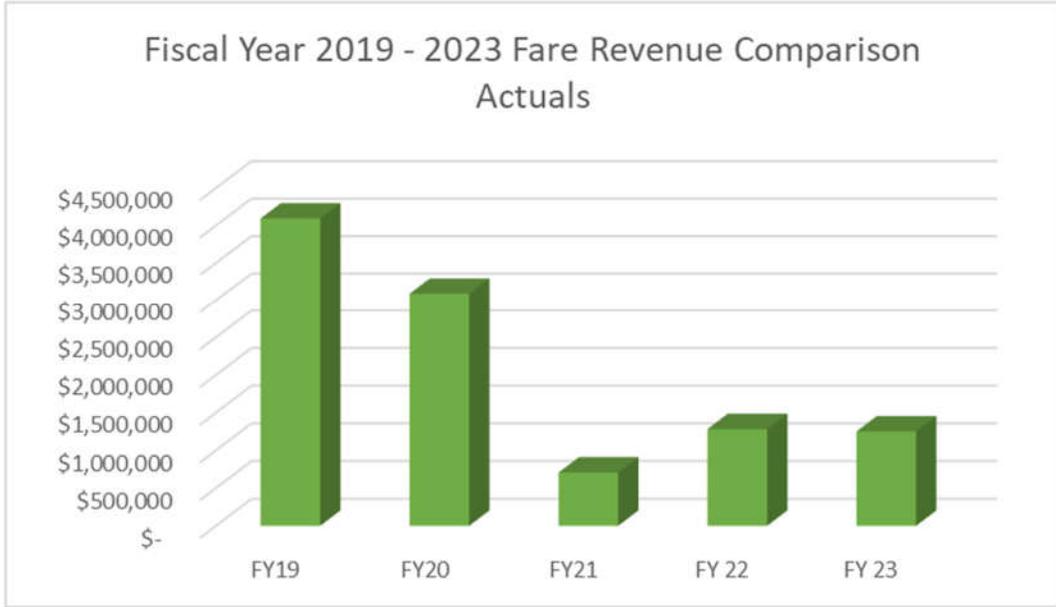


Fiscal Year 2019-2023 Net Cumulative Sales Tax Comparison

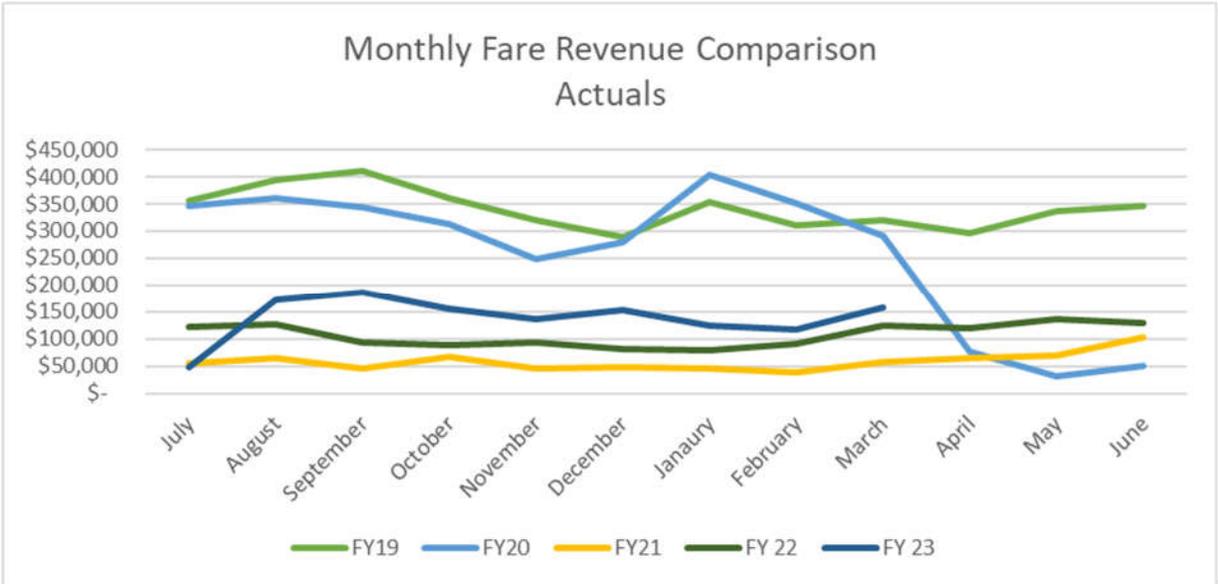


Note: Sales Taxes are recorded when received not when earned.

Fiscal Year 2019-2023 Fare Revenue Comparison



Fiscal Year 2019-2023 Monthly Fare Revenue Comparison



PASSENGER EXPENDITURES

	FY 2022-23 Approved Budget	Actual	Amount Over/ Under Budget
Passenger Expenditures			
Administration			
Salaries & Benefits	\$ 5,727,768	\$ 3,667,869	\$ (2,059,899)
Services & Supplies	\$ 10,588,992	\$ 4,182,345	\$ (6,406,647)
Administration Subtotal	\$ 16,316,760	\$ 7,850,214	\$ (8,466,546)
Operations			
Salaries & Benefits	\$ 17,348,209	\$ 11,359,625	\$ (5,988,584)
Services & Supplies	\$ 6,564,448	\$ 3,090,985	\$ (3,473,463)
Operations Subtotal	\$ 23,912,657	\$ 14,450,610	\$ (9,462,047)
Capital			
Salaries & Benefits	\$ 311,911	\$ 651,464	\$ 339,553
Services & Supplies	\$ 665,840	\$ 136,605	\$ (529,235)
Capital Subtotal	\$ 977,751	\$ 788,069	\$ (189,682)
Total Passenger Expenditures	\$ 41,207,168	\$ 23,088,893	\$ (18,118,275)

Passenger (Capitalized) Expenditures			
Buildings & Capital Improvements	\$ -	\$ -	\$ -
Machinery & Equipment	\$ 3,415,955	\$ 1,122,325	\$ (2,293,630)
Infrastructure	\$ 12,092,168	\$ 3,684,544	\$ (8,407,624)
Total Passenger (Capitalized) Expenditures	\$ 15,508,123	\$ 4,806,869	\$ (10,701,254)

Passenger Expenditures + Capitalized	\$ 56,715,291	\$ 27,895,762	\$ (28,819,529)
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FREIGHT REVENUES

	FY 2022-23 Approved Budget	Actual	Amount Over/ Under Budget	Comments
Revenues				
Freight				
Sales/Use Taxes	\$ -	\$ -	\$ -	
Interest and Lease Earnings	\$ 245,000	\$ 411,084	\$ 166,084	Leases renew throughout the year
Miscellaneous Revenue	\$ 239,190	\$ 261,972	\$ 22,782	Includes 45(G) tax credit
Freight Traffic	\$ 1,100,000	\$ 558,899	\$ (541,101)	
State Grants	\$ 4,206,000	\$ 612,419	\$ (3,593,581)	State grants are received throughout the year
Charges For Services	\$ 25,000	\$ 6,408	\$ (18,592)	Includes freight car storage.
Federal Funds (Non-COVID Relief)	\$ -	\$ -	\$ -	
Federal Funds (COVID)	\$ -	\$ -	\$ -	
Other Governments	\$ -	\$ -	\$ -	
Freight Subtotal	\$ 5,815,190	\$ 1,850,782	\$ (3,964,408)	

FREIGHT EXPENDITURES

	FY 2022-23 Approved Budget	Actual	Amount Over/ Under Budget
Freight Expenditures			
Administration			
Salaries & Benefits	\$ -	\$ -	\$ -
Services & Supplies	\$ -	\$ 27,235	\$ 27,235
Administration Subtotal	\$ -	\$ 27,235	\$ 27,235
Operations			
Salaries & Benefits	\$ 893,533	\$ 590,436	\$ (303,097)
Services & Supplies	\$ 1,180,505	\$ 379,751	\$ (800,754)
Operations Subtotal	\$ 2,074,038	\$ 970,187	\$ (1,103,851)
Capital			
Salaries & Benefits	\$ -	\$ -	\$ -
Services & Supplies	\$ 3,040,398	\$ 1,057,975	\$ (1,982,423)
Capital Subtotal	\$ 3,040,398	\$ 1,057,975	\$ (1,982,423)
Total Freight Expenditures	\$ 5,114,436	\$ 2,055,397	\$ (3,059,039)

Freight (Capitalized) Expenditures			
Buildings & Capital Improvements	\$ -	\$ -	\$ -
Machinery & Equipment	\$ 143,000	\$ -	\$ (143,000)
Infrastructure	\$ -	\$ -	\$ -
Total Freight (Capitalized) Expenditures	\$ 143,000	\$ -	\$ (143,000)

Freight Expenditures + Capitalized	\$ 5,257,436	\$ 2,055,397	\$ (3,202,039)
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CAPITAL PROJECTS

	Total Project Budget	Expended in Prior Fiscal Years	Budgeted in FY23 (Includes Amendments through February 28, 2023)	Remaining to be Budgeted in Future Years	Project Status
PASSENGER RAIL PROJECTS					
Windsor Extension	\$ 70,000,000	\$ 24,256,464	\$ -	\$ 45,743,536	MTC Lawsuit has been resolved. SMART is planning next steps to resume construction.
Sonoma County Pathway Connector Project - Design & Construction	\$ 17,482,847	\$ 2,240,211	\$ 2,481,284	\$ 12,761,352	Project has been combined with the Petaluma North Station.
Marin & Sonoma Pathway Design & Permitting	\$ 10,752,215	\$ 604,212	\$ 5,349,680	\$ 4,798,323	Conducting engineering design to prepare for construction.
McInnis Pkwy. at Bridgewater Dr. to Smith Ranch Rd. Construction	\$ 2,158,026	\$ -	\$ -	\$ 2,158,026	Conducting engineering design to prepare for construction.
Joe Rodota to 3rd St. Design and Construction	\$ 309,377	\$ 17,330	\$ 292,047	\$ -	In design - Construction will depend on grant execution.
Petaluma North Station	\$ 28,041,327	\$ 35,744	\$ 1,519,892	\$ 26,485,691	Conducting engineering design to prepare for construction.
Path-of-Travel Improvements	\$ 501,489	\$ 236,116	\$ 264,523	\$ -	Construction Started.
Payran to Lakeville Pathway - Design & Construction	\$ 1,409,037	\$ -	\$ 1,409,037	\$ -	Construction is on hold due to wet soil conditions.
Basalt Creek Timber Bridge Replacement	\$ 626,103	\$ 77,543	\$ 107,401	\$ 441,159	Finalizing design and working with agencies on environmental permitting.
San Antonio Tributary Timber Trestle Replacement	\$ 1,071,264	\$ 81,358	\$ 118,840	\$ 871,066	Finalizing design and working with agencies on environmental permitting.
FREIGHT RAIL PROJECTS					
Black Point Bridge - Fender Replacement	\$ 875,742	\$ 89,044	\$ 725,741	\$ -	Construction is complete.
Highway 37 Grade Crossing Reconstruction	\$ 505,394	\$ -	\$ 505,394	\$ -	Construction planned for May.
Brazos Branch Bridge Repairs	\$ 1,890,963	\$ 16,594	\$ 1,815,963	\$ 58,406	Bridge repairs planned for Spring 2023.

INVESTMENTS

Investments are guided by the SMART investment policy adopted each year with the budget. The policy outlines the guidelines and practices to be used in effectively managing SMART’s available cash and investment portfolio. District funds that are not required for immediate cash requirements are to be invested in compliance with the California Code Section 53600, et seq.

SMART uses the Bank of Marin for day-to-day cash requirements and for longer term investments the Sonoma County Treasury Pool is used. This chart reflects a point in time versus a projection of future fund availability.

<u>Cash On Hand</u>	
Bank of Marin	\$ 29,455,842
Sonoma County Investment Pool *	\$ 87,709,665
Total Cash on Hand	\$ 117,165,507
<u>Reserves</u>	
Self-Insured	\$ 2,370,675
OPEB/ CalPERS	\$ 4,074,676
Operating Reserve	\$ 10,000,000
Capital Sinking Fund	\$ 9,625,000
Corridor Completion	\$ 7,000,000
Total Reserves	\$ 33,070,351
Cash Balance	\$ 84,095,156
Less: Current Encumbrances	\$ 9,065,902
Balance	\$ 75,029,254
Less: Estimated FY23 Year-end Fund Balance	\$ 39,066,717
Remaining Balance	\$ 35,962,537

Note: Cash Balance significantly increased in February due to receipt of federal funds associated with Fiscal Year 2022.



Contract Summary

Active Contracts as of April 1, 2023

PASSENGER RAIL

Contractor	Scope	Fiscal Year 22/23 Projected	Fiscal Year 22/23
A.J. Janitorial Service	Janitorial Services for all Stations, Roblar, ROC, and Fulton	110,000	72,320
Ai-Media Technologies, LLC	Closed-Captioning Services	13,000	4,680
Air & Lube Systems, Inc.	Structural Alterations to the Rail Operation Center and Installation of the Wheel Press Machine	275,500	275,500
Alcohol & Drug Testing Services, LLC	DOT and FRA-regulated Drug and Alcohol Testing Services	36,000	27,405
Allen, Glaessner, Hazelwood LLP	Legal Services for Litigation and Rail Transit Issues	100,000	7,982
Alliant Insurance Services	Insurance Brokerage and Risk Management Services	70,000	-
American Integrated Services, INC.	On-Call Biohazard Remediation Services	50,000	-
American Rail Engineers Corporation	Railroad Bridge Inspections, Bridge Engineering, and Related Services	641,551	95,475
Asbury Environmental Services (AES)	Hazardous and Non-Hazardous Waste Removal and Disposal Services	10,000	969
Atlas Copco Compressors, LLC	Air Compressor Maintenance Services	8,400	2,195
BBM Railway Equipment, LLC	Wheel Press Machine - Furnish, Install, Configure, Test, Commission, and Train SMART Staff	310,664	257,166
Becoming Independents	Emergency Bus Bridge Services	22,000	16,000
Bettin Investigations	Pre-Employment Investigation, Background Screening, and Related Services	2,500	1,700
BKF Engineers Inc.	Design and Engineering Services for MUP Segments in Sonoma and Marin Counties	1,612,958	1,244,255
Bolt Staffing Service, Inc.	Temporary Staffing Services	60,000	32,688
Bright Star Security, Inc.	Security Patrol at SMART's Cal Park Tunnel	10,980	7,320
Burdell Tenancy In Common	Purchase of 6 Seasonal Wetland Mitigation Credits	834,000	834,000
Business Training Library, LLC	Cloud-Based Learning Courses	14,441	14,373
Central Pacific Engineering, LLC	Pedestrian Path of Travel Improvements Construction	195,520	-
Cinquini & Passarino, Inc.	Right-of-Way Land Surveying and Related Services	20,000	3,719
Craft & Commerce, LLC	Marketing and Community Outreach Services and Support	200,000	43,536
CSW/Stuber-Stroeh Engineering Group	Design and Engineering for Petaluma North Station, N. McDowell Grade Crossing, Segments 2 & 3 Pat	1,300,019	-
CSW/Stuber-Stroeh Engineering Group	Design and Engineering Services for 5 MUP Segments in Marin County	1,497,001	816,905
D Block Security	Security and Patrol Services	75,000	-
DeAngelo Contracting Services, LLC	Assignment of OP-SV-21-006 Vegetation Control Services	43,250	5,250
Dikita Enterprises, Inc	NTD Compliant Passenger Counting Services	40,688	6,695
Doc Bailey Construction Equipment, Inc.	Hi Rail Vehicle Inspection, Maintenance, Repair, and Certification Services	25,000	5,500
Doug Williams	Fire and Life Safety Consultant	3,585	1,065
Dr. Lance O'Connor	Occupational Health Screening Services	4,430	1,570
Dunnigan Psychological & Threat Assessments, LLC	Employment-Related Psychological Evaluation Services	25,000	13,063
Eide Bailly LLP	Financial Audit Services	50,885	33,450
eLock Technologies, LLC	Station Bike Lockers - Ongoing Maintenance and Support Services	13,130	11,350
Empire Cleaners	Operations Uniform Dry Cleaning, Laundering, and Related Services	18,000	8,673
Environmental Logistics, INC.	On-Call Biohazard Remediation Services	150,000	-
Essel Technology Services	Phase 1 Environmental Site Assessment ESA	2,200	2,200
Gallagher Benefit Services, Inc.	Classification and Compensation Study Services	84,350	-
Gary D. Nelson Associates, Inc.	Temporary Staffing and Placement Services	40,000	8,531
George Hills Company, Inc.	Third Party Claims Administration Services	45,000	1,882
GHD, Inc.	3 Segments MUP Petaluma - Penngrove - Rohnert Park	31,586	29,475
Ghilotti Bros, Inc.	Construction of Non-Motorized Pathway - Lakeville to Payran	1,237,052	428,683
Golden Five, LLC	Microsoft 365 Consulting Services	85,600	57,115
GP Crane & Hoist Services	Cal/OSHA Inspection Services	3,960	3,080
Granicus, Inc.	Media Streaming and Internet Broadcasting Services	12,248	12,248
Hanford A.R.C.	Maintenance and Monitoring the the Las Gallinas Creek Watershed Riparian Enhancement Planting	21,215	11,775
Hanford A.R.C.	Implementation and Monitoring, San Rafael Creek Riparian Enhancement Project	39,610	23,275

Contractor	Scope	Fiscal Year 22/23 Projected	Fiscal Year 22/23
Hanson Bridgett LLP	Legal Services	150,000	108,194
Hazel Mitigation Preserve, LLC	Seasonal Wetlands Mitigation Credits	20,000	-
HCI Systems, Inc.	Fire Equipment Inspection and Certification	17,274	-
Hogan Lovells LLP	Legal Services - Freight and Passenger Rail Sector	50,000	8,459
Holland Company	Track Geometry and Measurement Services	24,000	24,000
Hulcher Services, Inc.	On-Call Derailment Services	75,000	-
Hunt and Sons, Inc.	Bulk Delivery of Motor Oil (15W40)	16,000	14,311
Innovative Business Solutions	Payroll Processing Software	31,700	22,898
Integrative Security Controls, Inc.	CCTV Maintenance and Support	30,000	7,581
Intelligent Technology Solutions, LLC	Maximo SaaS Development, Implementation, and Related Services	222,122	169,683
JMA Civil, Inc.	On-Call Civil & Rail Engineering Design Services	44,000	-
Khoury Consulting, LLC	California State Legislative and Advocacy Services	80,000	40,000
LC Disability Consulting	Disability Access Consulting	12,000	4,600
LeaseQuery, LLC	Lease Software Licensing and Software Support Services	25,000	11,900
Leete Generators	Generator Inspection and Maintenance Services	5,000	2,811
Lewis, Brisbois, Bisgaard & Smith LLP	Various legal services related to transit	50,000	3,424
Lisa Wolper, LCSW, SAP	Substance Abuse Professional Services	5,000	600
Masabi LLC	SMART Mobile Ticketing Pilot Project	57,000	38,000
MaxAccel	Compliance Management Software Design/Implementation/Asset Management	58,000	23,009
Mike Brown Electric Co.	On-Call Electrical Maintenance	25,000	-
Militus, Inc.	Cybersecurity and Network Threat Analysis and Assessment	40,000	40,000
Milton R. Davis dba Davis Sign Co., Inc.	Print, Install, and Remove Holiday Express Window Clings on SMART's Train	1,230	926
Mission Linen Supply	Employee Uniform Services	32,084	21,474
Modern Railway Systems, Inc.	Monitoring and Maintenance SMART's Communications Network and TDX System	91,250	60,609
MuniServices, LLC	Sales Tax Recovery Services	89,408	29,510
Netspeed Solutions, Inc.	SMART Phone System Maintenance	15,684	11,867
North Bay Bottling (Alex Ruiz Sr.)	Drinking Water Delivery Service	2,900	666
North Bay Petroleum	Provision of Fuel for DMUs	1,473,353	1,017,609
Nossaman LLP	Litigation, Rail Transit Issues, and other related legal services	200,000	182,364
Occupational Health Centers of CA	Pre-Employment Evaluation Services	30,999	8,088
Oil Stop, LLC	Automotive Repair and Service	4,500	3,508
Oracle	Fusion ERP System	80,613	53,121
Panatrol Corp	Haystack Bridge Automation Software Reprogramming	2,350	2,350
Parodi Investigative Solutions	Pre-Employment Background Investigation Services	27,500	7,575
Peterson Mechanical, Inc.	HVAC Maintenance Services	24,000	-
PFM Financial Advisors, LLC	Financial Advisory Services	75,000	1,150
Pivotal Vision, LLC	Security Software Licensing	2,200	2,200
Portola Systems, Inc.	SMART Station Network Maintenance and Configuration Services	255,000	240,216
Precision Wireless	Tech Support and Maintenance for Land Mobile Radio	31,150	14,721
Quinn Covarrubias, a Professional Law Corporation	Legal Services for Rail Transit Matters	100,000	53,908
SEFAC USA	Portable Lifting Jack Inspection and Certification Services	8,000	2,330
Simple Appraisals Inc.	Perform Real Estate Appraisal Services	4,000	4,000
Sherwood Electromotion, Inc.	Overhaul Services for SMART's Permanent Magnet Alternators	60,000	33,760
Sierra-Cedar, LLC	Oracle Enterprise Resources Planning Software	150,000	50,770
Sonic.Net	Backhaul Agreement	9,451	-
Sonoma County Fleet Operation Division	Non-Revenue Fleet Vehicle Installation, Maintenance, and Repair Services	38,000	5,921

Contractor	Scope	Fiscal Year 22/23 Projected	Fiscal Year 22/23
Sperry Rail Service	Rail Flaw Detection Services	13,500	-
SPTJ Consulting, Inc.	Network Monitoring and Support Services	303,219	121,905
Stericycle, Inc.	Medical Waste Pick-Up and Disposal Services	2,000	-
Summit Signal, Inc.	Call-Out Maintenance and Repair Services for Signal Grade Crossings	10,000	-
Survival CPR & First Aid, LLC	First Aid and CPR Training, AED Compliance Program Management	6,570	6,437
Swiftly, Inc.	AVL Mobile Application and Website Interface	8,820	-
The Pape Group, Inc. dba Pape Material Handling	On-site ANSI/OSHA Aerial Safety Inspections and Maintenance Services	3,941	3,773
The Routing Company	Furnish, Implement, and Maintain a Microtransit Software Platform	20,918	-
Traffic Management, Inc.	Project Specific Flagging, Traffic Control and Related Services.	10,179	10,092
Trailant, LLC	Online Training Program	3,000	-
Tri Valley Recycling, Inc.	eWaste Collection and Recycling	100	-
Triangle Properties, Inc.	SoCo Pathway Riparian Enhancement Implementation and Monitoring	90,090	-
Trillium Solutions, Inc.	Transit Feed Mapping Software	2,000	1,890
Urban Transportation Associates, Inc.	Onboard Automatic Passenger Counter System Purchase, Install, and Software Implementation and T	107,296	107,296
UTCRA, LLC	Wheel Pressing Services	25,000	-
Van Scoyoc Associates	Federal Lobbying Services	60,000	35,000
VenTek Transit Inc.	Fare Vending Machine Operations and Maintenance Services	282,704	127,744
Vista Broadband Networks, Inc.	Broadband Services	9,000	6,750
W.J.C. Electric, Inc. dba Hahn Automotive	Non-Revenue Vehicle Repair and Service	30,000	29,386
Ward Levy Appraisal Group, Inc.	Real Estate Appraisal Services for SMART-Owned Property	7,000	5,000
West Coast Arborists, Inc.	Tree Trimming and Tree Removal Services	30,000	8,150
WRA, Inc.	As-Needed Environmental Consulting Services	119,040	66,997
	TOTALS:	14,436,468	7,281,601

FREIGHT RAIL

Contractor	Scope	Fiscal Year 22/23 Projected	Fiscal Year 22/23
American Rail Engineers Corporation	Railroad Bridge Engineering, Inspection, & Design	141,171	117,717
Asbury Environmental Services (AES)	Hazardous and Non-Hazardous Waste Removal and Disposal Services	10,000	190
Cathcart Rail Holdco, LLC dba Cathcart Field Services, LLC	Running Repair Agent Inspection and Maintenance Services	2,500	-
DeAngelo Contracting Services, LLC	Assignment of OP-SV-21-006 Vegetation Control Services	30,000	-
Doc Bailey Construction Equipment, Inc.	HI Rail Vehicle Inspection, Maintenance, Repair, and Certification Services	1,000	-
E&M Electric and Machinery, Inc.	Bridge Automation Software Design Services	2,500	2,466
Freight Rail Tracking Software	Freight Rail Tracking Software	29,574	2,682
GATX Rail Locomotive Group, LLC	Freight Locomotive Lease Agreement	32,864	26,879
Hue & Cry, Inc.	Security System at Schellville Depot	1,500	994
Hulcher Services, Inc.	On-Call Derailment Services	25,000	-
Koppers Railroad Structures, Inc.	Emergency Repair Work on "Railroad Slough" MP B38.97	460,865	353,503
Koppers Railroad Structures, Inc.	Brazos Branch Timber Bridge Repairs - Phase I Contract	1,165,302	-
Lambertus J. Versteegen dba South West Locomotive Repair	Overhaul and Repair Services of Locomotive RP20DB	20,000	6,401
Manson Construction Co.	Black Point Bridge Repair	576,870	576,870
Mickelson & Company, LLC	45G Tax Credit Advisory Services	14,351	14,351
North Bay Petroleum	Provision of Fuel for DMUs	90,000	47,102
Rail Power Services, LLC	Mobile Locomotive Maintenance, Repair, and Related Services	50,000	-
Stacy and Witbeck, Inc.	Highway 37 At-Grade Crossing Repair	378,694	-
Summit Signal, Inc.	Inspection, Testing, and Maintenance Services for Signal Equipment Along Brazos Branch	27,408	-

Contractor	Scope	Fiscal Year 22/23 Projected	Fiscal Year 22/23
Summit Signal, Inc.	Interim Freight Rail Operation and Maintenance Services	52,592	52,592
Wine Country Sanitary, Inc.	Portable Toilet Rental and Maintenance	2,362	1,771
WRA, Inc.	Freight - Black Point Bridge Biological Monitors	5,960	5,960
	TOTALS:	3,120,513	1,209,478

Actuals-To-Date includes invoices that have been approved as of March 31, 2023, but may not have been processed in SMART's Financial System.



Eric Lucan, Chair
Marin County Board of Supervisors

Melanie Bagby, Vice Chair
Sonoma County Mayors' and Councilmembers Association

Kate Colin
Transportation Authority of Marin

Chris Coursey
Sonoma County Board of Supervisors

Rachel Farac
Transportation Authority of Marin

Debora Fudge
Sonoma County Mayors' and Councilmembers Association

Patty Garbarino
Golden Gate Bridge,
Highway/Transportation District

Barbara Pahre
Golden Gate Bridge,
Highway/Transportation District

Gabe Paulson
Marin County Council of Mayors and Councilmembers

David Rabbitt
Sonoma County Board of Supervisors

Chris Rogers
Sonoma County Mayors' and Councilmembers Association

Mary Sackett
Marin County Board of Supervisors

Eddy Cumins
General Manager

5401 Old Redwood Highway
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Petaluma, CA 94954
Phone: 707-794-3330
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May 17, 2023

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

SUBJECT: Resolutions Authorizing the Annual Filing of Grant Applications for Various State and Federal Fund Programs for a Total of \$13,699,131 in Fiscal Year 2023-2024 Budget Operations Grant Support

Dear Board Members:

RECOMMENDATIONS:

Approve Resolutions No. 2023-14, 2023-15, 2023-16, 2023-17, and 2023-18 authorizing the filing of annual applications for the following funds for SMART operating department expenses:

- \$3,997,642 in annual Federal Transit Administration (FTA) Formula 5307 Program funding for Preventive Maintenance and committing the necessary 20% in local matching funds; and
- \$3,823,805 in State Transit Assistance (STA) Program funding for Operations; and
- Up to \$5,026,754 in State Rail Assistance (SRA) Program funding for Operations; and
- \$520,218 in State Low Carbon Transit Program (LCTOP) funding to Restart Rail Operations on SMART (Post-Pandemic); and
- \$330,712 in State Transit Assistance – State of Good Repair (STA-SGR) funding for SMART Capital Spare Parts.

SUMMARY:

SMART became eligible for numerous State and Federal fund annual formula grants with the start of operations in 2017. The SMART Board of Directors has approved resolutions of local support for these fund sources each of the past 2-4 years, depending on the fund source. Beginning in 2021, in advance of the adoption of the Fiscal Year 2021-22 SMART Annual Budget, every effort was made to consider authorization of these grant applications within one agenda item. These fund sources are shown with their latest expected revenue amounts to SMART, as estimated by the State Controller’s Office (SCO), California State Transportation Agency (CalSTA) and/or the Metropolitan Transportation Commission (MTC). The funds are a mix of programming years, with some funds programmed in Fiscal Year 2022-23 and some in Fiscal Year 2023-24. Specific fund program years are noted in the attached resolutions. In all cases, these funds are intended for use within the SMART Fiscal Year 2023-24 Annual Budget.

Funds listed are sourced from the following:

- FTA Formula Program comes from a federal excise tax on gasoline.

- STA funds come from sales tax on diesel fuel, with a portion created with the 2017 Senate Bill 1 (SB1) package.
- SRA funds come from sales tax on diesel fuel created with SB1.
- LCTOP funds come from California Cap and Trade proceeds into the Greenhouse Gas Reduction Fund.
- The scope proposed for use of each of the fund sources listed is a continuation of the scope covered by each grant in the Fiscal Year 2022-23 SMART Annual Budget and in SMART's 2021 and 2022 10-year horizon Short Range Transit Plan and Capital Improvement Program, adopted by the Board in Spring 2021 and updated with the MTC regional process in Fall 2022.

Each grant fund source has its own unique applicant eligibility requirements that SMART fulfills within the normal course of business. FTA formula funds are for Direct Grantee agencies who agree to abide by the FTA's requirements in technical, legal, and financial areas. As part of the eligibility process, SMART reports service data into the National Transit Database (NTD). Nationally, NTD data is used to determine how FTA funds are distributed across Urbanized Areas. Approximately 89% of SMART's service data is reported into the Santa Rosa Urbanized Area and the FTA formula funds shown here for SMART come from the Santa Rosa Urbanized Area apportionment. SMART assigns approximately 11% of service data to the San Francisco-Oakland Urban Area and those funds are apportioned by MTC according to regional priorities. For FY24, SMART is not budgeted to receive funds from the FTA San Francisco-Oakland apportionments. Included in the FTA Direct Grantee eligibility requirements are four Civil Rights programs and policies that have been adopted and implemented by SMART, with three of these being updated every three years. These Civil Rights programs include:

- Americans with Disabilities Act compliance;
- Title VI Non-Discrimination Program and Policy, including a Limited English Proficiency and Public Participation Plan;
- Disadvantaged Business Enterprise Program as part of District procurement; and
- Equal Employment Opportunity Program as part of District hiring practices.

In some cases, there are multiple agencies participating in the development or allocation of funds. For example, State Transit Assistance (STA) funds are apportioned based on local revenues collected by an operator and by population of the area served. MTC has asked the County Transportation Agencies (Sonoma County Transportation Authority and Transportation Authority of Marin) to work with transit operators in their areas to determine the apportionment split of STA Population funds. Once decided, these STA funds are combined with the STA Revenue funds that are apportioned directly by the State to SMART based on the amount of Measure Q funds and fares collected. Claims for payments of STA funds are then submitted by operators directly to MTC.

As part of that claim process, SMART is required by MTC to adopt resolutions committing SMART to following MTC's Resolution 3866 (attached) regarding Transit Coordination across the region. That MTC resolution requirement is also true of annual FTA formula funds. For STA-State of Good Repair (SGR) funds, there is an application process directly to Caltrans, followed by a claim submittal to MTC. Two resolutions are attached that include reference to STA-SGR funds, one for the new Authorized Agent and Certification form and one for the claim submittal to MTC.

For each fund source listed, there is a unique set of compliance and certification checklists to follow, grant application forms to submit and post-award reporting requirements to file. Several of the funds require a new Authorized Agent and Certification form be approved by the Board every time there is a change in Authorized Agent. There are no changes to SMART's administrative staff since last year's claim.

Collectively these six fund sources will provide up to \$13,699,131 in outside State and Federal grants in support of SMART's operations and SMART's Fiscal Year 2023-24 Annual Budget. We recommend your Board approve the attached Board resolutions (Resolution Nos. 2023-14, 2023-15, 2023-16, 2023-17, and 2023-18) authorizing the execution of these grants, authorizing the execution of any necessary documents to receive the funds, and authorizing the completion of the projects associated with these funds.

FISCAL IMPACT: None. SMART will assume these fund sources within the FY 2023-2024 annual budget.

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

Very truly yours,

 /s/

Joanne Parker
Programming and Grants Manager

Attachment(s):

- 1) Resolution Number 2023-14
- 2) Resolution Number 2023-15
- 3) Resolution Number 2023-16
- 4) Resolution Number 2023-17
- 5) Resolution Number 2023-18
- 6) MTC Resolution 3866 - Transit Coordination Requirement

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

WHEREAS, the Bipartisan Infrastructure Law, enacted as the Infrastructure Investment and Jobs Act (BIL, Pub. L 117-58) continues and increases funding amounts within Federal Transit Administration formula programs (49 U.S.C. §53); and

WHEREAS, pursuant to BIL/IIJA, and the regulations promulgated thereunder, eligible project sponsors wishing to receive Federal Transit Administration (FTA) Section 5307 Urbanized Area grants (Formula Program Funds) for a project shall submit an application first with the appropriate metropolitan transportation planning organization (MPO), for review and inclusion in the MPO's Transportation Improvement Program (TIP); and

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

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

SMART Preventive Maintenance

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

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

NOW, THEREFORE, BE IT RESOLVED that by the Board of Directors that the SMART District is authorized to execute and file an application for funding under the FTA Formula Program in the amount of \$3,997,642 for Preventive Maintenance; and

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

1. SMART will provide \$999,411 in local, non-federal matching funds; and
2. SMART understands that the FTA Formula Program for the project is fixed at \$3,997,642, and that any cost increases must be funded by SMART from local matching funds, and that SMART does not expect any costs increases to be funded with FTA Formula Program funds; and
3. **SMART Preventive Maintenance** will be completed as described in this resolution and, if approved, for the amount shown in the Metropolitan Transportation Commission (MTC) Transportation Improvement Program (TIP) with obligation occurring within the timeframe established below; and
4. The program funds are expected to be obligated by January 31 within the year the project is programmed for in the TIP; and
5. SMART will comply with FTA requirements and all other applicable Federal and State and Local laws and regulations with respect to the proposed project; and

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

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

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

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

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

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

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

PASSED AND ADOPTED at a regular meeting of the Board of Directors of the Sonoma-Marin Area Rail Transit District held on the 17th day of May 2023, by the following vote:

DIRECTORS:

AYES:

NOES:

ABSENT:

ABSTAIN:

Eric Lucan, Chair, Board of Directors
Sonoma-Marin Area Rail Transit District

ATTEST:

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

RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT AUTHORIZING THE SUBMITTAL OF A CLAIM FOR STATE TRANSIT ASSISTANCE FUNDS AND DESIGNATION OF THE GENERAL MANAGER AND/OR CHIEF FINANCIAL OFFICER AS THE AUTHORIZED AGENTS TO SUBMIT AND EXECUTE ALL REQUIRED DOCUMENTS FOR STATE TRANSIT ASSISTANCE FUNDS ON BEHALF OF THE DISTRICT FOR FISCAL YEARS 2023-2024

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

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

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

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

WHEREAS, the State Controller's Office has apportioned \$3,170,013 in STA Revenue funds available for SMART to claim for Fiscal Year 2023-24; and

WHEREAS, MTC delegates prioritization of STA Population Funds to the County Transportation Agencies and the transit operators within those counties; and

WHEREAS, the Sonoma County Transportation Authority (SCTA) and the Transportation Authority of Marin (TAM) have established procedures to apportion funds to transit operators within each county, including apportionment of STA Population Funds to SMART; and

WHEREAS, SCTA has apportioned \$510,764 available to claim in Fiscal Year 2023-24 and TAM has apportioned \$143,028 available to claim in Fiscal Year 2023-24 by SMART; and

WHEREAS, MTC receives those recommended apportionments of STA Population funds and disburses those funds along with STA Revenue Funds and STA State of Good Repair Funds directly to transit operators; and

Resolution No. 2023-15
Sonoma-Marín Area Rail Transit District
May 17, 2023

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

WHEREAS, SMART wishes to utilize STA Revenue and STA Population apportionments to implement the SMART Rail Operations Project for Fiscal Year 2023-24 and wishes to utilize the STA State of Good Repair funds to implement the SMART Capital Spare Parts Project;

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

1. Authorizes the submittal of the SMART Rail Operations Project claim for State Transit Assistance Revenue and Population funds in the amount of \$3,823,805, and the SMART Capital Spare Parts Project claim for State Transit Assistance State of Good Repair funds in the amount of \$330,712 to the Metropolitan Transportation Commission for Fiscal Year 2023-24; and
2. Agrees to comply with all conditions and requirements set for in MTC’s Annual Fund Application Manual and applicable statutes, regulations and guidelines for all State Transit Assistance funded transit projects; and
3. Designates SMART’s General Manager and/or Chief Financial Officer to be authorized to execute all required documents of the State Transit Assistance program and any Amendments thereto with the Metropolitan Transportation Commission which may be necessary for the completion of the aforementioned project.

PASSED AND ADOPTED at a regular meeting of the Board of Directors of the Sonoma-Marín Area Rail Transit District held on the 17th day of May 2023, by the following vote:

DIRECTORS:

AYES:

NOES:

ABSENT:

ABSTAIN:

Eric Lucan, Chair, Board of Directors
Sonoma-Marín Area Rail Transit District

ATTEST:

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

RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT AUTHORIZING THE EXECUTION OF THE CERTIFICATION AND ASSURANCES AND AUTHORIZED AGENT FORMS FOR THE LOW CARBON TRANSIT OPERATIONS PROGRAM (LCTOP) FOR THE FOLLOWING PROJECT: RESTART TRANSIT OPERATIONS ON SMART FOR \$520,218

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

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

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

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

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

WHEREAS, SMART wishes to implement the Restart Transit Operations on SMART Project to restore weekday and weekend trips on SMART from the reduced service levels experienced during the COVID-19 pandemic; and

WHEREAS, the LCTOP fund application process asks for identification of State-designated Priority Population Benefits and SMART's service area includes one State Disadvantaged Community census tract and the project is located within the boundaries of low-income community census tracts;

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

1. Authorizes the submittal of the Restart Transit Operations on SMART Project for project nomination and allocation request to the California Department of Transportation for Low Carbon Transit Operations Program funds for \$520,218; and
2. Agrees to comply with all conditions and requirements set for in the Certifications and Assurances and Authorized Agent documents and applicable statutes, regulations and guidelines for all LCTOP funded transit projects, including identification of Priority Population Benefits; and

Resolution No. 2023-16
Sonoma-Marin Area Rail Transit District
May 17, 2023

3. Designates Eddy Cumins, General Manager, and/or Heather McKillop, Chief Financial Officer, to be authorized to execute all required documents of the LCTOP program and any Amendments thereto with the California Department of Transportation which may be necessary for the completion of the aforementioned project.

PASSED AND ADOPTED at a regular meeting of the Board of Directors of the Sonoma-Marin Area Rail Transit District held on the 18th day of May 2023, by the following vote:

DIRECTORS:

AYES:

NOES:

ABSENT:

ABSTAIN:

Eric Lucan, Chair, Board of Directors
Sonoma-Marin Area Rail Transit District

ATTEST:

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

**RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT
AUTHORIZING THE SUBMITTAL OF APPLICATIONS, SUPPORTING DOCUMENTS AND EXECUTION OF
FUNDING AGREEMENTS FOR FISCAL YEAR 2023-2024 STATE TRANSIT ASSISTANCE STATE OF GOOD
REPAIR FUNDS FOR THE SMART CAPITAL SPARE PARTS PROJECT**

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

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

WHEREAS, the State Controller’s Office has released the Fiscal Year 2024 SGR apportionments and SMART is estimated to receive \$330,712 in SGR funds; and

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

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

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

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

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

PASSED AND ADOPTED at a regular meeting of the Board of Directors of the Sonoma-Marín Area Rail Transit District held on the 17th day of May 2023, by the following vote:

DIRECTORS:

AYES:

NOES:

ABSENT:

ABSTAIN:

Eric Lucan, Chair, Board of Directors
Sonoma-Marín Area Rail Transit District

ATTEST:

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

RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT AUTHORIZING THE EXECUTION OF THE CERTIFICATION AND ASSURANCES AND AUTHORIZED AGENT FORMS FOR STATE RAIL ASSISTANCE FUNDS AND AUTHORIZING THE EXECUTION OF THE STATE RAIL ASSISTANCE PROJECT, SMART COMMUTER RAIL OPERATIONS FOR FISCAL YEARS 2023-24 FOR AN ESTIMATED AMOUNT UP TO \$5,026,754

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

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

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

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

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

WHEREAS, SMART wishes to implement the Fiscal Year 2023-24 SMART Commuter Rail Operations Project

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

1. Authorizes the submittal of the SMART Commuter Rail Operations Project for nomination and allocation request to CalSTA for State Rail Assistance funds for up to \$5,026,754 in FY2023-24; and
2. Agrees to comply with all conditions and requirements set for in the Certifications and Assurances and Authorized Agent documents and applicable statutes, regulations and guidelines for all SRA funded transit projects; and
3. Designates Eddy Cumins, General Manager, and Heather McKillop, Chief Financial Officer, to be authorized to execute all required documents of the SRA program and any Amendments thereto with the California Transportation Agency which may be necessary for the completion of the aforementioned project.

PASSED AND ADOPTED at a regular meeting of the Board of Directors of the Sonoma-Marín Area Rail Transit District held on the 17th day of May 2023, by the following vote:

DIRECTORS:

AYES:

NOES:

ABSENT:

ABSTAIN:

Eric Lucan, Chair, Board of Directors
Sonoma-Marín Area Rail Transit District

ATTEST:

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

Date: February 24, 2010
W.I.: 1227
Referred By: Operations Committee
Revised: 10/26/11-C
07/22/15-C

ABSTRACT

Resolution No. 3866, Revised

This resolution updates and adopts MTC's Transit Coordination Implementation Plan pursuant to the requirements of California Government Code §§ 66516 (SB 1474) and 66516.5; Public Utilities Code §§ 99282.51 and 99314.7; and Streets and Highways Code § 30914.5.

This resolution supersedes Resolution No. 3055, as amended.

Attachment B to this resolution was revised on July 22, 2015 to update and revise requirements for the 511 transit information program (Appendix B-1), the regional hub signage program (Appendix B-2), and the Clipper[®] program (Appendix B-3), and to add a new Appendix B-5 containing coordination requirements applicable to transit rider surveys.

Date: February 24, 2010
W.I.: 1227
Referred By: Operations Committee

Re: Transit Coordination Implementation Plan

METROPOLITAN TRANSPORTATION COMMISSION

RESOLUTION NO. 3866

WHEREAS, pursuant to Section 66516 of the California Government Code, the Metropolitan Transportation Commission (MTC) is required to adopt rules and regulations to promote the coordination of fares and schedules for all public transit systems within its jurisdiction and to require every system to enter into a joint fare revenue sharing agreement with connecting systems; and

WHEREAS, pursuant to Section 66516.5 of the Government Code, MTC may identify and recommend consolidation of those functions performed by individual public transit systems that could be consolidated to improve the efficiency of regional transit service and;

WHEREAS, pursuant to Section 99282.5 of the California Public Utilities Code (PUC), MTC is required to adopt rules and regulations to provide for governing interoperator transfers so that the public transportation services between public transit operators are coordinated; and

WHEREAS, pursuant to Section 99314.7 of the Public Utilities Code, MTC is required to evaluate an operator's compliance with coordination improvements prior to an operator receiving allocations of State Transit Assistance (STA) funds; and

WHEREAS, pursuant to Section 30914.5 of the Streets and Highways Code, MTC must adopt, as a condition of Regional Measure 2 fund allocation, a regional transit connectivity plan to be incorporated in MTC's Transit Coordination Implementation Plan pursuant to Section 66516.5, requiring operators to comply with the plan, which must include Policies and procedures for improved fare collection; and

WHEREAS, MTC previously adopted Resolution No. 3055 to implement these requirements; and

WHEREAS, in order to ensure progress toward implementing coordination recommendations, MTC wishes to formalize these recommendations by adopting the rules and requirements required pursuant to Government Code Section 66516 and PUC Section 99282.5 as set forth in this MTC Transit Coordination Implementation Plan, which includes a regional Transit Connectivity Plan and Implementation Requirements, attached to this Resolution as Attachments A and B, and incorporated herein as though set forth at length;

WHEREAS, MTC has consulted with the region's transit agencies to develop the regional Transit Connectivity Plan and Implementation Requirements, as required by Government Code §§ 66516 and Streets and Highways Code § 30914.5; now therefore be it

RESOLVED, that MTC adopts the Transit Connectivity Plan ("Plan") as set forth in Attachment A; and be it further

RESOLVED, that MTC adopts the Implementation Requirements, as set forth in Attachment B; and, be it further

RESOLVED, that prior to determining fund programming and allocations for an operator, MTC shall review the efforts made by the operator to implement the requirements identified in Attachments A and B, and if MTC determines that the operator has not made a reasonable effort to implement the requirements of Attachments A and B, MTC may, at its discretion, withhold, restrict or re-program funds and allocations to such operator to the extent allowed by statute, rule, regulation, or MTC policy; and, be it further

RESOLVED, that all funds subject to programming and/or allocation by MTC are covered by this resolution including but not limited to State Transit Assistance, Transportation Development Act, Regional Measure 2, Congestion Mitigation and Air Quality, Surface

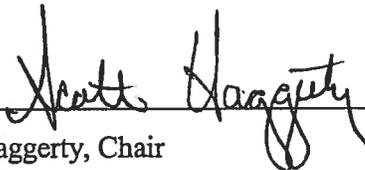
Transportation Program and Transit Capital Priorities funds, to the extent permitted by statute; and, be it further

RESOLVED, that this resolution shall be transmitted to the affected transit operators to guide them in development of their annual budgets and short-range transit plan revisions; and, be it further

RESOLVED, that the Operations Committee is authorized to approve amendments to Attachments A and B, following consultation with the affected transit operators; and be it further

RESOLVED, this resolution supersedes Resolution No. 3055.

METROPOLITAN TRANSPORTATION COMMISSION



Scott Haggerty, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California, on February 24, 2010

Date: February 24, 2010
W.I.: 1227
Referred By: Operations Committee

Attachment A
Resolution No. 3866
Page 1 of 1

Attachment A

MTC Transit Connectivity Plan

This Attachment A incorporates by reference the Transit Connectivity Plan, previously approved by MTC in MTC Resolution No. 3055, which may be downloaded at:
<http://www.mtc.ca.gov/planning/connectivity/index.htm>.

Date: February 24, 2010
W.I.: 1227
Referred By: Operations Committee
Revised: 10/26/11-C
07/22/15-C

Attachment B
Resolution No. 3866, Revised
Page 1 of 28

Attachment B Implementation Requirements

The purpose of these Implementation Requirements is to establish the expectations and requirements for each transit agency with respect to implementing the recommendations of the Commission's Transit Connectivity Plan (2006) and maintaining other transit coordination programs, to outline the process by which MTC will involve transit operators in changes to coordination requirements, and to establish the process for Commission action in the event of transit agency non-compliance with these implementation requirements. A copy of this Resolution 3866 is available for download at <http://www.mtc.ca.gov/planning/tcip/>.

Per the Transit Connectivity Plan, MTC places high priority on improvements that:

- Accomplish tangible improvements for the passenger;
- Benefit the largest number of transit users, including both inter- and intra-system transit riders, to the extent possible;
- Improve system productivity by sharing agency resources; and
- Enhance the ability of transit riders to reach significant destinations in adjoining jurisdictions and along regional corridors by (1) improving the connections between system services and (2) providing through service to adjoining jurisdictions in those cases where the market clearly justifies such service.

In order to manage resources effectively, MTC will focus on a limited number of high priority improvements, transfer project leadership from MTC to one or more transit agencies where possible upon agreement of project partners, and establish priorities for implementing new projects.

The Commission has established specific transit operator requirements to implement a coordinated regional network of transit services and to improve overall service productivity as defined in the Transit Connectivity Plan. Any agency that is an eligible recipient of funds subject to allocation or programming by MTC is subject to these requirements, including, but not limited to the following:

1. Altamont Corridor Express
2. Alameda-Contra Costa Transit District
3. Caltrain
4. Capital Corridor Joint Powers Authority
5. Central Contra Costa Transit Authority
6. Eastern Contra Costa Transit Authority
7. Golden Gate Bridge, Highway and Transportation District
8. Livermore/Amador Valley Transit Authority
9. Marin County Transit District
10. Napa County Transportation Planning Agency
11. San Francisco Bay Area Rapid Transit District
12. San Francisco Municipal Transportation Agency
13. San Mateo County Transit District
14. Santa Clara Valley Transportation Authority
15. Solano County Transit (SolTrans)
16. Solano Transportation Authority
17. Sonoma County Transit
18. Sonoma Marin Area Rail Transit
19. Transbay Joint Powers Authority
20. Union City Transit
21. Water Emergency Transportation Authority
22. Western Contra Costa Transit Authority
23. City of Dixon
24. City of Emeryville
25. City of Fairfield (Fairfield and Suisun Transit)
26. City of Petaluma
27. City of Rio Vista
28. City of Santa Rosa
29. City of Vacaville

Unless a particular action is reserved for the Commission or the Operations Committee in this Attachment B (including any Appendices hereto), where reference is made in this Attachment B to approval, determination, clarification or the development of guidelines or policies by MTC, such action may be taken or made by MTC staff in a manner that is consistent with the principles set forth in Resolution 3866 and this Attachment B.

A. Operator Implementation Requirements

1. Implementation Requirements

The region has a history of implementing projects to improve transit coordination. Early efforts focused on regional programs and policies such as disseminating tax-free transit benefits and making paratransit eligibility determinations. More recent efforts, such as the Transit Connectivity Plan and efforts to increase Transit Sustainability, identified improvements to (1) designated regional transit hubs, including way-finding signage and transit information, real time transit information, schedule coordination, last-mile services and hub amenities, (2) system wide connectivity improvements, including 511 information and Clipper® and (3) coordination of demographic and travel pattern transit rider surveys.

Specific implementation requirements for transit operators are listed in Appendices to this Attachment:

- Appendix B-1, 511 Transit Program Requirements (including real-time transit);
- Appendix B-2, Regional Transit Hub Signage Program Requirements;
- Appendix B-3, Clipper® Implementation Requirements; and
- Appendix B-4, Maintenance of Existing Coordinated Services.
- Appendix B-5, Cooperative Demographic and Travel Pattern Transit Rider Survey Program Requirements

As MTC continues to address recommendations from the Transit Connectivity Plan and other emerging issues such as Transit Sustainability, new implementation requirements may become necessary. The appendices may be modified to reflect changes in implementation responsibilities, following the procedures outlined in this Attachment B, and subject to approval by the Commission.

2. SB 602 Fare and Schedule Coordination Requirements

Currently, each operator certifies its adherence to the provisions of SB 602 (Statutes 1989, Chapter 692, Government Code Section 66516, and as subsequently amended) as part of the annual allocation process for TDA and STA funds when requests for these funds are submitted to MTC. The SB 602 requirements are now incorporated into this Res. 3866, and each operator's compliance will be monitored accordingly. Per the requirements of SB 602, each transit agency in the region has a revenue sharing agreement with every connecting agency. In some cases, this takes the form of a reciprocal agreement to accept each other's passengers free of charge or to honor each other's period passes or single-trip transfers for a discounted fare. The BART/Muni FastPass is an example of a joint fare instrument to address SB602 requirements. Each transit agency in the region is required to maintain these reciprocal agreements as a condition of receiving STA funds (Gov. Code 66516).

3. Preserve Ability to Post and Disseminate Transit Information

MTC expects transit operators to preserve rights for MTC and connecting transit operators to post and disseminate connecting transit information for free within their facilities. This would include but not be limited to route, schedule, fare, real-time transit information and information about regional transit projects (511, Clipper®). For any transit agency that has already entered into a third-party agreement that compromises these rights, MTC expects the transit agency to make good faith efforts to reinstate these rights in their agreement at the earliest opportunity and, at a minimum, to reinstate such rights in future agreements or renewals entered into after adoption of this Resolution. Nothing herein shall be interpreted as requiring transit agencies to display advertising. Rather, the objective is to provide transit customers with pertinent information that improves their transit experience.

B. Cost-Sharing

Implementation activities and other new transit connectivity and coordination efforts added to these Implementation Requirements will be funded with MTC discretionary funds, transit agency funds, and/or in-kind contributions of MTC and transit agency staff resources. If MTC considers

adding new projects or services, MTC would implement the consultation process described in Section C below to vet any expected cost impacts on the operators. Transit agencies are required to waive all agency fees (for permits, etc.) they would otherwise charge to MTC, other transit operators or third-party contractors to implement and maintain regional transit coordination projects detailed in these requirements. Unless otherwise noted, MTC and transit agencies are expected to cover the cost to implement their respective roles and responsibilities as identified in these requirements or in pre-existing agreements. As specific initiatives move to implementation, a lead agency may be designated to coordinate implementation activities on behalf of the other participating transit agencies. Any agency that assumes this lead role and incurs costs that it would otherwise not assume in order to perform this function may be reimbursed, based upon an equitable agreement with the participating agencies, on a marginal cost basis (i.e., the additional cost the transit operator incurs to perform the work).

C. Consultation Process

MTC will consult with transit agencies when defining new coordination requirements for inclusion in Res. 3866 or when updating or revising requirements already in Res. 3866.

MTC will first consult with one or more of its technical advisory committees (TACs) to receive transit agency input on the specific implementation requirements. MTC will notify TAC members of the meetings and provide agendas in advance, and facilitate TAC discussions. Affected transit operators are expected to participate. Transit agencies are responsible for ensuring that the appropriate staff attends TAC meetings, that they participate in discussions in good faith, and that they communicate with other relevant staff within their agency (including those employees whose work may be affected) and executive management so that timely and constructive agency feedback can be provided to MTC. MTC will consider TAC input when formulating draft policy. In cases where there is no relevant TAC to address the issue under consideration, MTC will formulate draft policy and solicit feedback from general advisory groups, such as the Partnership Technical Advisory Committee (PTAC) or the Transit Finance Working Group.

At its discretion, MTC may also solicit input from the Partnership Board, the Partnership Technical Advisory Committee, the Transit Finance Working Group and MTC's Policy Advisory Council prior to Commission action. Following consultation with the TAC(s) and/or other advisory groups, MTC will solicit feedback from the Partnership Transit Coordination Committee. MTC will provide notification of the proposed PTCC meeting and agenda through written communication to transit general managers and transit program coordinators and posting of the meeting materials on MTC's web site.

After consulting with transit agencies, MTC will forward staff's recommendations to the MTC Operations Committee and the Commission.

D. Sanctions

The Commission expects each transit agency to comply with the requirements outlined in this Resolution and its Attachments as a condition of eligibility for STA and TDA funds, Regional Measure 2 funds, transit capital funds (including federal transit formula funds, STP, CMAQ and

STIP funds) and other funds subject to Commission programming and allocation actions. MTC intends that the region's transit agencies will implement these requirements in good faith and cooperation among themselves and with MTC. The sanction of withholding, restricting or re-programming funds to enforce cooperation will be exercised by MTC through an action of the Commission in cases where an agency fails to meet or fails to exhibit good faith in meeting these requirements. In such cases, MTC staff will notify the agency of the possibility that a sanction may be imposed. This notification will also recommend corrective actions that the agency should take to meet the implementation requirements. The notification will be sent no less than sixty (60) days prior to forwarding an MTC staff recommendation to the Commission.

Appendix B-1 511 Transit Information Requirements

MTC provides static transit data through the 511 phone and web service and real-time transit departure information through the 511 phone and web services and the Regional Hub Signage Program. MTC requires the full participation and support of all transit agencies to deliver quality and timely information. MTC and the transit agencies have jointly developed data transfer mechanisms for static and real-time transit data and identified appropriate roles and responsibilities for all parties, as documented in “*511 Transit and Real-Time Transit Program Roles and Responsibilities*.” MTC will review these requirements on an as-needed basis with transit agency partners, and they may be updated from time to time. The document is available at: <http://www.mtc.ca.gov/planning/tcip/>. The key roles and responsibilities to provide transit agency data on 511 services are as follows:

Transit Agencies will:

Generally:

1. Participate in MTC’s 511 Regional Transit Information System (RTIS) and Real-Time Transit Technical Advisory Committee (511 TAC).
2. Support, fund and staff their roles and responsibilities related to the 511 services as described below.
3. Notify transit customers of the availability of 511 information and 511.org on transit agency web sites, in printed materials, at bus stops/rail stations, and on other transit agency information channels.

For Static Transit Information:

4. Provide accurate, complete, and timely information regarding transit routes, stops, schedules, and fares for dissemination on 511 and/or through data feeds to third parties.
5. Transmit and maintain transit schedule data and other transit service information to MTC, through provided tools, protocols and processes as discussed, updated and agreed in 511 TAC meetings, in advance of any schedule changes to allow for MTC’s timely inclusion on 511 and/or data feeds to third parties. MTC will provide a schedule identifying the necessary advance time.
6. Perform quality control review (focusing on data changed for upcoming service revisions) on a representative sample of agency service data prior to transmittal to MTC.

For Real-time Transit Information:

7. Provide prediction data to the Regional System by establishing and maintaining a data connection to the Regional System and operating and maintaining an interface application.
8. Meet requirements, as defined in “*511 Transit and Real-Time Transit Program Roles and Responsibilities*.”
9. Conduct on-going performance monitoring to ensure accurate and timely transfer of data to the Regional System and accurate provision of prediction data to the public, in collaboration with MTC.
10. Ensure that there is no impact to its provision of prediction data to 511 in the event that the transit agency provides its specific prediction data to a third party.

11. Provide service disruption information to 511 where available and logistically feasible through agreed upon formats.

MTC will:

Generally:

1. Organize and facilitate the 511 TAC.
2. Fund, operate, and maintain the 511 traveler information program for regional transit information, including 511.org, 511 phone, regional electronic Transit Information Displays (eTIDs) at transit hubs, and other relevant applications.
3. In collaboration with transit agencies, conduct performance monitoring to ensure accurate and timely transfer of both static and real-time transit data to the Regional 511 System.

For Static Transit Information:

4. Notify transit customers of the availability of transit agency websites at appropriate locations on web site pages of 511.org.

For Real-time Transit Information:

5. Share with third party vendors and the general public the real-time transit data as described in “*511 Transit and Real-Time Transit Program Roles and Responsibilities.*”
6. Provide agencies with contact information for the 511 Traveler Information Center (TIC) to allow for the posting of real-time transit service disruption/emergency information on 511.

Appendix B-2 Regional Transit Hub Signage Program Requirements

MTC and transit agencies have developed the Regional Transit Hub Signage Program Technical Standards and Guidelines (e.g. ‘the Standards’) to ensure consistency across the region as the signage is deployed and maintained. A detailed version of the Standards is available at: <http://www.mtc.ca.gov/planning/tcip/>. The Standards may be periodically updated.

The Standards include:

1. Four main sign types: directional signs, wayfinding kiosks, transit information displays, real-time transit information displays.
2. Guidance to locate signs at key decision points between transit operator services.
3. Design elements to establish a common “look” and “feel” for the signage including:
 - Orange ‘i’ icon on a green background;
 - Standard logos, icons, arrows and messages and an organizing hierarchy;
 - Standard ‘frutiger’ font;
 - Hierarchy for the location of information in each sign;
 - Consistent map orientation and colors;
 - Directional map compass and walking distance/time radius;
 - Transit stop designation through agency logo/mode icon/route number ‘bubbles’; and
 - Prominent 511 logo/message and regional transit program information.

Transit Agencies will:

1. Participate on the Transit Connectivity TAC as needed to raise and consider any further revisions to the Standards or other relevant transit connectivity policies.
2. Comply with the Standards. Where exceptions to the Standards are desired, transit operators must seek prior approval from MTC. Where ambiguity in the Standards exists, transit operators shall request clarification from MTC.
3. Comply with task responsibilities (O&M, replacement and ownership) further detailed in Appendix B-2, Attachment 1. In most cases, the transit agency that owns the property on which the sign has been installed is assigned responsibility. For signs installed on property not owned by a transit agency, the transit agency providing the most service (passenger boardings) in the area of the sign has been assigned responsibility.
4. Facilitate the permitting of signs by waiving all fees that a transit agency would usually charge for sign installation on its property or leased operating areas.
5. As transit agencies plan new facilities or prepare for major remodels of existing facilities, transit agencies will consult with MTC early in the planning process to ensure effective information is provided to transit users and consistency with the Standards is achieved. MTC will determine if a project requires application of the Standards. If yes, the responsible transit agency will implement the appropriate signage throughout the transit facility in accordance with the Standards.

MTC will:

1. In consultation with Transit Connectivity TAC, develop, document and periodically update regional sign Standards.
2. Comply with cost and task responsibilities detailed in Appendix B-2, Attachment 1.

3. Solicit feedback from transit agencies on significant changes to regional policy affecting the 24 hubs through the Transit Connectivity Technical Advisory Committee.
4. As resources permit, provide technical assistance to transit agencies wishing to extend the regional sign Standard to non-regional hubs.
5. Explore opportunities to extend constancy of wayfinding information across modes throughout the region, including through technological and other innovative means.

Appendix B-2, Attachment 1: Hub Signage Program Cost/Task Responsibilities

Hub Signage Operations & Maintenance (O & M)	Task	Cost Responsibility		Task Responsibility	
		Region	Operator	Region	Operator
A. Physical O & M by Sign Type					
1. Directional/Wayfinding Signs (incl. hub identification signs)	a. Annual Operations and Maintenance (O&M) ¹		X		X
	b. Lifecycle Replacement ²		X		X
	c. Ownership ³		X		X
2. Wayfinding Kiosks	a. Annual Operations and Maintenance (O&M) ¹		X		X
	b. Lifecycle Replacement ²		X		X
	c. Ownership ³		X		X
3. Real-Time Transit Signs	a. Annual Operations and Maintenance (O&M) ¹		X		X
	b. Lifecycle Replacement ²	X			X
	c. Ownership ³		X		X
4. Transit Information Displays	a. Annual Operations and Maintenance (O&M) ¹		X		X
	b. Lifecycle Replacement		X		X
	c. Ownership ³		X		X
B. Information Content O & M by Sign Type					
1. Directional/Wayfinding Signs (incl. hub identification signs)	d. Static Information Content		X		X
	d. Printed information content ⁴	X		X	
2. Wayfinding Kiosks	d. Printed information content ⁴	X		X	
	d. Electronic information content	X		X	

¹ Including electricity, cleaning, graffiti removal, and repairs.
² Including planning, procurement, coordination, and installation.
³ Insurance, liability, and warranty claims.
⁴ Including quarterly cleaning of physical sign case.

Appendix B-3 Clipper® Implementation Requirements

This Appendix defines the Commission's expectations of the transit agencies to ensure a successful operation of the Clipper® (formerly TransLink®) system in three sections:

- I. Participation Requirements
- II. Regional Clipper® Communications and Marketing Activities
- III. Fare Media Transition Schedules by Specific Operators

Section I describes general Clipper® implementation requirements for participating operators.

Section II defines expectations for communications and marketing: a program area critical to smooth implementation of a full transition to Clipper® that can only be addressed through a collaborative, regional approach.

Section III establishes the dates by which the transit agencies that are currently operating Clipper® will transition their existing prepaid fare media to Clipper®-only availability.

I. Participation Requirements

The Clipper® fare payment system was procured by MTC and has been implemented, operated and maintained under the Design Build Operate Maintain contract between MTC and Cubic Transportation Systems, Inc. for the Clipper® fare payment system (the current Clipper® Contract). The Clipper® Contract was assigned to Cubic Transportation Systems, Inc. (the current Clipper® Contractor), on July 2, 2009 and has an operating term extending through November 2, 2019. In this role as counterparty to the Clipper® Contract, MTC is sometimes referred to in this Appendix B-3 as the "Contracting Agency." Transit agencies operating Clipper® as their fare payment system are required to enter into the Memorandum of Understanding (MOU) among MTC and the transit agencies operating Clipper®.

The following describes general Clipper® implementation requirements for participating operators. An operator's failure to meet one or more of these requirements may result in non-compliance with Resolution 3866.

1. Implement and operate the Clipper® fare payment system in accordance with the Clipper® Operating Rules, as adopted and amended from time to time in accordance with the MOU. The current Clipper® Operating Rules (updated in June 2012) are incorporated herein by this reference. The Clipper® Operating Rules establish operating parameters and procedures for the consistent and efficient operation of Clipper® throughout the region and are available on MTC's website at <http://www.mtc.ca.gov/planning/tcip/>.
2. Pay its share of costs according to the MOU, including the cost allocation formula set forth in Appendix B to the MOU.
3. Abide by the revenue sharing formula in Appendix B to the MOU.

4. Make its facilities and staff available for implementation and operation of Clipper[®]. Any Operator and the Contracting Agency may agree to an Operator-Specific Implementation Plan, setting forth specific requirements regarding implementation and operation of Clipper[®] for such Operator.
5. Make determinations regarding the placement of Clipper[®] equipment on the Operator's facilities and equipment; perform necessary site preparation; attend Clipper[®] Contractor training on the use of the Clipper[®] equipment; and provide training to employees using the equipment.
6. Implement, operate and promote Clipper[®] as the primary fare payment system for each Operator. Clipper[®]'s primary market is frequent transit riders (i.e., commuters and transit passholders). Operators shall not establish other fare payment systems or fare policies that could deter or discourage these patrons' preference to use Clipper[®]. Operators shall set fares so that fares paid with Clipper[®] are equivalent or lower than fares paid either with cash or other forms of payment.

No new non-Clipper[®] prepaid fare product, other than for promotional, special event or limited-audience—e.g., tourist—fares, shall be created by any transit operator without consulting with and receiving prior approval from MTC.

Nothing in this provision is intended to discourage operators from providing leadership on new technologies or innovations that would offer improvement to fare collection operations or the customer experience. The expectation is that these new initiatives should leverage the attributes and assets of Clipper[®], not compete with Clipper[®] or undermine customers' preference to use Clipper[®].

7. Perform first-line maintenance upon Clipper[®] equipment located on their facilities or vehicles, promptly notify the Clipper[®] Contractor when second-line maintenance of Clipper[®] equipment is needed, promptly notify the Contracting Agency and the Clipper[®] Contractor of any issues affecting daily financial reconciliation or accuracy of system reports, issue all types (including, but not limited to, cards configured as senior or youth) of Clipper[®] cards and add value to existing Clipper[®] cards from all Ticket Office Terminals located at their business facilities, and provide at least the same level of front-line customer service to their patrons using Clipper[®] as to patrons using other forms of fare payment.
8. Sufficiently train and educate agency personnel who have Clipper[®]-related responsibilities so those personnel are able to carry out the requirements placed upon operators in this Resolution.
9. Assist MTC, as necessary, to develop a program for Transit Capital Priorities (TCP) funds for the purpose of procuring and installing end-of-lifecycle Clipper[®] equipment and to submit and administer grants for programmed TCP funds on a "pass-through" basis.

10. Take financial responsibility for replacement of equipment damaged in-service due to vandalism or any other cause not covered by the Clipper® Contract warranty.¹

II. Regional Clipper® Communications and Marketing Activities

1. Effective Date. For operators currently operating the Clipper® system, these Clipper® marketing and communications requirements are effective immediately. For operators not yet operating Clipper®, the requirements are effective two months after MTC's approval of the Clipper® system as Revenue Ready for that operator.
2. General Requirements. Operators shall present Clipper® to customers, employees and media as a fully operational fare payment option. This includes, but is not limited to, identification of Clipper® as a fare payment option in brochures, websites, advertisements, schedules/timetables, email newsletters, internal memos, bulletins and training manuals, and any other materials that describe an operator's fare payment options. Operators shall present Clipper® as an option so that Clipper® has equal or greater prominence than the presentation of other payment options. Each operator shall incorporate and/or modify the presentation of Clipper® in existing brochures, websites, schedules/timetables, etc. whenever the operator next updates the content of these items.

In all cases, operators' marketing and communications about Clipper®, whether in brochures, websites, advertisements or other forms, shall adhere to Clipper® brand guidelines developed by MTC with input from transit operators. The Clipper® Brand Guidelines are available at <https://www.clippercard.com/ClipperWeb/toolbox.do>.

3. Equipment Identification. If not already identified as such, operators shall identify Clipper®-compatible fare payment and Clipper®-compatible vending equipment with a decal or other visual identifier to indicate the equipment's Clipper® compatibility.
4. Operator Training. Operators shall ensure appropriate Clipper®-related training for transit operator staff including, but not limited to, vehicle operators, station agents, conductors, customer service personnel, proof of payment officers, ticket sales staff and any other personnel responsible for interacting with customers concerning payment options.
5. Marketing Coordination. Operators shall participate in the development and implementation of a Clipper® marketing and communications initiative that will begin approximately June 1, 2010. This includes, but is not limited to:
 - Staff participation in the development and implementation of the initiative;
 - Dissemination of Clipper® brochures and/or other information materials on vehicles and/or in stations in a manner consistent with the operator's dissemination of other similar operational information; and
 - Providing information about Clipper® utilizing space available on vehicles and/or in stations that is already used by the operator for dissemination of operational information (space available includes, but is not limited to, car cards, posters, and electronic displays).

¹ During the term of the existing Clipper® Contract, MTC shall procure replacement equipment on an operator's behalf, and operators shall pay for the full cost of the equipment including all installation costs and materials.

6. **Funding.** Funding for the initial phases of the communications and marketing program shall come from the marketing funds already in the Clipper[®] capital budget and previously assigned to individual operators.

III. Fare Media

The tables below set forth *the fare media* that the designated operator shall convert to Clipper[®]-only availability and *the date* by which the operator shall no longer accept such fare media in its existing form. In general, MTC has emphasized with each operator a transition of those fare products which currently represent a significant portion of that operator's boardings.

An operator will be excused from compliance with a transition date requirement for particular fare media, if the Clipper[®] Contractor has not met at least 80% of the cardholder support service level standards set forth in Section B.1.12 of the Clipper[®] Contract for the two calendar months ending one month before the scheduled transition date. The operator's transition date requirement for the affected fare media will be reset to one month after the Clipper[®] Contractor has met at least 80% of the Clipper[®] Contract's cardholder support service level standards for two consecutive calendar months.

AC Transit will transition its existing fare media by the following dates:

Fare Media	Date for Ending Acceptance of Listed Prepaid Fare Media	Comments
EasyPass	Transition complete	
31-Day Transbay Pass – Adult	Transition complete	
Bear Pass (U.C. Berkeley Employee Pass)	Transition complete	
10-Ride Ticket – Youth	Transition complete	
10-Ride Ticket – Adult	Transition complete	
31-Day Local Pass – Youth	Transition complete	
31-Day Local Pass – Adult	Transition complete	
10-Ride Ticket – Senior/Disabled	Transition complete	Product in paper form was effectively eliminated upon transition of Youth 10-Ride Ticket to Clipper®-only.

BART will transition its existing fare media by the following dates:

Fare Media	Date for Ending Sales and/or Acceptance of Listed Prepaid Fare Media	Comments
EZ Rider card as payment for transit	Transition complete	
High Value Discount (HVD) adult magnetic stripe ticket (blue)	12/31/2011	<ul style="list-style-type: none"> • Prior to 12/31/11, BART must discontinue sales of HVD tickets except as noted below; however, BART may continue accepting HVD tickets for fare payment after 12/31/2011. • BART may continue sales of HVD tickets for a limited period of time at seven My Transit Plus locations currently operating in BART stations. This exception shall remain in effect until 60 days after: <ul style="list-style-type: none"> (i) The Clipper® equivalent of HVD tickets becomes available through WageWorks and Edenred USA (parent company of Commuter Check); and (ii) The Clipper® Contractor completes the requirements in Section 2.3 of Clipper® Contract Change Order 122.
Senior magnetic stripe ticket (green)	12/31/2011	<ul style="list-style-type: none"> • Prior to 12/31/11, BART must discontinue sales of green tickets except as noted below; BART may continue accepting green tickets for fare payment after 12/31/2011. • BART may continue sales of green tickets at a limited number of existing sales locations. The number of locations and the length of time sales can continue is subject to mutual agreement by MTC and BART after public comment.
(table continues on following page)		

Fare Media	Date for Ending Sales and/or Acceptance of Listed Prepaid Fare Media	Comments
Youth and disabled magnetic stripe ticket (red)	12/31/2011	<ul style="list-style-type: none"> • Prior to 12/31/11, BART must discontinue sales of red tickets except as noted below; BART may continue accepting red tickets for fare payment after 12/31/2011. • BART may continue sales of red tickets at a limited number of existing sales locations. The number of locations and the length of time sales can continue is subject to mutual agreement by MTC and BART after public comment.
Student magnetic stripe ticket (orange)	Requirement waived	Product not available on Clipper®. Recommend that BART align its definition of youth/student discount with all other operators in region and eliminate this fare product.

Caltrain will transition its existing fare media by the following dates:

Fare Media	Date for Ending Acceptance of Listed Prepaid Fare Media	Comments
Full Fare Monthly Pass	Transition complete	
8-ride Ticket	Transition complete	
Caltrain + Muni Monthly Pass	Transition complete	
Eligible Discount Monthly Pass	Transition complete	
8-ride Eligible Discount Ticket	Transition complete	

Golden Gate Transit and Ferry will transition its existing fare media by the following dates:

Fare Media	Date for Ending Acceptance of Listed Prepaid Fare Media	Comments
\$25 Value Card	Transition complete	
\$50 Value Card	Transition complete	
\$75 Value Card	Transition complete	

San Francisco MTA will transition its existing fare media by the following dates:

Fare Media	Date for Ending Acceptance of Listed Prepaid Fare Media	Comments
Monthly Passes		
Adult BART/Muni Monthly Pass	Transition complete	
Adult Muni Monthly Pass	Transition complete	
Senior Muni Monthly Pass	Transition complete	
RTC/Disabled Monthly Pass	Transition complete	
Youth Monthly Pass	Transition complete	
Visitor/Cable Car		
1 Day Passport	Requirement waived	Product not currently available on Clipper® limited-use (LU) tickets. However, LUs are preferred implementation option.
3 Day Passport	Requirement waived	Product not currently available on Clipper® limited-use (LU) tickets. However, LUs are preferred implementation option.
7 Day Passport	Requirement waived	Product not currently available on Clipper® limited-use (LU) tickets. However, LUs are preferred implementation option.
Ticket Books/Tokens		
Adult Single Ride Ticket Book	Transition complete	
Inter-Agency Transfers		
BART Two-Way Transfer	Transition complete	
BART/Daly City Two-Way Transfer	Transition complete	
Golden Gate Ferry Two-Way Transfer	Transition complete	
Transfers		
Bus Transfers	Requirement waived	MTC and SFMTA are considering alternative strategies that could have a

Fare Media	Date for Ending Acceptance of Listed Prepaid Fare Media	Comments
		similar market share impact, including a fare differential favoring Clipper®
Metro/Subway Transfers	Transition complete	
ADA Transfers	Transition complete	

SamTrans will transition these existing fare media by the following dates:

Fare Media	Date for Ending Acceptance of Listed Prepaid Fare Media	Comments
Local Monthly Pass	Transition complete	SamTrans may continue to distribute paper form of this fare product through the county's social services agencies.
Local SF Monthly Pass	Transition complete	
Express Monthly Pass	Transition complete	
Eligible Discount Monthly Pass—senior/disabled	Transition complete	SamTrans may continue to distribute paper form of this fare product through the county's social services agencies.
Youth Monthly Pass	Transition complete	<ul style="list-style-type: none"> • SamTrans may continue to distribute paper form of this fare product through the county's social services agencies. • "Discount Youth Pass" may continue to be available in paper form through schools for eligible students only.

VTA will transition these existing fare media by the following dates:

Fare Media	Date for Ending Acceptance of Listed Prepaid Fare Media	Comments
Monthly Pass	Transition complete	Paper monthly passes will only be sold to social service agencies and providers, school districts, and nonprofit organizations which distribute the passes free or at a discount.
Monthly Express Pass	Transition complete	Paper monthly express passes will only be sold to social service agencies and providers, school districts, and nonprofit organizations which distribute the passes free or at a discount.
Day Pass Tokens	Transition complete	Day pass tokens will only be sold to social service agencies and providers, school districts, and nonprofit organizations which distribute the passes free or at a discount.

Other Operators

The following are general Clipper® implementation and fare media transition requirements for operators not yet operating Clipper®. Following MTC's approval of the Clipper® system as Revenue Ready for a given operator, MTC will work with the operator to identify more specific fare media transition plans. Unless otherwise approved by MTC, an operator shall (i) begin accepting Clipper® for fare payment by customers no more than two months following MTC's approval of the Clipper® system as Revenue Ready for the operator, and (ii) end acceptance of prepaid non-Clipper® fare media no more than one year following MTC's approval of the Clipper® system as Revenue Ready for the operator.

All of the below-listed operators (the "Phase 3 Operators") are exempt from subsection (ii) of the immediately preceding paragraph for the shorter of (a) the term of the MOU, as it may be extended hereafter, and (b) the term of the existing Clipper® Contract as it may be extended hereafter. For the duration of such exemption, the Phase 3 Operators may continue to accept prepaid non-Clipper® fare media, including passes, tickets and transfers; provided that such Operators continue to comply with Section I.6 and all other applicable provisions of this Appendix B-3.

Phase 3 Operators

Central Contra Costa Transit Authority (County Connection)
City of Fairfield, as the operator of Fairfield and Suisun Transit (FAST)
City of Petaluma, as the operator of Petaluma Transit
City of Santa Rosa, as the operator of Santa Rosa CityBus
City of Vacaville, as the operator of Vacaville City Coach
Eastern Contra Costa Transit Authority (Tri Delta Transit)
Livermore/Amador Valley Transit Authority (LAVTA Wheels)
Marin County Transit District (Marin Transit)
Napa County Transportation and Planning Agency (VINE Transit)
Solano County Transit (SolTrans)
Sonoma County Transit
Union City Transit
Water Emergency Transportation Authority (San Francisco Bay Ferry)
Western Contra Costa Transit Authority (WestCAT)

Appendix B-4 Maintenance of Existing Coordinated Services

The Commission's previously adopted Transit Coordination Implementation Plan (Resolution No. 3055) included a number of coordination programs that were not modified by the Transit Connectivity Plan. Of these, the Commission expects the transit operators to continue to support the following:

1. Regional Transit Connection (RTC) Discount Card Program – Provides identification cards to qualified elderly and disabled individuals for reduced fares on transit. Transit operators and MTC maintain memorandums of understanding about roles and responsibilities for program implementation. The RTC Discount Card is being incorporated into the Clipper® program
2. ADA Paratransit Eligibility Program – Consists of a regional application, a regional eligibility database administered by a transit agency on behalf of the region and universal acceptance across transit systems of all eligibility determinations. Transit operators have flexibility to tailor the application process to screen applicants to facilitate eligibility determinations.
3. Interagency ADA Paratransit Services – Establishes policies to promote a consistent approach to interagency paratransit passenger transfers (see Appendix A-4, Attachment 1).
4. Regional Transportation Emergency Management Plan – The Regional Transportation Emergency Management Plan (formerly know as the Trans Response Plan) is a framework to coordinate transit services during regional emergencies. Transit operators are required to participate in regional exercises to test the implementation of the plan. Transit agencies certify compliance through their annual State Transit Assistance (STA) funding claims process, and also address emergency coordination planning through their Short Range Transit Plans.
5. Regional Links/Express Bus/Feeder Bus Services – Regional Links include bus service across the Bay Bridge, Dumbarton Bridge, the San Mateo Bridge and the Richmond/San Rafael Bridge that has been incorporated into the Express Bus Services program funded with Regional Measure 2 (RM2), and will be monitored per RM2 requirements. Express Bus Services also include Owl Service which operates along the BART rail lines at night when BART is closed. Express feeder bus services to/from BART stations during peak periods are maintained through direct allocation of BART's STA funds to transit agencies as specified in the annual Fund Estimate. If STA is unavailable, BART's General Fund up to \$2.5 million is available to support these services per existing agreement. If additional funding is needed, it will be subject to discussion on an annual basis.

Appendix B-4, Attachment 1 Requirements for Interagency ADA Paratransit Services

Note: Transit operators developed guidelines for interagency ADA paratransit services. MTC adapted these guidelines for the purpose of defining coordination requirements.

Consistent with the Americans with Disabilities Act (ADA) requirement to provide paratransit services that are complementary to fixed-route transit services, Bay Area transit operators have identified a transfer-oriented network of interagency paratransit services. Interagency paratransit trips may require a transfer between connecting paratransit providers at a location specified by the transit operator. The following regional requirements are intended to improve connections between paratransit services for both passengers and paratransit providers. The requirements establish regional protocol for how the system will operate as well as specify the responsibilities of paratransit providers to assure an efficient, user-friendly system.

1. All public transit agencies in the San Francisco Bay Area will honor the regional ADA Eligibility Process [as approved by transit agencies] when certifying an individual for ADA paratransit services.
2. Eligibility for an individual requesting interagency paratransit services will be verified through the ADA Paratransit Regional Eligibility Database.
3. Transit operators will develop and make available customer information on how to access and use interagency paratransit services. This information will be made readily available in accessible formats.
4. Interagency paratransit trips will usually require a transfer between connecting paratransit providers at a location specified by the transit operator. Transit operators will transfer passengers at designated transfer locations that, to the extent possible, are also used as fixed-route transfer sites. For operational efficiency or customer service quality, use of other transfer sites is not precluded. Operators will seek to establish transfer locations that are clean, safe, sheltered and well-lit with accessible telephones and restrooms nearby. Established interagency paratransit transfer locations on transit properties will be clearly marked with a consistent sign designed and adopted at the regional level.
5. For operational efficiency or customer service reasons, transit operators may:
 - transfer passengers to a connecting paratransit provider at a transfer location, including having the passenger wait without assistance until the connecting provider arrives; or
 - provide through-trip service into an adjoining transit agency's service area (not requiring a transfer); or
 - provide transfer assistance to passengers at transfer points (waiting with the passenger until connecting provider arrives); and

- coordinate their schedules and dispatch procedures with connecting provider(s) on the day of service.
6. Coordinating Bay Area interagency paratransit reservations shall be the responsibility of paratransit providers. Subject to availability of rides, a single transit coordinator will be responsible to schedule an interagency paratransit trip (including round-trip service). For trips requiring coordination between only two transit operators, the operator in whose jurisdiction the trip originates will usually perform the function of trip coordinator to schedule the entire trip and to serve as a point of contact for passenger inquiries. For trips involving three or more paratransit providers, a regional trip coordinator may perform these functions.
 7. Transit operators shall accept reservations for interagency paratransit trips according to their local advance reservation policies. When coordinating a trip, the shorter advance reservation period of the connecting agencies will apply. In some cases, the scheduling operator will be unable to determine the availability of a requested interagency paratransit trip until the shortest advance reservation period is open. If, due to differences in advance reservation periods, trip availability cannot be determined at the time the trip is requested, the scheduling operator will inform the passenger of when to call to complete the trip reservation process. In the meantime, the scheduling operator may book available legs of the requested trip according to local advance reservation policies.
 8. Transit operators will charge a fare consistent with each individual operator's fare payment policy. All fares will be communicated to the passenger by the operator scheduling the first leg of the interagency paratransit trip at the time the ride is confirmed. Operators and MTC will work toward a regional fare payment method and/or regional fare policy for paratransit services.

Appendix B-5 Cooperative Demographic and Travel Pattern Transit Rider Survey Program Requirements

This Appendix defines the Commission's expectations of the transit agencies to ensure efficient collection of passenger demographic and travel pattern² information.

The Commission and the transit agencies have a common interest in understanding the demographics and travel patterns of transit riders. Between 2012 and March 2015, Commission staff have carried out transit surveys in partnership with 15 separate transit agencies as part of the Cooperative Demographic and Travel Pattern Transit Rider Survey Program ("Survey Program" henceforth). Collecting this information together is more cost effective than collecting it separately. The resulting consolidated data facilitates across-agency comparisons and analyses.

The key roles and responsibilities of MTC and the transit agencies on the Survey Program are as follows:

Transit agencies will:

1. Participate in the Survey Program when collecting information on transit passenger demographics AND travel patterns together.
2. Contribute to the cost of the agency-specific survey performed as part of the Survey Program. Federally-funded operators not listed below will pay no cost to survey service they provide; the following operators will pay 20 percent of the cost to survey service they provide:
 - Alameda-Contra Costa Transit District;
 - Bay Area Rapid Transit District;
 - Caltrain;
 - Golden Gate Bridge, Highway and Transportation District;
 - San Francisco Municipal Transportation Agency;
 - San Mateo County Transit District; and,
 - Santa Clara Valley Transportation Authority.
3. Contribute a limited number of agency-specific survey questions.
4. Contribute advice and suggestions to the survey procedures including, but not limited to, development of sampling plans, frequency and timing of demographic and travel pattern surveying, instrument design, and recruitment strategies.
5. Share ownership of all work products including raw and processed data.

² Defined here as: (a) the precise location of the trip origin, first transit boarding, last transit alighting, and trip destination; (b) the means of travel between the trip origin and first transit boarding and between the last transit alighting and trip destination; and, (c) the sequence of transit routes used between the first transit boarding and the last transit alighting.

MTC will:

1. Procure consultant resources to carry out the Survey Program.
2. Oversee consultant performance to ensure delivery of high quality products.
3. Contribute to the cost of the Survey Program. MTC will pay 80 percent of the cost to survey service provided by the seven agencies identified in item 2 of the “transit agencies will” list above; MTC will pay 100 percent of the cost to survey service provided by federally-funded transit providers not identified in the above list.
4. Develop a standard set of survey questions (including response options) and update these questions, as needed, in consultation with the transit agencies.
5. Develop and update a set of survey procedures including, but not limited to, development of sampling plans, instrument design, and passenger recruitment strategies.
6. Deliver survey results, including raw data, procedure documentation, and summary reports, to transit agencies in a timely manner.
7. Maintain a database of regional transit rider demographics and travel patterns.
8. Convene a working group to discuss the surveying effort (including the survey procedures) and the timing of surveys relative to capital projects, federal requirements, financial resources, customer service and other agency-led survey efforts, and schedule mark-ups (a.k.a., sign-ups, bid-dates). The group will meet no less than once a year and will develop and maintain a set of Survey Program standard operating procedures that will define operator-specific question allowances, data distribution procedures (including any necessary privacy safeguards), and other details.
9. Share ownership of all work products including raw and processed data.



Eric Lucan, Chair
Marin County Board of Supervisors

May 17, 2023

Melanie Bagby, Vice Chair
Sonoma County Mayors' and Councilmembers Association

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

Kate Colin
Transportation Authority of Marin

SUBJECT: Bicycle and Pedestrian Counters Update

Chris Coursey
Sonoma County Board of Supervisors

Dear Board Members:

Rachel Farac
Transportation Authority of Marin

RECOMMENDATIONS: Information Item

Debora Fudge
Sonoma County Mayors' and Councilmembers Association

SUMMARY:

In August 2022, SMART installed nine bicycle and pedestrian counters on segments of the multi-use pathway. The counter locations were selected with input from the Marin and Sonoma County Bicycle Coalitions and in accordance with grant funding requirements. Since their initial installation, SMART has been monitoring the data to assess pathway utilization and trends, including the volume of users on the pathway, type of user by mode, usage by day of the week, and specific times of day that attract the most travel. The nine counter locations are as follows:

Patty Garbarino
Golden Gate Bridge,
Highway/Transportation District

Barbara Pahre
Golden Gate Bridge,
Highway/Transportation District

Gabe Paulson
Marin County Council of Mayors and Councilmembers

1. **Santa Rosa:** SMART North Station (Guerneville Rd) – College Ave
2. **Santa Rosa:** 6th Street – 8th Street
3. **Santa Rosa:** Hearn Ave – Bellevue Ave
4. **Rohnert Park/Cotati:** Golf Course Drive – SMART Cotati Station
5. **Petaluma:** Southpoint Blvd – Payran St
6. **Novato:** SMART San Marin Station – Rush Creek Place
7. **Novato:** State Access Rd – SMART Hamilton Station
8. **San Rafael:** Rice Drive – Anderson Drive
9. **San Rafael to Larkspur:** Cal Park Tunnel Pathway.

David Rabbitt
Sonoma County Board of Supervisors

Chris Rogers
Sonoma County Mayors' and Councilmembers Association

Mary Sackett
Marin County Board of Supervisors

Eddy Cumins
General Manager

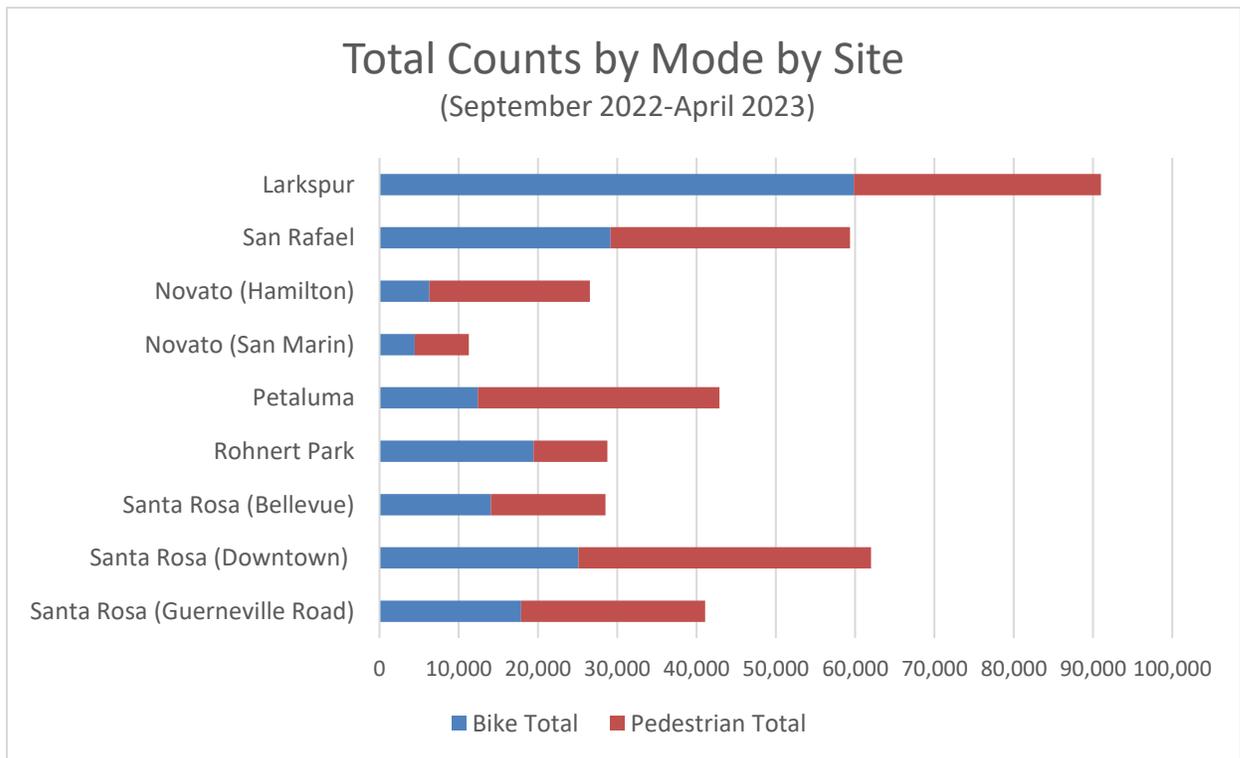
SMART has one additional counter planned for installation in San Rafael on the Lincoln Hill pathway, pending Caltrans approval. Once in operation, SMART will monitor and compare data gathered for this location as well.

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

During SMART's 2020 Listening Sessions and the April 2022 *Planning for the Future – Improving our Pathways* outreach efforts, community comments included the need to track pathway use in order to describe the benefits of the public investment. In addition, the SMART Board reviewed a range of Performance Measures in Spring 2021 and gave staff direction to collect pathway use data as the next step in evaluating SMART's performance. The counters provide SMART with invaluable data to guide future planning and grant applications.

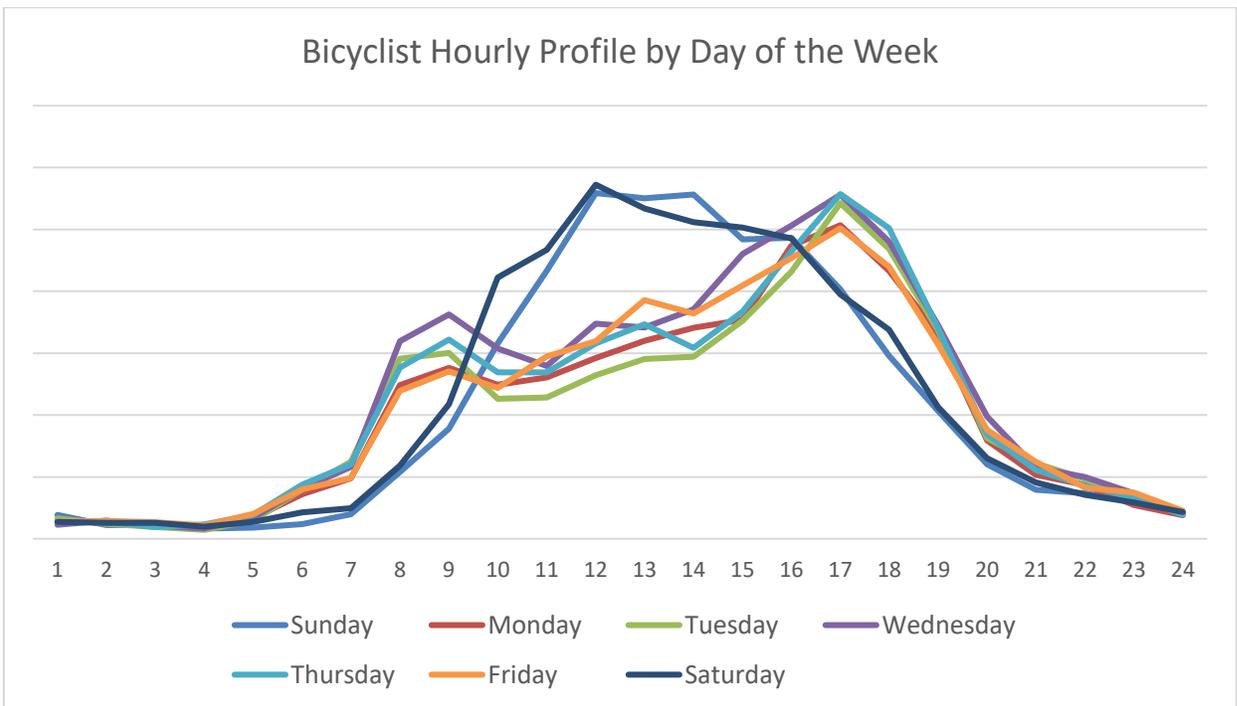
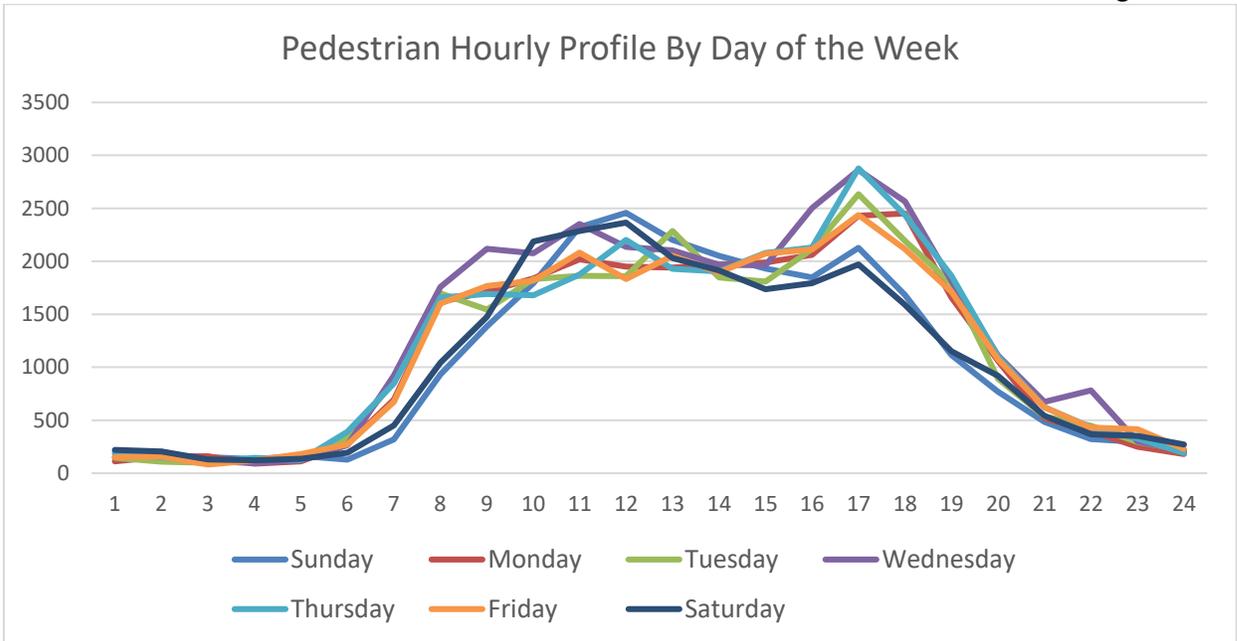
Pathway Data

The last eight months of data reveal trends in pathway usage, including peak period travel time and peak days of the week for travel, mode split between bicyclists and pedestrians, first/last mile connectivity, and seasonal impacts. The chart below details the total daily users between September 2022 and April 2023, differentiated by bicyclist and pedestrian.

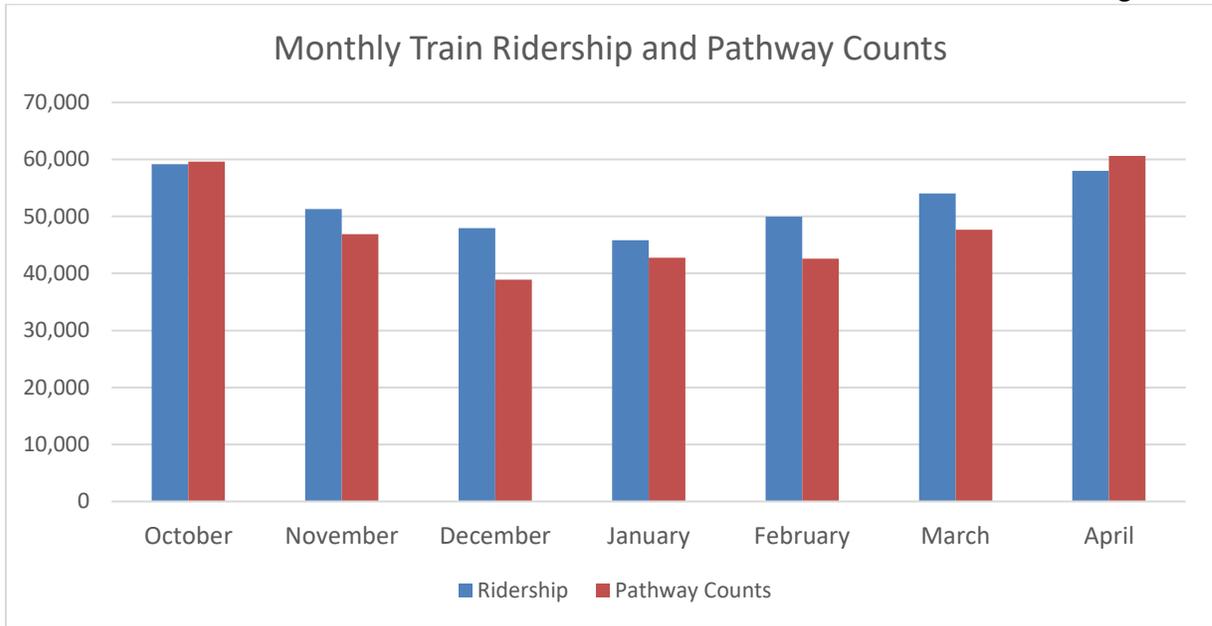


In addition to illustrating the total counts by site location, the graph above also depicts the typical distribution between bicyclist and pedestrian pathway users, and how that distribution varies by location. While some locations have a less balanced distribution between bikes and pedestrians, there is relative parity between modes over the system, with cyclists representing 48% and pedestrians accounting for 52% of total counts.

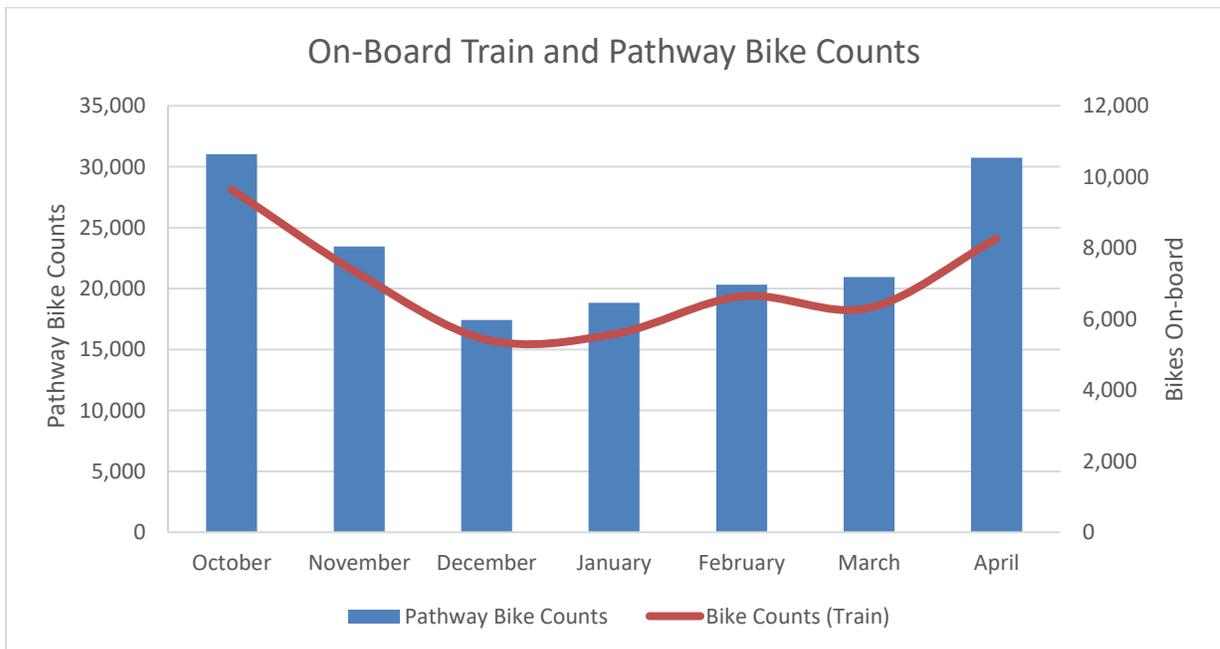
The data indicates that the pathway is serving various trip purposes, with fairly equitable distribution of travel between weekdays and weekends. There is relatively consistent travel throughout the day, starting in the morning around 7:00am and continuing to 7:00pm. Peak hours are mostly consistent by day and by mode, except on the weekends, when the peak hour for cyclists starts at 9:00am and tapers off at 5:00pm.



Month over month trends show that the highest volume of bicycle and pedestrian travel occurred in April, as shown in the chart below. The chart also plots total pathway counts and total ridership counts by month, revealing that pathway usage closely mirrors SMART ridership. The data speaks to how seasonal conditions impact active travel, as monthly pathway counts were down during colder and rainy conditions.



Since their installation, the counters have logged over 391,357 counts, demonstrating the important role that the pathway plays in providing a non-motorized travel route for hundreds of users per day. As part of the railroad system, the SMART multi-use pathway creates a safe path of travel connecting the stations and their communities, addressing critical first last/mile needs. The chart below shows bike counts on the pathway in relation to bikes counted on the train. The parallel trend between these two data points suggests that the pathway is facilitating connectivity to the train for people traveling with their bikes.



Together, the comparison of pathway counts to ridership as well as data comparing pathway bike counts to on-board bike counts makes clear that the pathway is an important multimodal complement to the train; it both provides a first/last mile connection to train and facilitates independent bike and pedestrian trips.

Lastly, SMART looked at the conditions around the three highest count locations at Larkspur, San Rafael, and Downtown Santa Rosa and found three consistent characteristics that may contribute to their higher utilization rates: 1) having a diverse array of attractions and destinations nearby, 2) continuous pathway alignment, and 3) significant connection opportunities offered by bisecting and connecting transportation infrastructure including roadways, transit, bike facilities and trails.

SMART's multi-use pathway is an important component of the SMART's multimodal rail and pathway corridor, as illustrated by the count data. SMART will continue to monitor pathway counts and regularly report back to the Board. Going forward, staff intend to report to the Board on monthly pathway counts by mode.

FISCAL IMPACT: Information only.

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

Respectfully,
/s/
Emily Betts
Principal Planner



Eric Lucan, Chair
Marin County Board of Supervisors

Melanie Bagby, Vice Chair
Sonoma County Mayors' and Councilmembers Association

Kate Colin
Transportation Authority of Marin

Chris Coursey
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General Manager

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www.SonomaMarinTrain.org

May 17, 2023

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

SUBJECT: Add City of Santa Rosa Funding to Fiscal Year 2022/2023 Budget

Dear Board Members:

RECOMMENDATION:

Approve Resolution No. 2023-19 amending Resolution No. 2022-22 increasing expenditure and appropriation authority by \$153,854.80 for design of a street signal at West Third Street and the SMART Pathway Crossing.

SUMMARY:

SMART has a design contract with BKF Engineers to design the pathway improvements from the Joe Rodota Trail West Third Street within our right of way. The City of Santa Rosa would like to put a street signal at West Third Street and the SMART Pathway. Coordinating the design maximizes efficiency and minimizes cost for the City. The City has agreed to pay for the design of the signal at a cost of \$153,854.80 which includes a 10% contingency per City of Santa Rosa Resolution No. RES-2023-045.

FISCAL IMPACT: This budget request has no fiscal impact on SMART. These funds will cover the cost of the work that the City of Santa Rosa is requesting to be done.

Sincerely,

/s/

Heather McKillop
Chief Financial Officer

Attachment(s):

- 1) SMART Resolution No. 2023-19
- 2) Appendix A – Passenger Rail/ Pathway
- 3) City of Santa Rosa Resolution No. RES-2023-045

RESOLUTION OF THE BOARD OF DIRECTORS OF THE SONOMA-MARIN AREA RAIL TRANSIT DISTRICT, STATE OF CALIFORNIA, AMENDING RESOLUTION NO. 2022-22, THE ANNUAL BUDGET FOR FISCAL YEAR 2022-2023 TO PROVIDE FOR REVISED EXPENDITURE AUTHORITY

WHEREAS, as part of its approval of the Annual Budget for Fiscal Year 2022-2023, the Board of Directors considered the annual expenditures necessary for the Sonoma-Marín Area Rail Transit District; and

WHEREAS, on June 15, 2022, the Board adopted Resolution No. 2022-22 approving the annual budget for Fiscal Year 2022-2023; and

WHEREAS, Resolution No. 2022-24 amended Resolution No. 2022-22 providing for revised position authority; and

WHEREAS, Resolution No. 2022-26 amended Resolution No. 2022-22 providing for revised position authority; and

WHEREAS, Resolution No. 2022-28 amended Resolution No. 2022-22 providing for revised position and expenditure authority; and

WHEREAS, Resolution No. 2022-30 amended Resolution No. 2022-22 providing for revised position authority; and

WHEREAS, Resolution No. 2022-32 amended Resolution No. 2022-22 providing for revised position authority; and

WHEREAS, Resolution No. 2022-33 amended Resolution No. 2022-22 providing for revised expenditure and appropriation authority; and

WHEREAS, Resolution No. 2022-35 amended Resolution No. 2022-22 providing for the carry forward of funds from Fiscal Year 2021-22 to Fiscal Year 2022-23; and

WHEREAS, Resolution No. 2022-40 amended Resolution No. 2022-22 providing for revised expenditure and appropriation authority for freight; and

WHEREAS, Resolution No. 2023-08 amended Resolution No. 2022-22 providing for revised expenditure and appropriation authority for passenger; and

WHEREAS, Resolution No. 2023-12 amended Resolution No. 2022-22 providing for revised expenditure and appropriation authority for freight; and

WHEREAS, the City of Santa Rosa desires to pay SMART for the design of a street signal at West Third and the SMART pathway in the amount of \$153,854.80;

Resolution No. 2023-19
Sonoma-Marín Area Rail Transit District
May 17, 2023

WHEREAS, the Board desires to Amend the Annual Budget Resolution No. 2022-22 and all subsequent Resolutions to modify the appropriation and expenditure authority by \$153,854.80;

NOW, THEREFORE, BE IT RESOLVED that expenditure and appropriation authority in Resolution No. 2022-22, Fiscal Year 2022-2023 Annual Budget, Appendix A is hereby amended.

BE IT FURTHER RESOLVED except as specifically amended or supplemented by this Resolution, Resolution No. 2022-22, together with all supplements, amendments, and exhibits thereto is, and shall continue to be, in full force and effect as originally adopted, and otherwise contained herein shall, or shall be construed to, modify, invalidate, or otherwise affect and provision of Resolution No. 2022-22.

PASSED AND ADOPTED at a regular meeting of the Board of Directors of the Sonoma-Marín Area Rail Transit District held on the 17th day of May 2023, by the following vote:

DIRECTORS:

AYES:

NOES:

ABSENT:

ABSTAIN:

Eric Lucan, Chair, Board of Directors
Sonoma-Marín Area Rail Transit District

ATTEST:

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

Appendix A - Passenger Rail/Pathway				
FISCAL YEAR 2022-2023 AMENDED BUDGET : SOURCES AND USES				
		A	B	C
		FY23 Amended	Requested Amended Budget Changes	FY23 Total Amended as of May 17, 2023
1	Beginning Fund Balance *	\$ 37,393,310	\$ -	\$ 37,393,310
2	Revenues			
3	SMART S&U Tax			
4	Measure Q	\$ 51,090,000	\$ -	\$ 51,090,000
5	Federal Funds			
6	5307 - Urbanized Area Formula Funds (Preventative Mtce)	\$ 4,148,529	\$ -	\$ 4,148,529
7	American Rescue Plan	\$ 7,507,797	\$ -	\$ 7,507,797
8	FRA Suicide Prevention Grant	\$ 80,000	\$ -	\$ 80,000
9	Quick Strike (CMAQ) (Pathway Payran to Lakeville)	\$ 806,000	\$ -	\$ 806,000
10	State Funds			
11	STA - State Transit Assistance (Revenue)	\$ 2,291,573	\$ -	\$ 2,291,573
12	STA-State Transit Assistance (Population)	\$ 534,918	\$ -	\$ 534,918
13	SB1 - SRA - State Rail Assistance	\$ 3,700,000	\$ -	\$ 3,700,000
14	LCTOP - Low Carbon Transit Operating	\$ 534,762	\$ -	\$ 534,762
15	State - TIRCP SH 37 Network Integration	\$ 750,000	\$ -	\$ 750,000
16	State - TIRCP Petaluma North In-Fill Station & McDowell Crossing	\$ -	\$ -	\$ -
17	STA-SGR (State of Good Repair)	\$ 318,586	\$ -	\$ 318,586
18	SB1 - Local Partnership Program	\$ -	\$ -	\$ -
19	ATP - SoCo Pathway - CTC/Caltrans/MTC	\$ 2,567,394	\$ -	\$ 2,567,394
20	State - Cap and Trade/ TIRCP DMUs	\$ -	\$ -	\$ -
21	Other Sources			
22	Fare Revenues	\$ 1,600,000	\$ -	\$ 1,600,000
23	Parking	\$ -	\$ -	\$ -
24	Interest Earning	\$ 450,000	\$ -	\$ 450,000
25	Advertising	\$ 100,000	\$ -	\$ 100,000
26	Rent - Real Estate	\$ 266,631	\$ -	\$ 266,631
27	Misc.	\$ 130,000	\$ -	\$ 130,000
28	Charges for Services	\$ 28,235	\$ -	\$ 28,235
29	Sale of Property	\$ 15,000	\$ -	\$ 15,000
30	Other Governments	\$ -	\$ 153,855	\$ 153,855
31	Regional Funds			
32	County Intergovernmental Funds -SCTA Measure M	\$ 1,519,892	\$ -	\$ 1,519,892
33	Total Revenues	\$ 78,439,317	\$ 153,855	\$ 78,593,172
34	Total Revenues + Fund Balance	\$ 115,832,627	\$ 153,855	\$ 115,986,482
35		FY23 Amended	Requested Amended Budget Changes	FY23 Total Amended as of May 17, 2023
36	Debt Service	\$ 15,596,193	\$ -	\$ 15,596,193
37	Salaries & Benefits	\$ 24,620,542		\$ 24,620,542
38	Reduction for Salaries Charged to Projects	\$ (1,104,891)		\$ (1,104,891)
39	Reduction for Allocation of Salaries/ Services/ Supplies to Freight	\$ (197,515)		\$ (197,515)
40	Services & Supplies	\$ 15,873,763	\$ -	\$ 15,873,763
41	Total Salaries, Benefits, Services, & Supplies	\$ 39,191,899	\$ -	\$ 39,191,899
42	Contribution to OPEB/ CalPERS Liability Fund	\$ 500,000	\$ -	\$ 500,000
43	Contribution to Capital Sinking Fund	\$ 2,000,000	\$ -	\$ 2,000,000
44	Self Insured Fund	\$ -	\$ -	\$ -
45	Operating Reserve	\$ -	\$ -	\$ -
46	Total Reserve Contributions	\$ 2,500,000	\$ -	\$ 2,500,000
47	Planning	\$ 675,000	\$ -	\$ 675,000
48	Environmental	\$ 451,350	\$ -	\$ 451,350

49	Total Planning & Environmental	\$ 1,126,350	\$ -	\$ 1,126,350
50	Total Debt Service, Operating, Reserves, Environmental/ Planning	\$ 58,414,442	\$ -	\$ 58,414,442
51	Balance	\$ 57,418,185	\$ 153,855	\$ 57,572,040
52				
53	State of Good Repair			
54	Track, MOW, and Facilities	\$ 634,548	\$ -	\$ 634,548
55	Safety and Security	\$ 477,225	\$ -	\$ 477,225
56	DMU	\$ 1,226,500		\$ 1,226,500
57	Bridges	\$ 226,241	\$ -	\$ 226,241
58	Other Construction	\$ 120,563	\$ -	\$ 120,563
59	Information Technology	\$ 264,500		\$ 264,500
60	Non-Revenue Vehicles	\$ 917,840	\$ -	\$ 917,840
61	Equipment	\$ 85,030		\$ 85,030
62	Total State of Good Repair	\$ 3,952,447	\$ -	\$ 3,952,447
63				
64	Capital Projects			
65	Pathways	\$ 9,871,996	\$ 153,855	\$ 10,025,851
66	Expansion	\$ 2,272,025	\$ -	\$ 2,272,025
67	Land Purchase	\$ 255,000		\$ 255,000
68	Total Capital Expenditures	\$ 12,399,021	\$ 153,855	\$ 12,552,875
69				
70	Future Match for Federal/ State Funds	\$ 2,000,000	\$ -	\$ 2,000,000
71		Total		Total
72	Ending Fund Balance**	\$ 39,066,718	\$ -	\$ 39,066,718

* Excludes Reserves

RESOLUTION NO. RES-2023-045

RESOLUTION OF THE COUNCIL OF THE CITY OF SANTA ROSA APPROVING AND DELEGATING AUTHORITY TO THE CITY MANAGER TO NEGOTIATE AND EXECUTE A DESIGN FUNDING AGREEMENT WITH SMART FOR THE DESIGN OF WEST THIRD STREET SIGNAL AT SMART MULTIUSE PATH CROSSING

WHEREAS, SMART has awarded a design contract with BKF Engineers to design the pathway improvements from the Joe Rodota Trail to West Third Street within their right of way; and

WHEREAS, Capital Projects Engineering (CPE) has determined an economic value in coordinating the path interface and signal project within the same design; and

WHEREAS, coordinating the design will put the City in a position to bid the project sooner, maximizing efficiency and minimizing cost; and

WHEREAS, the City will pay SMART for design services contracted to BKF Engineers in an amount not to exceed \$153,854.80, which includes a 10% contingency amount, from JL 17647.

NOW, THEREFORE, BE IT RESOLVED that the Council of the City of Santa Rosa approves and authorizes the City Manager to negotiate and execute a Design Funding Agreement between SMART and the City of Santa Rosa authorizing the design of the West Third Street signal at the SMART multiuse path crossing in an amount not to exceed \$153,854.80, utilizing the draft agreement attached to this resolution as Exhibit A, subject to approval as to form by the City Attorney.

IN COUNCIL DULY PASSED this 14th day of March, 2023.

AYES: (7) Mayor N. Rogers, Vice Mayor MacDonald, Council Members Alvarez, Fleming, Okrepkie, C. Rogers, Stapp

NOES: (0)

ABSENT: (0)

ABSTAIN: (0)

ATTEST: Dina Manis
City Clerk

APPROVED: Natalie Rogers
Natalie Rogers (Mar 22, 2023 20:24 HST)
Mayor

APPROVED AS TO FORM: Sue Gallagher
Sue Gallagher (Mar 22, 2023 17:06 PDT)
City Attorney

Exhibit A – Design Funding Agreement between Sonoma-Marín Areal Rail Transit District and City of Santa Rosa

DESIGN FUNDING AGREEMENT

SONOMA-MARIN AREA RAIL TRANSIT DISTRICT AND CITY OF SANTA ROSA TRAFFIC SIGNAL DESIGN AT THE W. 3RD STREET GRADE CROSSING

THIS FUNDING AGREEMENT ("Agreement") is entered into as of _____, 20___, by and between the **SONOMA-MARIN AREA RAIL TRANSIT DISTRICT (SMART)**, a public entity duly established under the laws of California (District), and **CITY OF SANTA ROSA**, a municipal corporation (City).

Recitals

- A. The SMART rail corridor, historically known as the Northwestern Pacific Railroad Authority (NWPRA), generally parallels Highway 101 running north-south in Sonoma and Marin Counties. The corridor is owned by the District from Milepost (MP) 89.9 in Cloverdale southward to MP 11.4 in Corte Madera.
- B. District has completed California Environmental Quality Act (CEQA) review and designed and constructed a passenger rail service, Stations and accompanying multi use path along an approximately 45-mile existing rail corridor which will eventually extended to 70-miles from Cloverdale in Sonoma County, California, to Larkspur, Marin County, California (the "SMART Rail and Pathway Project"). Santa Rosa has determined that the addition of a signal would be CE.
- C. The District was awarded a construction grant to improve pedestrian access to the Santa Rosa Downtown SMART Station. This grant includes the construction of SMART's non-motorized pathway from Joe Rodota Trail to W. 3rd Street in Santa Rosa which includes the completion of the sidewalk on the south side of W. 3rd Street adjacent to SMART's property ("Pathway Project").
- D. The City was awarded a grant for City's improvements to the W. 3rd Street grade crossing consisting of adding a traffic signal, crosswalk, median, and completing the sidewalk on the north side of W. 3rd Street ("Grade Crossing Project").
- E. The two projects have a nexus on the south side of W. 3rd Street allowing pedestrians to access the SMART Santa Rosa Downtown Station from the existing Joe Rodota Trail.
- F. SMART executed the Marin – Sonoma Non-Motorized Pathway Design and Permitting Project Contract to BKF Engineers (CV-DB-21-003). The contract includes the design and permitting of seven (7) segments of pathway in Marin and Sonoma Counties, one (1) of which is the Pathway Project.
- G. The City has requested that in conjunction with the District's design work, SMART consider performing or causing to be performed certain additional design work for the city in order to better integrate and coordinate the Projects.
- H. SMART is interested in increasing coordination between the two projects and supports the City's desire to coordinate the design projects.

- I. The parties desire to enter into this Project Funding Agreement to provide a complete design of the W. 3rd Street improvements ("Project").
- J. The City is committed to fully funding and paying for the design and permitting of the City's Grade Crossing Project. The parties desire to enter into this Project Funding Agreement so that the City's project can be incorporated as a separate standalone task into an existing SMART design contract, at the City's sole cost and expense.
- K. The City acknowledges and agrees that the City's Grade Crossing Project, its design, specifications, subsequent approval and implementation is a separate stand alone City project and SMART is not responsible for and does not warrant, guaranty, or make any determination regarding the suitability of the City's Grade Crossing Project. The approval and responsibility for the City's Grade Crossing Project design and implementation rest solely with the City.
- L. The City, through this project funding agreement, has agreed to pay all costs associated with the design and permitting of the Grade Crossing Project which is estimated to cost \$153,854.80 and includes 10% contingency as shown in Exhibit B.

Agreement

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

1. RECITALS

- A. The above recitals are true and correct and are hereby incorporated in and expressly form a part of this Agreement.

2. COORDINATION

- A. District's and City's Representative for purposes of this Agreement shall be:

District
 Bill Gamlen
 Chief Engineer
 Sonoma - Marin Area Rail Transit (SMART)
 5401 Old Redwood Highway, Suite 200
 Petaluma, California 94954
 Phone: 707.794.3330
 Email: bgamlen@sonomamarintrain.org

City
 Jason Nutt
 Director – Transportation & Public Works
 City of Santa Rosa
 69 Stony Circle
 Santa Rosa, CA
 Phone: 707.543.3895
 Email: jnutt@srcity.org

3. SCOPE OF WORK

- A. Proposed Improvements: Design of a signalized grade crossing and completion of the north side sidewalk on W. 3rd Street in Santa Rosa. A concept sketch depicting the improvements is included as Exhibit A. The work will include design of a new traffic signal, an exit gate for westbound traffic, sidewalk completion on the north side including curb ramps for the new crosswalk, crosswalk, a new median, completion of

a draft CEQA Categorical Exemption (CEQA CE) that is ready for the City's review, approval, and delivery to the appropriate agency, and lane line changes to incorporate a new median (Grade Crossing Project).

4. DISTRICT'S RESPONSIBILITIES

District agrees to perform the following:

- A. Management: The District shall manage the Project design. This will include modifying SMART current contract with BKF Engineers to implement the Project.
- B. Design: District shall direct its design consultant, BFK Engineers, to develop design and construction documents as necessary for future construction of the Project.
- C. Crossing Authority: The District shall prepare and submit a General Order 88B Application (GO-88B) request to alter an existing grade crossing to the California Public Utilities Commission (CPUC).
- D. Contracting:
 - i. District shall cause the work contemplated herein to be let in accordance with District's rules and procedures and all applicable laws, rules and regulations which shall be part of the larger SMART "Marin-Sonoma Non-Motorized Pathway Design and Permitting" project as an additive task to the existing contract.
 - ii. District shall invoice the City on a monthly basis for the work performed. The parties hereto understand and agree that at the time of the execution of this Agreement, the City has available and appropriated funding as defined in Exhibit B.
- E. City Review of City's Project Documents: The District shall cause to be prepared and submit the following documents to the City for review and approval:
 - i. Site layout plan depicting all warning devices, conduits, pull boxes, crossing panels, tactile warning strips, traffic signals, fencing, and associated path of travel changes.
 - ii. GO-88B application.
 - iii. Draft CEQA Categorical Exemption.

5. CITY'S RESPONSIBILITIES

City agrees to supply the following:

- A. Environmental Clearance:

i. CEQA Clearance

1. The City shall be responsible for securing CEQA clearance, including but not limited to, the costs associated with any environmental clearance, analysis, compliance documentation, permits or other entitlements as may be required under CEQA (collectively "environmental clearances").

2. The cost of a draft CEQA Categorical Exemption that will be ready for the City's review, approval, and delivery to the appropriate agency has been included in the Design Consultant's scope of work for the Grade Crossing Project. Any additional work for the Grade Crossing Project would be an additional cost at the City's expense.

- B. Contract: The City agrees that the City's design project will be incorporated into the District's design contract "Marin-Sonoma Non-Motorized Pathway Design and Permitting" contract as an additive task order (CV-DB-21-003).
- C. Payment: The City shall fund the total cost of the City's Grade Crossing Project within 30 days of receipt of an invoice from the District.
- D. City Review Project Documents: The City shall promptly review all design details and will have 14 calendar days to review and respond to submittals from the District related to the City's Grade Crossing design Project. If no comments are received within 14 calendar days, the documents and designs details will be deemed approved.
- E. Changes: The City shall be solely responsible for all costs resulting from any changes initiated by the City, (including, but not limited to changes required by regulators) or resulting from differing site conditions with respect to the Grade Crossing design Project

6. **ADDITIONAL REQUIREMENTS**

A. Amendments to Agreement

This Agreement may be amended only by the mutual written consent of both parties.

B. Indemnification

Each party shall indemnify, defend, protect, hold harmless, and release the other, its officers, agents, and employees, from and against any and all claims, loss, proceedings, damages, causes of action, liability, costs, or expense (including attorneys' fees and witness costs) arising from or in connection with, or caused by any act, omission, or negligence of such indemnifying party. This indemnification obligation shall not be limited in any way by any limitation of the amount or type of acts, disability benefit acts, or other employee benefit acts.

C. Termination

Either party may terminate this Agreement by giving 30-days prior written notice to the other party, in the manner described in Section 7.D of this Agreement of its intent to terminate. City shall pay District for all expenses associated with the proportion of work completed as of the termination date.

D. Notice

Unless otherwise requested by a party, all notices, demands, requests, consents or other communications which may be or are required to be given by either party to the other shall be in writing and shall be deemed effective upon service. Notices shall be deemed to have been properly given when served on the party to whom the same is to be given by hand delivery or by deposit in the United States mail addressed to the party as follows:

District: Bill Gamlen, P.E.
Chief Engineer
Sonoma-Marín Area Rail Transit District
5401 Old Redwood Highway
Petaluma, CA 94954

City: Jason Nutt, P.E.
Director – Transportation and Public Works
City of Santa Rosa
69 Stony Circle
Santa Rosa, CA

When a notice is given by a generally recognized overnight courier service, the notice, invoice or payment shall be deemed received on the next business day. When a notice or payment is sent via United States Mail, it shall be deemed received seventy-two (72) hours after deposit in the United States Mail, registered or certified, return receipt requested, with the postage thereon fully prepaid. In all other instances, notices, and payments shall be effective upon receipt by the recipient. Changes may be made in the names and addresses of the person to whom notices are to be given by giving notice pursuant to this paragraph.

E. Governing Law

This Agreement shall be governed by and construed in accordance with the laws of the State of California. Venue shall be the County of Sonoma.

F. Entire Agreement

This instrument contains the entire agreement between the parties, and no statement, promise, or inducement made by either party or agents of the parties that is not contained in this written contract shall be valid or binding; and this contract may not be enlarged, modified, or altered except in writing signed by the parties.

G. Authority of City

The undersigned hereby represents and warrants that he or she has authority to execute and deliver this Agreement on behalf of City.

H. No Waiver of Breach

The waiver by any of the Parties of any breach of any term or promise contained in this Agreement shall not be deemed to be a waiver of such term or provision or any subsequent breach of the same or any other term or promise contained in this Agreement.

I. Time of Essence

Time is and shall be of the essence of this Agreement and every provision hereof.

J. Construction

To the fullest extent allowed by law, the provisions of this Agreement shall be construed and given effect in a manner that avoids any violation of statute, ordinance, regulation, or law. The parties covenant and agree that in the event that any provision of this Agreement is held by a court of competent jurisdiction to be invalid, void, or unenforceable, the remainder of the provisions hereof shall remain in full force and effect and shall in no way be affected, impaired, or invalidated thereby. City and SMART acknowledge that they have each contributed to the making of this Agreement and that, in the event of a dispute over the interpretation of this Agreement, the language of the Agreement will not be construed against one party in favor of the other. City and SMART acknowledge that they have each had an adequate opportunity to consult with counsel in the negotiation and preparation of this Agreement.

K. Consent

Wherever in this Agreement the consent or approval of one party is required to an act of the other party, such consent or approval shall not be unreasonably withheld or delayed.

L. No Third-Party Beneficiaries

Nothing contained in this Agreement shall be construed to create and the parties do not intend to create any rights in third parties.

M. Captions

The captions in this Agreement are solely for convenience of reference. They are not a part of this Agreement and shall have no effect on its construction or interpretation.

N. Acceptance of Electronic Signatures and Counterparts

The parties agree that this Contract, Agreements ancillary to this Contract, and related documents to be entered into this Contract will be considered executed when all parties have signed this Agreement. Signatures delivered by scanned image as an attachment to electronic mail or delivered electronically through the use of programs such as DocuSign must be treated in all respects as having the same effect as an original signature. Each party further agrees that this Contract may be executed in two or more counterparts, all of which constitute one and the same instrument.

IN WITNESS WHEREOF, the District and the City have executed this Agreement as of the date first above written.

CITY OF SANTA ROSA:

SONOMA-MARIN AREA RAIL TRANSIT DISTRICT:

By: 
Maraskeshia Smith (Apr 24, 2023 12:19 PDT)
Maraskeshia Smith, City Manager

By: 
Eddy Cumins (Apr 20, 2023 13:02 PDT)
Eddy Cumins, General Manager

APPROVED AS TO FORM:

APPROVED AS TO FORM FOR DISTRICT:

By: 
Jessica Mullan (Apr 24, 2023 10:15 PDT)

By: 
Thomas Lyons (Apr 20, 2023 09:58 PDT)
Tom Lyons, SMART Counsel

EXHIBIT A

CONCEPTUAL DESIGN

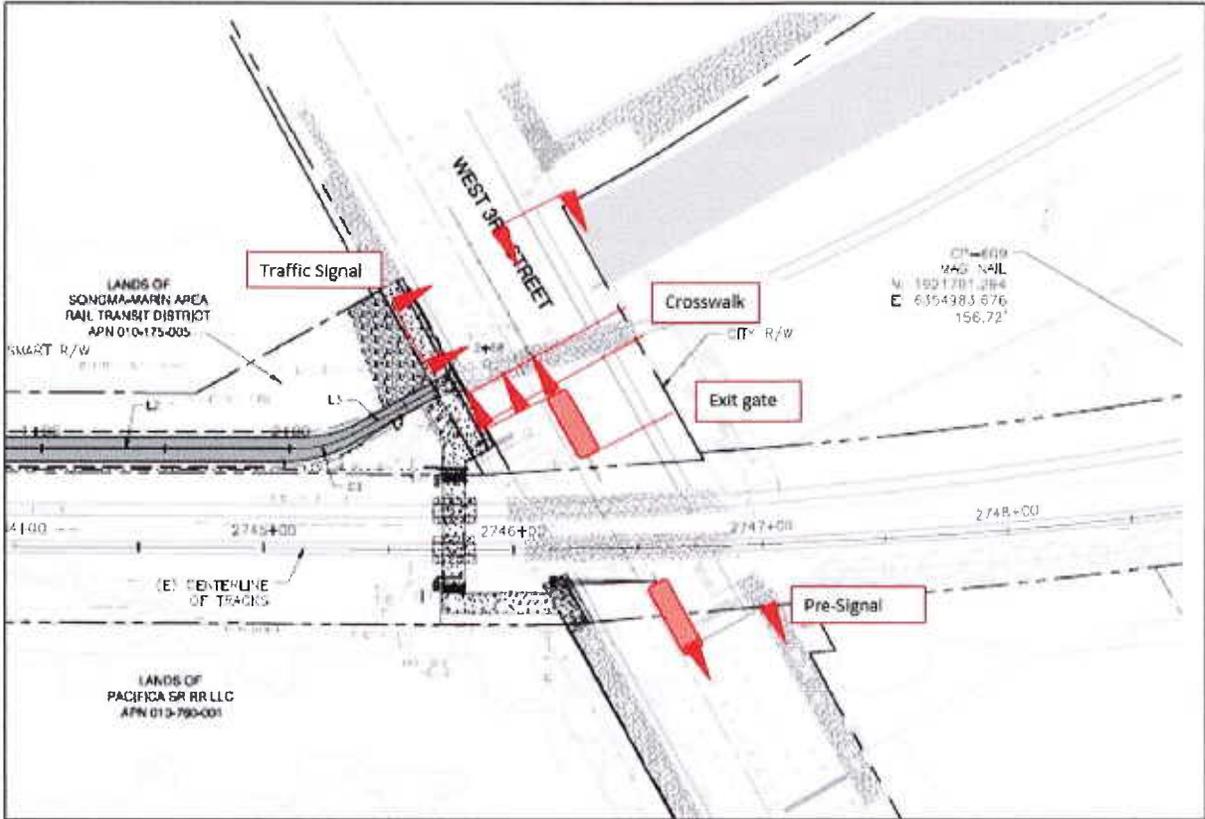


EXHIBIT B

FEE SCHEDULE

Description	Amount
Design*	\$139,868.00
Contingency (10%)	\$13,986.80
Total	\$153,854.80

*See Exhibit C for more details.

EXHIBIT C

BKF ENGINEERS' PROPOSAL



Alexandra Majoulet, Associate Engineer
Sonoma-Marin Area Rail Transit Dist.
5401 Old Redwood Highway, Suite 2000
Petaluma, CA 94954
Transmitted Via Email

**Subject: SMART Sonoma-Marin Non-Motorized Pathways
Additional Service Request
3rd Street Crossing and Sidewalk Gap Closure, Santa Rosa**

Alexandra:

BKF Engineers welcomes the opportunity to submit this proposal for additional services related to the on-going non-motorized pathway design at Segment 3 / 3rd Street Santa Rosa. We understand that SMART is interested in exploring an adjustment to the project scope to include additional elements originally planned to be designed and constructed by the City of Santa Rosa. These elements generally include a traffic signal at the new 3rd Street grade crossings; approximately 200-feet of sidewalk gap closure on the north side of 3rd Street; and a new pedestrian track crossing. As this work will need to be closely interfaced with the design that has been progressing for the original Segment 3 work limits (Joe Rodota Trail to 3rd Street) we anticipate this additional work becoming part of the same Segment 3 design package. Design of these new elements would be progressed up to the 75% milestones, then would be combined with our already-completed work on the south side of 3rd Street and advanced as a uniform project through Issued for Construction (IFC) level of completion. Below is our proposed scope of services for this additional design and coordination work.

I. SCOPE OF SERVICES

TASK 1: DATA COLLECTION, SITE ANALYSIS AND CONCEPTUAL DESIGN

Task 1.1: Project Management

The objective of this task is to track the project scope, budget, and schedule to ensure project goals are being met and work is monitoring and coordinated to meet SMART's requirements.

Routine project check-in meetings with SMART will be held to review progress, identify action items, and discuss items of work requiring direction from SMART. To keep SMART apprised on the status of the project, we are proposing to hold these check-in meetings once every two weeks. A check-in meeting will be used to review our milestone submittal with SMART. An agenda for each meeting will be circulated in advance of the meeting. Meeting minutes and project action logs will be completed and released after each meeting.

Additionally, periodic **project development team coordination meetings** will be held with the goal of discussing status across the disciplines, identifying critical project information needs, and monitoring workflow.

Preparation of **monthly reports** will be undertaken by the Project Manager to document current and projected budget, schedule, and critical path items that need to be addressed to minimize impacts to the project. This report will coincide with our monthly invoices.

- ❖ Deliverables:
 - *Meeting Agendas, Minutes, and Action Logs*
 - *Monthly Progress and Performance Reports*
 - *Monthly Invoices*

Task 1.2: Topographic Survey

BKF will collect supplemental topographic survey at and around new track grade crossing. BKF will utilize topographic survey data that was previously collected for an adjacent develop to further supplement our topographic mapping. At the conclusion of the survey data collection, BKF will coordinate with Cinquini and Passarino, Inc. (CPI) to stitch the new topographic data into the existing SMART AutoCAD topo tile network. The updated topo tile(s) will be utilized as a background for our design drawings.

- ❖ Deliverables:
 - *Updated AutoCAD Topo Tiles*

Task 1.3: Traffic Data Research

The project team will coordinate with local agencies to obtain historical traffic data for the affected project corridors and the nearby project intersections. The Alta team plans to review this data to identify peak periods and trends with respect to trip origin/destination and utilize this information to inform signal timing design.

Task 1.4: Conceptual Layout and Site Review Meeting

To ensure that the project design is developed in line with City and SMART expectations, an initial **10 percent design layout** of the conceptual improvements will be developed based on our understanding of the project intent. Following the development of the conceptual layout, BKF will coordinate a site meeting with City and SMART to review the concept relative to the site conditions. Input received during this site meeting will be incorporated into the layout to be used for future design milestones.

- ❖ Deliverables:
 - *10 Percent Design Layout*

Task 2: 50 Percent Design Level Package

Following review and comments on the 10 percent design layout, BKF will progress the design into the **50 percent design drawings** of the proposed improvements, including the grade crossing over 3rd Street, the 3rd Street traffic signal, approximately 200-feet of sidewalk gap closure improvements on the north side of 3rd Street, and the track crossing improvements. We will coordinate with the team and verify that the proposed plan conforms to existing conditions, boundary, and site constraints. BKF will verify, based on the available record information, if there are any identifiable conflicts between proposed and existing improvements or any conflicts with the existing Right of Way limits. Drawings will illustrate pathway and sidewalk grading, drainage improvements, grade crossing layout and grading, and structural retaining wall design. The design team will coordinate with the City of Santa Rosa regarding potential larger signal corridor impacts caused by potential proposed timing changes required to support the new signalized pedestrian crossing. Any exceptions to the SMART Design Criteria Manual will be documented in memorandum format and reviewed with SMART. Grade crossing drawings produced at this milestone will be suitable for initial presentation to the CPUC.

Drawings will be established following SMART's Design Criteria Manual and utilizing the applicable standard designs shown in SMART's Reference Drawings. The formatting of the drawings will be in conformance with SMART's CADD Manual.

BKF will prepare a **50 percent Engineer's Estimate** of the probable construction costs associated with the project. Additional supporting materials will be provided at this milestone and will include a **pothole plan**, a **utility composite plan** and **utility relocation matrix**.

Draft **Signal Pre-Emption Calculations and Traffic Model Output** for the street crossing location will be developed along with the signal design plans.

- ❖ Deliverables:
 - *50 Percent Design Drawings and Calculations*
 - *50 Percent Engineer's Estimate*
 - *Draft Pothole Plan*
 - *Draft Utility Composite Plan*
 - *Draft Utility Relocation Matrix*

Task 3: 75 Percent Design Level Package

BKF will expand and finalize the **75 percent design drawings** based on feedback received from the SMART following review of the 50 percent design submittal. It is our understanding that these documents will be used by SMART to coordinate a site diagnostics meeting with CPUC to review the grade crossings; as such the documents will be detailed to the level required by the CPUC. The **site diagnostics meeting** will occur during the preparation of the 75 percent design drawings.

BKF will prepare preliminary **hydrology and hydraulics calculations** and submit our findings in memorandum format.

BKF and the sub-consultant team will prepare a **75 percent Technical Specification Package** for elements included in our scope of work to supplement SMART's standard specifications.

- ❖ Deliverables:
 - *75 Percent Design Drawings and Calculations*
 - *75 Percent Engineer's Estimate*
 - *75 Percent Technical Specification Package*
 - *CPUC Site Diagnostics Meeting Exhibits*
 - *Draft Pothole Plan*
 - *Draft Utility Composite Plan*
 - *Draft Utility Relocation Matrix*

Task 4: 95 Percent Design Level Package

BKF will expand and finalize the **95 percent design drawings** based on feedback received from the SMART following review of the 75 percent design submittal. It is our understanding that these documents will be used by SMART to perform the bidding process; as such the documents will be detailed to the level required by the contractor to bid and construct. The **GO-88B application** will be submitted concurrent with the preparation of the 95 percent design documents.

BKF will finalize the **hydrology and hydraulics calculations** and submit our findings in memorandum format. BKF and the sub-consultant team will prepare a **95 percent Technical Specification Package** for elements included in our scope of work to supplement SMART's standard specifications. These specifications can be used during project bidding. BKF will prepare a **95 percent Engineer's Estimate** of the probable construction costs associated with the project. Additional supporting materials will be provided at this milestone and will include a **pothole plan**, a **utility composite plan** and **utility relocation matrix**. Final **Signal Pre-Emption Calculations and Traffic Model Output** for the street crossing location will be developed along with the signal design plans.

- ❖ Deliverables:
 - *95 Percent Design Drawings and Calculations*
 - *95 Percent Engineer's Estimate*
 - *95 Percent Technical Specification Package*
 - *Final Pothole Plan*

- *Final Utility Composite Plan*
- *Final Utility Relocation Matrix*

Task 5: IFC Design Level Package

The **Issued for Construction Drawings** will capture any updates made during the bidding process to address questions or incorporate feedback received from the bidding Contractors and from SMART. BKF and the sub-consultant team will finalize the technical specifications to develop **Issued for Construction Technical Specification Package**. Updates to the technical specification package will be based on any modifications that were identified during the bidding phase.

- ❖ Deliverables:
 - *Issued for Construction Drawings*
 - *Issued for Construction Technical Specification Package*

II. SCHEDULE

We are ready to proceed with these services immediately upon authorization.

III. FEES FOR PROFESSIONAL SERVICES

BKF proposes to provide the services on a lump sum basis. We will invoice for our services on a percent complete basis per task summarized as follows:

Task	Description	Fee
1	Data Collection, Site Analysis and Conceptual Design	\$ 23,385
2	50% Design Level Package	\$ 36,457
3	75% Design Level Package	\$ 30,186
4	95% Design Level Package	\$ 32,691
5	IFC Design Level Package	\$ 16,648
Total Labor Fee		\$139,368

Reimbursable expenses are anticipated for reproduction, mileage, express and messenger deliveries, and computer deliverable plots. Reimbursable expenses are included in the fee above.

For tasks requested by SMART, The City or CPUC not defined in this scope of services, BKF will identify them as potential extra work. We can provide a scope and fee for these items or they may be tracked separately as extra work and billed on a time and materials per our attached rate schedule.

BKF will provide our services consistent with the professional skill and care ordinarily provided by consultants practicing in the same locality under similar circumstances. Our services shall be limited to those expressly summarized in this proposal and we shall have no other obligations or responsibilities, unless otherwise agreed upon.

Should you have any questions, or would like additional clarification on any aspect of the scope of work, please feel free to contact me at 415-930-7964.

Respectfully,
BKF Engineers

JASON NICHIMADIMI, PE, PLS, QSD/P
 Vice President

CC - RES-2023-045 (03-14-2023)

Final Audit Report

2023-03-27

Created:	2023-03-15
By:	Lauren Wiley (lwiley@srcity.org)
Status:	Signed
Transaction ID:	CBJCHBCAABAA10sgG7dQnMxbi7icKi6_k95orjO65Gt5

"CC - RES-2023-045 (03-14-2023)" History

-  Document created by Lauren Wiley (lwiley@srcity.org)
2023-03-15 - 9:26:10 PM GMT
-  Document emailed to Sue Gallagher (sgallagher@srcity.org) for signature
2023-03-15 - 9:27:07 PM GMT
-  Document e-signed by Sue Gallagher (sgallagher@srcity.org)
Signature Date: 2023-03-23 - 0:06:48 AM GMT - Time Source: server
-  Document emailed to Natalie Rogers (nr Rogers@srcity.org) for signature
2023-03-23 - 0:06:49 AM GMT
-  Email viewed by Natalie Rogers (nr Rogers@srcity.org)
2023-03-23 - 6:23:42 AM GMT
-  Document e-signed by Natalie Rogers (nr Rogers@srcity.org)
Signature Date: 2023-03-23 - 6:24:11 AM GMT - Time Source: server
-  Document emailed to Dina Manis (dmanis@srcity.org) for signature
2023-03-23 - 6:24:12 AM GMT
-  Email viewed by Dina Manis (dmanis@srcity.org)
2023-03-23 - 2:50:41 PM GMT
-  Document e-signed by Dina Manis (dmanis@srcity.org)
Signature Date: 2023-03-27 - 5:04:13 PM GMT - Time Source: server
-  Agreement completed.
2023-03-27 - 5:04:13 PM GMT

Names and email addresses are entered into the Acrobat Sign service by Acrobat Sign users and are unverified unless otherwise noted.

 SMART Pathway Design and Permitting (BKF No. 210237) ADDITIONAL SERVICES 3rd Street, Santa Rosa		Fee
Task	Description	
SEGMENT 3a - 3rd St. Crossing and North Side Improvements		
1	DATA COLLECTION, SITE ANALYSIS AND CONCEPTUAL DESIGN	
1	Project Management	\$ 6,766
2	Topographic Survey	\$ 8,055
3	Traffic Data Research	\$ 2,499
5	Conceptual Layout and Site Meeting	\$ 6,066
1 DATA COLLECTION, SITE ANALYSIS AND CONCEPTUAL DESIGN Subtotal:		\$ 23,385
2	50% DESIGN LEVEL PACKAGE	
1	Project Management	\$ 6,392
2	50 Percent Design and Supporting Docs	\$ 30,066
2 50% DESIGN LEVEL PACKAGE Subtotal:		\$ 36,457
3	75% DESIGN LEVEL PACKAGE	
1	Project Management	\$ 4,692
2	75 Percent Design and Supporting Docs	\$ 25,494
3 75% DESIGN LEVEL PACKAGE Subtotal:		\$ 30,186
4	95% DESIGN LEVEL PACKAGE	
1	Project Management	\$ 6,392
2	95% Design and Supporting Docs	\$ 26,300
4 95% DESIGN LEVEL PACKAGE Subtotal:		\$ 32,691
5	IFC DESIGN LEVEL PACKAGE	
1	IFC Design Level Package	\$ 16,648
5 IFC DESIGN LEVEL PACKAGE Subtotal:		\$ 16,648
Total Additional Fee		\$ 139,368



May 17, 2023

Eric Lucan, Chair
Marin County Board of Supervisors

Melanie Bagby, Vice Chair
Sonoma County Mayors' and Councilmembers Association

Kate Colin
Transportation Authority of Marin

Chris Coursey
Sonoma County Board of Supervisors

Rachel Farac
Transportation Authority of Marin

Debora Fudge
Sonoma County Mayors' and Councilmembers Association

Patty Garbarino
Golden Gate Bridge,
Highway/Transportation District

Barbara Pahre
Golden Gate Bridge,
Highway/Transportation District

Gabe Paulson
Marin County Council of Mayors and Councilmembers

David Rabbitt
Sonoma County Board of Supervisors

Chris Rogers
Sonoma County Mayors' and Councilmembers Association

Mary Sackett
Marin County Board of Supervisors

Eddy Cumins
General Manager

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

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

SUBJECT: Approve increase in contract for Oracle Licenses and extend the period from February 28, 2024 to June 30, 2024

Dear Board Members:

RECOMMENDATIONS:

Approve increase in contract for Oracle Licenses from \$108,899.25 to \$211,514.74 and extend the period from February 28, 2024 to June 30, 2024.

SUMMARY:

SMART utilizes Oracle Fusion as our financial management system and our financial system of record. Prior to Fiscal Year 2023, Oracle was used for its general ledger and utilized some features in accounts payable and accounts receivable; however, most of our processes were manual. Manual processes are tedious, time consuming, subject to error, and leave little time for actual financial analysis and review.

Next month we will be implementing automation of our procurement process, which will further strengthen the transparency and accountability controls within this process. As SMART grows and the number of grants and reporting requirements increase, we also need a more robust way of tracking grants and project costs. Currently, it is done on multiple spreadsheets. Oracle offers a projects and grants module that will enable us to track project expenditures and tie those projects to funding sources and specific grants. The additional cost is to add the projects and grants module under SMART's existing Master Public Agency Agreement, add users to the system, and extend the contract term from February 28, 2024 to June 30, 2024 to align with our Fiscal Year.

FISCAL IMPACT: The existing Oracle ordering document was executed in February and was presented as part of the General Manager's report on February 15, 2023. SMART's current cost is \$9,075/ month. The revised cost for the additional modules and features is \$15,691/month or a monthly increase of \$6,616/month. For Fiscal Year 2023, the increased cost is \$9,924 which is available in the Fiscal Year 2023 budget. The additional cost for Fiscal Year 2024 is \$79,392 which has been included in the Draft Fiscal Year 2024 budget.

Sincerely,
/s/
Heather McKillop
Chief Financial Officer

- Attachment(s): 1) Existing Oracle Ordering Document dated Dec. 12, 2022
2) Proposed Oracle Ordering Document dated May 4, 2023

ORDERING DOCUMENT

Oracle America, Inc.
500 Oracle Parkway
Redwood Shores, CA
94065

Name	Sonoma Marin Area Rail Transit	Contact	Ken Hendricks
Address	5401 Old Redwood Hwy Ste 200 Petaluma CA 94954	Phone Number	7077943330
		Email Address	khendricks@sonomamarintrain.org

Renew Subscription Term: 27-Feb-2023 to 26-Feb-2024

Service Period: 12 months					
Cloud Services	Data Center Region	Quantity	Term	Unit Net Price	Net Fee
B73948 - Oracle Fusion WebCenter Forms Recognition Cloud Service - Hosted 1K Records	NORTH AMERICA	10	12 mo	16.20	1,944.00
B69711 - Oracle Fusion Financials Cloud Service - Hosted Named User	NORTH AMERICA	25	12 mo	160.03	48,009.02
B69717 - Oracle Fusion Purchasing Cloud Service - Hosted Named User	NORTH AMERICA	25	12 mo	93.35	28,005.26
B84576 - Oracle Fusion Transactional Business Intelligence Cloud Service - Hosted Named User	NORTH AMERICA	10	12 mo	20.00	2,400.45
B84628 - Oracle Fusion Project Financials Cloud Service - Hosted Named User	NORTH AMERICA	10	12 mo	200.04	24,004.51
B69721 - Oracle Fusion Self Service Procurement Cloud Service - Hosted Named User	NORTH AMERICA	100	12 mo	2.16	2,592.00
B73947 - Oracle Fusion Automated Invoice Processing Cloud Service - Hosted 1K Records	NORTH AMERICA	10	12 mo	16.20	1,944.00
Subtotal					108,899.25

Fee Description	Net Fee
Cloud Services Fees	108,899.25
Net Fees	108,899.25
Total Fees	108,899.25

A. Terms of Your Order

1. Applicable Agreement:

a. Public Sector Agreement for Cloud Services US-CSA-QT5418548 effective 20-FEB-2015

2. Cloud Payment Terms:

a. Net 30 days from invoice date

3. Cloud Payment Frequency:

a. Quarterly in Arrears

4. Currency:

a. US Dollars

5. Offer Valid through:

a. 28-Feb-2023

6. Service Specifications

a. The Service Specifications applicable to the Cloud Services and the Consulting/Professional Services ordered may be accessed at <http://www.oracle.com/contracts>.

7. Services Period

a. The Services Period for the Services commences on the date stated in this order. If no date is specified, then the "Cloud Services Start Date" for each Service will be the date that you are issued access that enables you to activate your Services, and the "Consulting/Professional Services Start Date" is the date that Oracle begins performing such services.

B. Additional Order Terms

1. No Auto-Renewal

Notwithstanding any statement to the contrary in the Service Specifications, the parties expressly agree that the Services acquired under this order will not Auto-Renew.

Sonoma Marin Area Rail Transit	
Signature	
Name	<u>Eddy Cumins</u>
Title	<u>General Manager</u>
Signature Date	<u>2/3/2023</u>

BILL TO / SHIP TO INFORMATION

Bill To		Ship To	
Customer Name	Sonoma Marin Area Rail Transit	Customer Name	Sonoma Marin Area Rail Transit
Customer Address	5401 Old Redwood Hwy Ste 200 Petaluma CA 94954	Customer Address	5401 Old Redwood Hwy Ste 200 Petaluma CA 94954
Contact Name	Ken Hendricks	Contact Name	Ken Hendricks
Contact Phone	7077943330	Contact Phone	7077943330
Contact Email	khendricks@sonomamarintrain.org	Contact Email	khendricks@sonomamarintrain.org

QUOTATION

Valid through 31-MAY-2023

Name	Sonoma Marin Area Rail Transit	Contact	Ken Hendricks
Address	5401 Old Redwood Hwy Ste 200 Petaluma CA 94954	Phone Number	7077943330
		Email Address	khendricks@sonomamarintrain.org

All fees on this Budgetary Quote are in **USD**

Renewal Term Through: 30-Jun-2024

Service Period: 13.48 months					
Cloud Services	Data Center Region	Quantity	Term	Unit Net Price	Net Fee
B91079 - Oracle Fusion Enterprise Resource Planning Cloud Service - Hosted Named User	NORTH AMERICA	35	13.48 mo	213.75	100,876.21
B91082 - Oracle Fusion Procurement Cloud Service - Hosted Named User	NORTH AMERICA	35	13.48 mo	213.75	100,876.21
B91080 - Oracle Fusion Enterprise Resource Planning for Self Service Cloud Service - Hosted Named User	NORTH AMERICA	50	13.48 mo	6.84	4,611.48
B91083 - Oracle Fusion Procurement for Self Service Cloud Service - Hosted Named User	NORTH AMERICA	50	13.48 mo	4.40	2,966.45
B73948 - Oracle Fusion Document Recognition Cloud Service - Hosted 1,000 Records	NORTH AMERICA	10	13.48 mo	16.20	2,184.39
Subtotal					211,514.74

Fee Description	Net Fee
Cloud Services Fees	211,514.74
Net Fees	211,514.74
Total Fees	211,514.74

Midterm Subscription Change Details:

Current Subscription(s)						
Cloud Services	Quantity	Start Date	End Date	Unit Net Price	Order Number	Subscription ID
B69711 - Oracle Fusion Financials Cloud Service - Hosted Named User	25	27/02/2023	26/02/2024	160.03	40776933	1300163
B69717 - Oracle Fusion Purchasing Cloud Service - Hosted Named User	25	27/02/2023	26/02/2024	93.35	40776933	1300163
B73948 - Oracle Fusion Document Recognition Cloud Service - Hosted 1,000 Records	10	27/02/2023	26/02/2024	16.20	40776933	1300163
B69721 - Oracle Fusion Self Service Procurement Cloud Service - Hosted Named User	100	27/02/2023	26/02/2024	2.16	40776933	1300163
B73947 - Oracle Fusion Automated Invoice Processing Cloud Service - Hosted 1K Records	10	27/02/2023	26/02/2024	16.20	40776933	1300163
B84576 - Oracle Fusion Transactional Business Intelligence Cloud Service - Hosted Named User	10	27/02/2023	26/02/2024	20.00	40776933	1300163
B84628 - Oracle Fusion Project Financials Cloud Service - Hosted Named User	10	27/02/2023	26/02/2024	200.04	40776933	1300163

Services to be Replaced & Superseded						
Cloud Services	Quantity	Start Date	End Date	Unit Net Price	Order Number	Subscription ID
B69711 - Oracle Fusion Financials Cloud Service - Hosted Named User	25	27/02/2023	To be replaced	160.03	40776933	1300163
B69717 - Oracle Fusion Purchasing Cloud Service - Hosted Named User	25	27/02/2023	To be replaced	93.35	40776933	1300163
B73948 - Oracle Fusion Document Recognition Cloud Service - Hosted 1,000 Records	10	27/02/2023	To be replaced	16.20	40776933	1300163
B69721 - Oracle Fusion Self Service Procurement Cloud Service - Hosted Named User	100	27/02/2023	To be replaced	2.16	40776933	1300163
B73947 - Oracle Fusion Automated Invoice Processing Cloud Service - Hosted 1K Records	10	27/02/2023	To be replaced	16.20	40776933	1300163
B84576 - Oracle Fusion Transactional Business Intelligence Cloud Service - Hosted Named User	10	27/02/2023	To be replaced	20.00	40776933	1300163
B84628 - Oracle Fusion Project Financials Cloud Service - Hosted Named User	10	27/02/2023	To be replaced	200.04	40776933	1300163

New Services to be Added						
Cloud Services	Quantity	Start Date	End Date	Unit Net Price	Order Number	Subscription ID

New Services to be Added						
B91079 - Oracle Fusion Enterprise Resource Planning Cloud Service - Hosted Named User	35	Upon access	06/30/2024	213.75	New	1300163
B91082 - Oracle Fusion Procurement Cloud Service - Hosted Named User	35	Upon access	06/30/2024	213.75	New	1300163
B91080 - Oracle Fusion Enterprise Resource Planning for Self Service Cloud Service - Hosted Named User	50	Upon access	06/30/2024	6.84	New	1300163
B91083 - Oracle Fusion Procurement for Self Service Cloud Service - Hosted Named User	50	Upon access	06/30/2024	4.40	New	1300163

Go Forward Subscription(s)						
Cloud Services	Quantity	Start Date	End Date	Unit Net Price	Order Number	Subscription ID
B73948 - Oracle Fusion Document Recognition Cloud Service - Hosted 1,000 Records	10	Upon access	06/30/2024	16.20	New	1300163
B91079 - Oracle Fusion Enterprise Resource Planning Cloud Service - Hosted Named User	35	Upon access	06/30/2024	213.75	New	1300163
B91082 - Oracle Fusion Procurement Cloud Service - Hosted Named User	35	Upon access	06/30/2024	213.75	New	1300163
B91080 - Oracle Fusion Enterprise Resource Planning for Self Service Cloud Service - Hosted Named User	50	Upon access	06/30/2024	6.84	New	1300163
B91083 - Oracle Fusion Procurement for Self Service Cloud Service - Hosted Named User	50	Upon access	06/30/2024	4.40	New	1300163

This pricing example is provided for evaluation purposes. This quote is intended to further our discussions, it is not eligible for acceptance by you and is not a part of a binding contract between us for the products and/or services specified. User minimums and licensing rules may apply to the products specified. If you would like to purchase the products and/or services specified in this draft quotation, please ask Oracle to issue you a formal Quote (which may include an Oracle agreement if you do not already have an agreement with Oracle) for your acceptance and execution and return to Oracle. Your order will be effective only upon Oracle's acceptance of the formal Quote (and the Oracle agreement, if required).



Eric Lucan, Chair
Marin County Board of Supervisors

Melanie Bagby, Vice Chair
Sonoma County Mayors' and Councilmembers Association

Kate Colin
Transportation Authority of Marin

Chris Coursey
Sonoma County Board of Supervisors

Rachel Farac
Transportation Authority of Marin

Debora Fudge
Sonoma County Mayors' and Councilmembers Association

Patty Garbarino
Golden Gate Bridge,
Highway/Transportation District

Barbara Pahre
Golden Gate Bridge,
Highway/Transportation District

Gabe Paulson
Marin County Council of Mayors and Councilmembers

David Rabbitt
Sonoma County Board of Supervisors

Chris Rogers
Sonoma County Mayors' and Councilmembers Association

Mary Sackett
Marin County Board of Supervisors

Eddy Cumins
General Manager

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

May 17, 2023

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

SUBJECT: Fiscal Year 2024 Draft Budget

Dear Board Members:

RECOMMENDATIONS: Information and Discussion Item

SUMMARY:

The Fiscal Year 2024 Draft Budget is being presented for the Board of Director's prior to public release for review and comment.

Passenger Rail and Pathways

The Fiscal Year 2024 revenue estimate for passenger rail and pathways totals \$98.6 million compared to \$78.6 million in Fiscal Year 2023. Of the \$98.6 million, \$25.4 million is anticipated federal and state project specific capital grants for construction. Fiscal Year 2023 was the last year we received Federal COVID-19 relief operating funds, therefore federal funds for operating activities decreased by \$7.5 million in Fiscal Year 2024 which is offset in the chart below by federal capital revenues for a net decrease of \$4.9 million. State and Federal grants provide \$13.7 million support to the Fiscal Year 2024 operating budget.

Overall expenditures are expected to increase in Fiscal Year 2024 due to the large capital construction program that is anticipated to occur this coming year. The capital projects are \$29.1 million higher than in Fiscal Year 2023.

Revenues	FY 23 Amended Budget	FY 24	Difference
SMART S&U Tax	\$ 51,090,000	\$ 51,103,000	\$ 13,000
Federal Funds	\$ 12,542,326	\$ 7,655,641	\$ (4,886,685)
State Funds	\$ 10,697,233	\$ 34,335,252	\$ 23,638,019
Other Sources	\$ 2,589,866	\$ 3,021,327	\$ 431,461
Regional Funds	\$ 1,673,747	\$ 2,480,108	\$ 806,361
Total Revenues	\$ 78,593,172	\$ 98,595,328	\$ 20,002,156

Expenditures	FY 23 Amended Budget	FY 24	Difference
Debt Service	\$ 15,596,193	\$ 16,244,444	\$ 648,251
Salaries & Benefits	\$ 23,318,136	\$ 25,525,661	\$ 2,207,525
Service & Supplies	\$ 15,873,763	\$ 19,429,772	\$ 3,556,009
Contribution to OPEB/ CalPERS Liability Fund	\$ 500,000	\$ 500,000	\$ -
Vehicle/ Equipment Capital Reserve	\$ 2,000,000	\$ 1,000,000	\$ (1,000,000)
Operating Reserve	\$ -	\$ 1,278,617	\$ 1,278,617
Planning	\$ 675,000	\$ 250,000	\$ (425,000)
Environmental	\$ 451,350	\$ 478,321	\$ 26,971
State of Good Repair	\$ 3,952,447	\$ 3,654,200	\$ (298,247)
Capital Projects	\$ 12,552,876	\$ 41,617,326	\$ 29,064,450
Future Match for Federal/ State Funds	\$ 2,000,000	\$ -	\$ (2,000,000)
Total	\$ 76,919,765	\$ 109,978,341	\$ 33,058,576

Freight Rail

For Fiscal Year 2024, total revenues are estimated at \$2.4 million and total expenditures are estimated at \$2.7 million. The estimated fund balance at the end of Fiscal Year 2024 is estimated at \$960,091.

Comments on the Draft Budget

The draft Fiscal Year 2024 budget will be posted on SMART's website on Monday, May 22, 2023. Public comments will be accepted through until 5:00pm Monday, June 5, 2023. Comments can be emailed to Heather McKillop, Chief Financial Officer at hmckillop@sonomamarintrain.org or sent to:

*Sonoma-Marine Area Rail Transit District
Atten: Heather McKillop
5401 Old Redwood Highway, Suite 200
Petaluma, CA 94954*

The SMART Board of Directors will be asked to adopt the final budget at their meeting on Wednesday, June 21, 2023. The Board will be notified of all comments received and whether they have been incorporated into the final document.

Sincerely,

/s/

Heather McKillop
Chief Financial Officer

Attachment(s): Draft Fiscal Year 2024 Budget



FISCAL YEAR 2023/2024

ADOPTED BUDGET

SONOMA-MARIN AREA RAIL TRANSIT DISTRICT



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Sonoma-Marin Area Rail Transit District's Board of Directors

SMART is governed by a 12-member Board consisting of elected officials appointed as specified in AB 2224: two county supervisors each from Marin and Sonoma counties, three appointed City Council members from each county and two representatives from the Golden Gate Bridge District.

Eric Lucan - Chair
Marin County Board of Supervisors

Melanie Bagby - Vice Chair
Sonoma County Mayors and Councilmembers Association

Kate Colin
Transportation Authority of Marin

Chris Coursey
Sonoma County Board of Supervisors

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Chris Rogers
Sonoma County Mayors and Councilmembers Association

Mary Sackett
Marin County Board of Supervisors

Sonoma-Marin Area Rail Transit Executive Management Team

Eddy Cumins
General Manager

Tom Lyons
General Counsel

Bill Gamlen
Chief Engineer

Heather McKillop
Chief Financial Officer

About SMART

The Sonoma-Marín Area Rail Transit (SMART) District was established by the California Legislature through the enactment of AB 2224 in 2002. The SMART District includes both Sonoma and Marin Counties and was created for the purpose of providing unified and comprehensive structure for the ownership and governance of the passenger and freight rail system within Sonoma and Marin Counties and to provide passenger and freight train service along the existing publicly owned railroad right-of-way.

SMART passenger rail service began in August of 2017 with two-way passenger train service on 43 miles to 10 stations between Downtown San Rafael in Marin County and Airport Boulevard in Sonoma County.

Train service is provided in state-of-the-art diesel multiple unit (DMU) rail vehicles utilizing one of the first Positive Train Control systems for passenger rail. Prior to the COVID-19 shutdown, service was provided roughly every 30-minutes during commute hours with additional service midday and weekends. In late 2019, two new stations were built in Downtown Novato and Larkspur near the regional Ferry to San Francisco. These two stations in Marin County brought rail service to its current total of 45 miles with 12 passenger stations. SMART along with partner agencies have constructed 25 miles of Class 1 bicycle/pedestrian pathway on its right-of-way connecting to the stations where cyclists can find secure parking at the station or on-board the train for their bikes, SMART manages twelve (12) of those miles.

In March of 2022, SMART assumed the freight operations from the Northwestern Pacific Railroad Company (NWPCo) which had been operating service from Napa County to Petaluma since 2011.

SMART's History

2002	SMART was created by the California Legislature
2008	SMART's ¼ cent sales tax was passed
August 2017	Service Started between San Rafael and Santa Rosa Airport to include 34 trips/ weekday and 10 trips/ weekend
October 2017	Tubbs Fire
August 2018	1 st Anniversary of the start of service
January 2019	One Millionth Rider Mark
February 2019	Flooding
August 2019	2 nd Anniversary of the start of service
October 2019	Kincade Fire
December 2019	Larkspur Extension and Downtown Novato Station opens
January 2020	Service increases to 38 trips/weekday

March 2020	COVID-19 Shelter-in-Place Orders go into effect; trips reduced to 16 trips/ weekday and no weekend service
August 2020	3 rd Anniversary of the start of service
August 2020	LNU Lighting Complex Fires
May 2021	Fares lowered by 40%; additional 10 weekday trips are added for a total of 26 weekday trips; Saturday service returns
June 2021	Reached Two Millionth Rider Mark
August 2021	4 th Anniversary of the start of service
November 2021	New General Manager is hired
March 2022	Assumed freight operations from the Northwestern Pacific Railroad Company (NWPCo.)
May 2022	Sunday service returns
June 2022	Additional 10 weekday trips are added for a total of 36 weekday trips
July 2022	Started operations of freight service with SMART employees
August 2022	5 th Anniversary of the start of service
September 2022	Launched real-time map and arrival prediction tool on SMART website
October 2022	Additional 2 weekday trips are added for a total of 38 weekday trips
May 2023	Launched Starlighter night service: 2 trips on Friday and Saturday
June 2023	Launched Free Summer Youth Pass
June 2023	Launched new SMART Connect service at Sonoma County Airport Station

SMART's Passenger Rail System

System Statistics

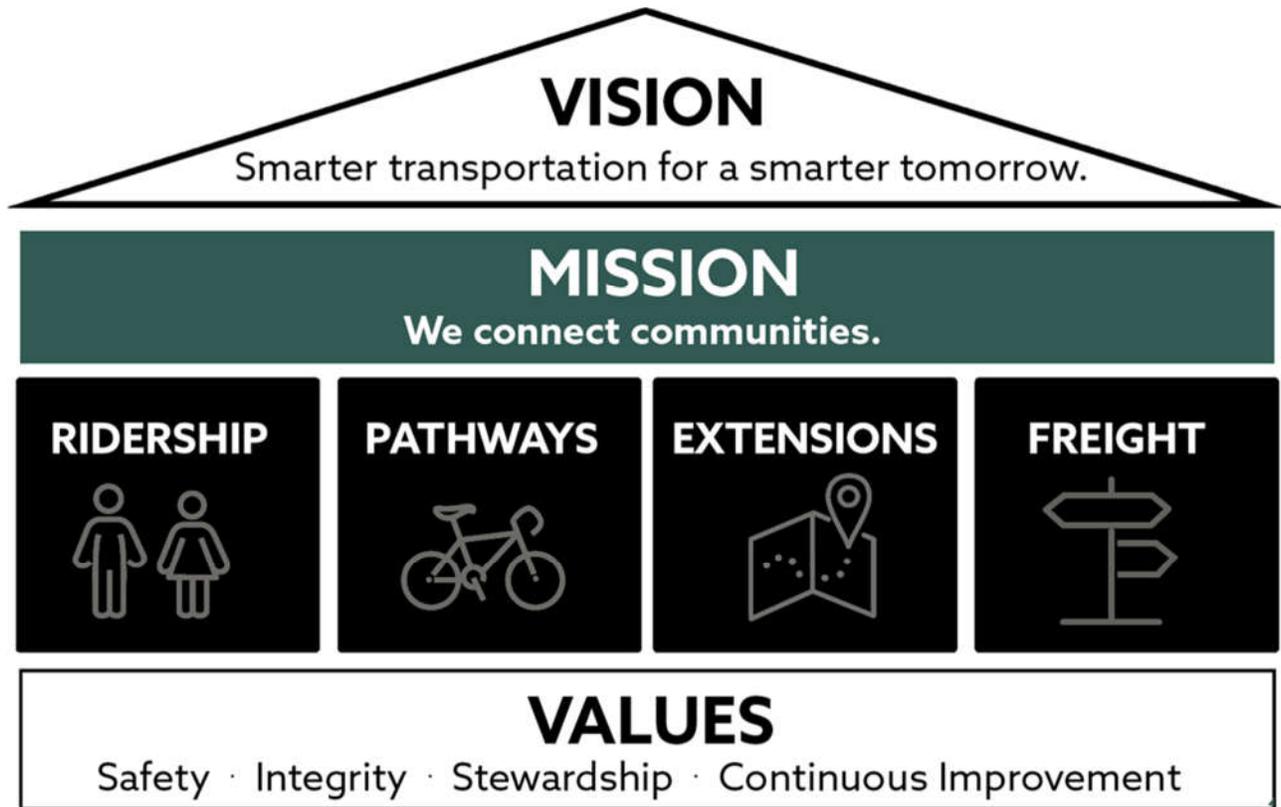
- Forty-five (45) miles rail corridor - connecting the Larkspur Ferry to the Sonoma County Airport
- Twelve (12) miles of twenty-five (25) miles pathway constructed and maintained by SMART, providing a first/ last mile connection to the rail corridor
- Twelve (12) stations
- Six (6) park-n-ride lots
- Sixty-eight (68) public crossings
- Twenty-seven (27) bridges
- Two (2) tunnels
- Fleet of eighteen (18) Diesel Multiple Units (DMUs)





SMART Overview

In Fiscal Year 2022, the Board of Directors approved SMART's Vision, Mission, Objectives, and Values. In Fiscal Year 2023, strategies for the objectives were developed and presented.



Ridership - Strategies

- Implement Microtransit Pilot Program at the Airport Station
- Additional Evening Service
- Additional Event Service Based on Demand
- Work with Transit Providers to improve Bus/Ferry Connections
- Allow Overnight Parking at SMART Park and Ride Lots
- Reprice Monthly Pass for 3-Day Work Week
- Implement Aggressive Marketing Plan
- Pursue Grant for Quality-of-Life Study
- Free K-12 Summer Program
- Public Information Display Signs at Platforms
- Closely Monitor System/Ridership and Adjust as Necessary

Pathway - Strategies

- Construct funded segments of the pathway
- Continue to design and permit pathways
- Publish updated pathway maps
- Develop and implement wayfinding program

Extensions - Strategies

- Construct Petaluma North infill station
- Northern Extensions to Windsor, Healdsburg, and Cloverdale
 - Complete Caltrans rail service plan analysis
 - Design and Build Portions that are funded
 - Continue to seek Federal and State Capital Grants
- East/ West:
 - Continue participation in Highway 37 corridor activities
 - Work with partners to incorporate rail into the project
 - Complete Caltrans rail service plan analysis
 - Partner with Caltrans and FRA Corridor ID Program through SMART East-West project development and subsequent phases

Freight - Strategies

- Increase annual revenue by \$500,000+
- Decrease expenditures by \$100,000+
- Secure funding for capital/ SGR improvement (\$8.2 million)
- Market freight and storage opportunities at SMART
- Leverage storage track at Schellville and Burdell
- Promote transload opportunities at Victory Station (Schellville)
- Acquire new business
- Examine freight tariffs and consider increasing fees
- Reduce car hire fees
- Manage maintenance requirements:
 - Bridges, tracks, crossings, equipment, etc.

Performance Measures

In FY 21, SMART looked at developing performance measures to help the agency move from reporting data to measuring performance. After several meetings with the Board of Directors, the following measures were determined to merit agency focus in the near term.

- Operating Expense per Vehicle Revenue Mile
- Operating Expense per Passenger Mile
- Passenger Trips per Vehicle Revenue Mile
- Average Fare per Passenger

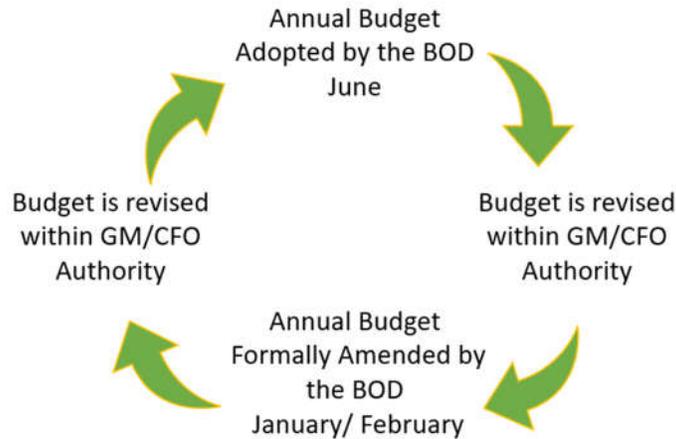
The Board adopted metrics are highlighted below. Additional NTD metrics provided for information.

NTD Metrics	2019	2020	2021	2022
Boardings	716,847	567,103	122,849	354,328
Vehicle Revenue Miles	923,002	821,415	398,291	679,245
Passenger Miles	18,371,183	13,516,234	3,148,345	7,855,912
Operating Expense	\$ 27,490,190	\$ 28,757,008	\$ 24,833,822	\$ 27,834,598
Operating Cost per Vehicle Revenue Mile	\$ 29.78	\$ 35.01	\$ 62.35	\$ 40.98
Operating Cost per Passenger Mile	\$ 1.50	\$ 2.13	\$ 7.89	\$ 3.54
Passenger Trips per Vehicle Revenue Mile	0.8	0.7	0.3	0.52
Fare Revenues	\$ 4,094,540	\$ 3,090,457	\$ 706,938	\$ 1,283,112
Farebox Recovery (Fare Revenues/Operating Expense)	15%	11%	3%	5%
Cost per Boarding (Operating Expense/ Boardings)	\$ 38.35	\$ 50.71	\$ 202.15	\$ 78.56
Average Fare (Fares/ Boardings)	\$ 5.71	\$ 5.45	\$ 5.75	\$ 3.62
Subsidy per Boarding [(Cost - Fare)/ Boardings]	\$ 32.64	\$ 45.00	\$ 196.39	\$ 74.93

Note: Fiscal Years 2020, 2021, and 2022 were impacted by COVID and had reduced or curtailed service.

Budget Cycle

The Administrative Code of SMART, as adopted by the Board of Directors in July 2013, provides that the Board of Directors will adopt an annual budget no later than the District's June meeting for the ensuing fiscal year.



The budget outlines the expected revenues and expenditure amounts needed for salaries, benefits, services, supplies, capital and other necessary spending throughout the fiscal year. The budget limits the amount of total expenditures that can be incurred without further Board approval.

In the event that total expenditures need to be increased, a budget amendment can be presented to the Board of Directors for approval.

Mid-year, an amended budget will be presented to the Board of Directors for approval. The amended budget will include the most recent expectations for revenues and expenditures projected through fiscal year end.

Budget adjustments can be made and approved by the Chief Financial Officer as long as total expenditures in the Board-adopted budget are not exceeded.

At the end of each fiscal year, once the financial audit has been finalized, a comparison of the previous year's budget to actual expenditures will be generated and presented to the Board of Directors for information.

Basis of Budgeting

The District's financial statements are reported using the accrual basis of accounting. Revenues are recorded when earned and expenses are recorded when a liability is incurred regardless of the timing of related cash flows. Sales taxes are recorded when earned and reported as non-operating revenue. Grants and similar items are recognized as revenue as soon as all eligibility requirements imposed by the provider have been met.

The District's budget is prepared on a modified accrual basis with the following exceptions:

- Inclusion of capital outlays and debt principal payments as expenditures
- Inclusion of asset sale proceeds and debt issuance proceeds
- Exclusion of gains and losses on disposition of property and equipment
- Exclusion of the non-cash portion of long-term unfunded pension accruals

Fund Structure

SMART reports its financial activity as an enterprise. We have two funds, the General Fund (01), with several sub funds for purposes of segregating expenditures, and the Freight Fund (60).

Fund	Description
01	General Fund
02	Bond Fund
03	Bond Reserve Fund
08	General Reserve Fund
15	Self-Insurance Fund
18	OPEB Pension Fund
20	Equipment Replacement Fund
30	Landing Way Replacement Fund
50	Capital Projects Fund
60	Freight

BUDGET OVERVIEW

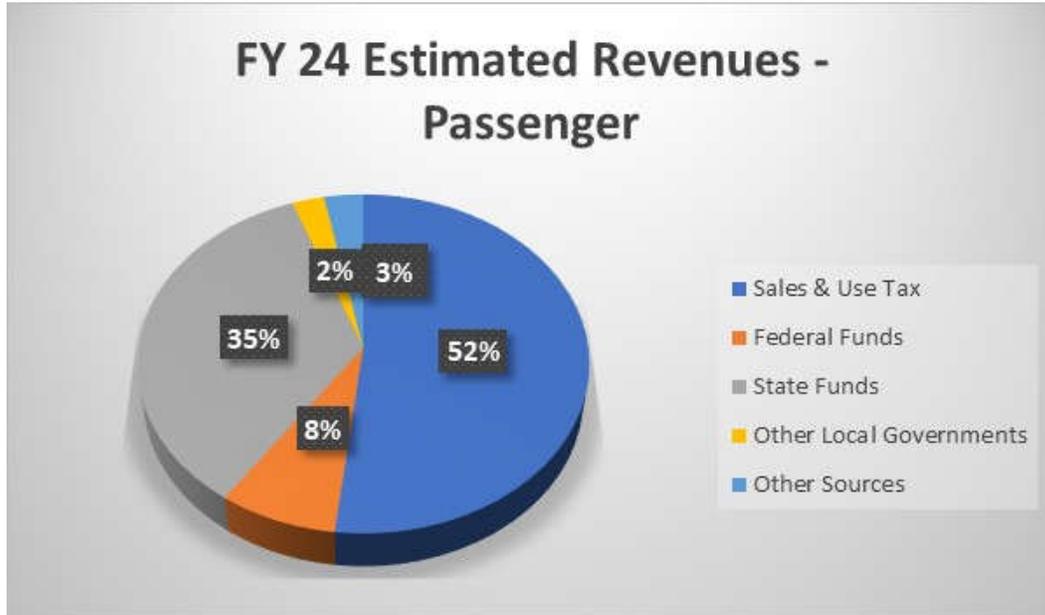
Passenger

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State Funds	\$ 10,697,233	\$ 34,335,252	\$ 23,638,019
Other Sources	\$ 2,589,866	\$ 3,021,327	\$ 431,461
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Total Revenues	\$ 78,593,172	\$ 98,595,328	\$ 20,002,156
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Contribution to OPEB/ CalPERS Liability Fund	\$ 500,000	\$ 500,000	\$ -
Vehicle/ Equipment Capital Reserve	\$ 2,000,000	\$ 1,000,000	\$ (1,000,000)
Operating Reserve	\$ -	\$ 1,278,617	\$ 1,278,617
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Capital Projects	\$ 12,552,876	\$ 41,617,326	\$ 29,064,450
Future Match for Federal/ State Funds	\$ 2,000,000	\$ -	\$ (2,000,000)
Total	\$ 76,919,765	\$ 109,978,341	\$ 33,058,576

Revenues



Ticket Vending Machine (TVM)

Fiscal Year 2024 Estimated Revenues

Revenues	FY 24
SMART S&U Tax	
Measure Q	\$ 51,103,000
Total Sales & Use Tax	\$ 51,103,000
Federal Funds	
5307 - Urbanized Area Formula Funds (Preventative Mtce)	\$ 3,997,642
Discretionary Earmark	\$ 1,800,000
FTA Quick Strike Funds (CMAQ)	\$ 1,857,999
Total Federal Funds	\$ 7,655,641
State Funds	
AHSC - Windsor	\$ 1,093,230
ATP - Sonoma County Pathway	\$ 5,210,927
Caltrans Sustainability Communities Competative Planning Grant	\$ 400,000
STA -SGR	\$ 330,712
STA - Revenue	\$ 3,170,013
STA - Population	\$ 653,792
SRA	\$ 5,026,754
LCTOP	\$ 520,218
LPP	\$ 1,857,999
ITIP - Windsor Systems	\$ 2,186,460
SCC - Windsor	\$ 6,559,379
TIRCP - Petaluma North	\$ 4,125,768
TIRCP - Windsor to Healdsburg	\$ 3,200,000
Total State Funds	\$ 34,335,252
Other Local Governments	
City of Petaluma	\$ 2,000,000
Measure M - SCTA	\$ 480,108
Total Other Local Governments	\$ 2,480,108
Other Sources	
Advertising	\$ 70,000
Charges for Services	\$ 75,637
Fare Revenues	\$ 1,803,384
Interest Earning	\$ 627,926
Miscellaneous	\$ 5,659
Parking	\$ 15,000
Rent - Real Estate	\$ 423,721
Total Other Sources	\$ 3,021,327
Total Revenues	\$ 98,595,328

Sales Tax

On November 4, 2008, more than two-thirds of the voters in Sonoma and Marin counties approved Measure Q implementing the 2008 Measure Q Sales Tax. The 2008 Measure Q Sales Tax is a sales and use tax of one quarter of one percent (1/4%) imposed for a period of 20 years beginning April 1, 2009, on the gross receipts from all tangible personal property sold at retail businesses in the counties and a use tax at the same rate on the storage, use, or other consumption in the counties of such property purchased from any retailer, subject to certain exceptions. While we saw a decrease of revenues in Fiscal Year 2020, growth was double digits for Fiscal Year 2021 and 2022. While Fiscal Year 2023 is estimated to be 4.1% higher than Fiscal Year 2022, we are predicting slow or no growth in Fiscal Year 2024.

SMART HISTORICAL SALES TAX COLLECTIONS

	Sales Tax	Growth Rate	
2009	\$ 4,976,687		
2010	\$ 24,059,929	383.45%	Actual
2011	\$ 26,826,843	11.50%	Actual
2012	\$ 28,303,501	5.50%	Actual
2013	\$ 30,435,753	7.53%	Actual
2014	\$ 32,473,329	6.69%	Actual
2015	\$ 33,845,426	4.23%	Actual
2016	\$ 34,776,012	2.75%	Actual
2017	\$ 36,061,895	3.70%	Actual
2018	\$ 37,135,476	2.98%	Actual
2019	\$ 41,241,140	11.06%	Actual
2020	\$ 38,978,630	-5.49%	Actual
2021	\$ 44,002,410	12.89%	Actual
2022	\$ 49,074,830	11.53%	Actual
2023	\$ 51,090,000	4.11%	Estimated
2024	\$ 51,103,000	0.03%	Estimated
	\$ 564,384,861		

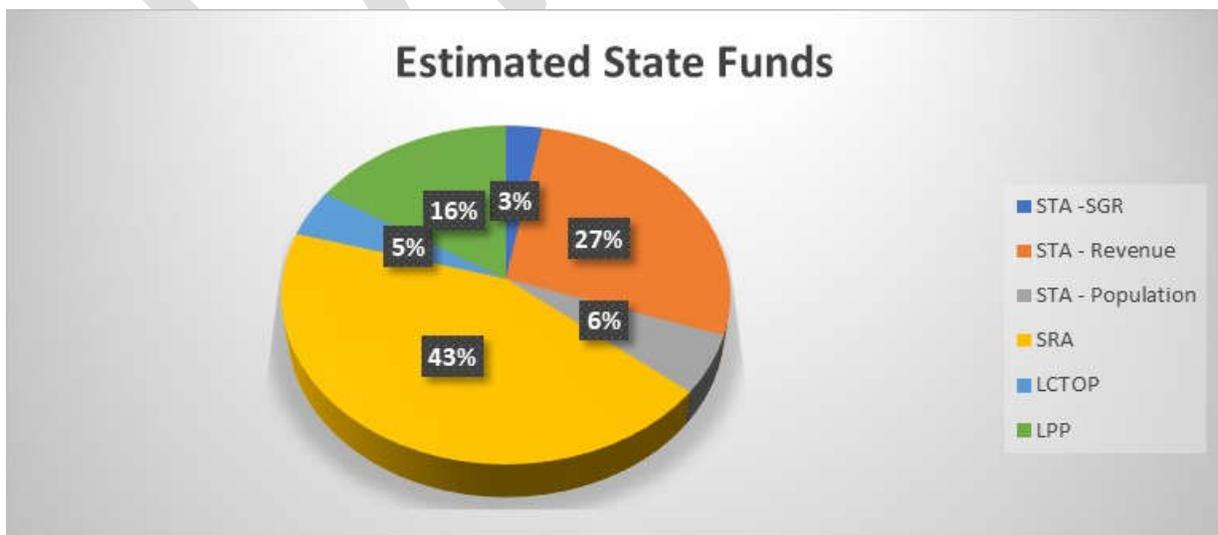
State Revenues

SMART receives formula allocation from four (4) state revenue programs itemized below. SMART may receive other state grants but those are allocated on an application basis, are project specific, and are typically one-time allocations.

- **State Transit Assistance:** A portion of the revenues derived from the sales tax on diesel fuel purchases and registration fees is appropriated by the State Legislature to the State Transit Assistance Program (“STA”) for public transportation purposes. These STA revenues are allocated to public transit agencies throughout the State based on population and operating revenues

through formula. This fund source was increased through 2017 Senate Bill 1, the Road Repair and Accountability Act. SB1 created an additional STA program, the STA State of Good Repair (SGR) Program to provide annual funding to transit operators in California for eligible transit maintenance, rehabilitation, and capital projects.

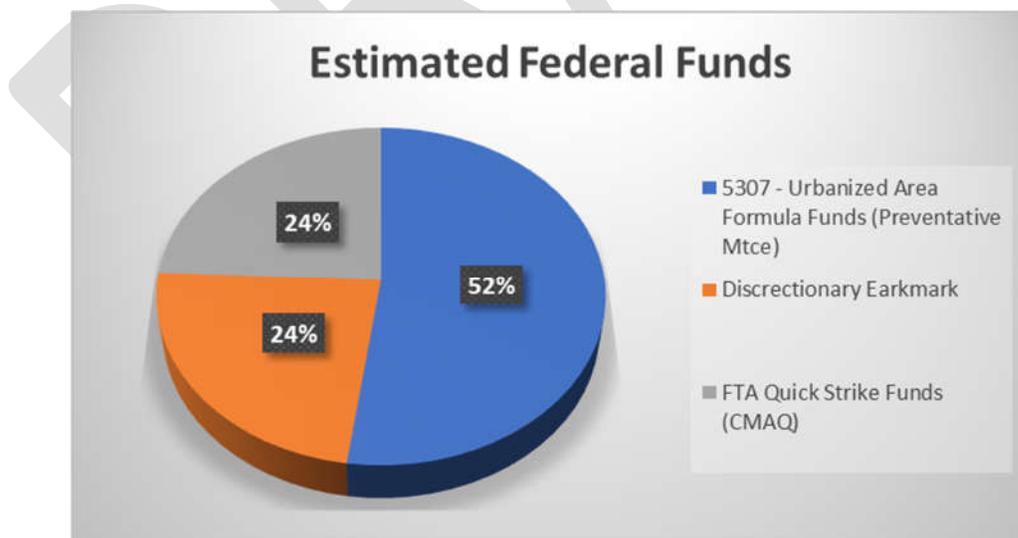
- **State Rail Assistance:** Another new funding source created by SB 1 is the State Rail Assistance (SRA) program. SRA directs a 0.5% portion of new diesel sales tax revenue for allocation: half to the five (including, Altamont Corridor Express Authority (ACE), North County Transit Development Board (Coaster), Peninsula Corridor Joint Powers Board (Caltrain), Sonoma-Marín Area Rail Transit District (SMART), Southern California Regional Rail Authority (Metrolink)) commuter rail providers and half to intercity rail corridors.
- **State Local Partnership Program:** SB 1 created the Local Partnership Program Formula fund source. This program continuously appropriates funding annually from the Road Maintenance and Rehabilitation Account to local and regional transportation agencies that have sought and received voter approval of taxes or that have imposed fees, which taxes or fees are dedicated solely for transportation improvements. The funds are managed by the California Transportation Commission, which also manages a Competitive portion of the Local Partnership Program.
- **Low Carbon Transit Operations Program (LCTOP):** LCTOP was 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. Funds for this program come from State Cap and Trade auctions. Approved projects in LCTOP will support new or expanded bus or rail services, expand intermodal transit facilities, and may include equipment acquisition, fueling, maintenance and other costs to operate those services or facilities, with each project reducing greenhouse gas emissions.



Federal Revenues

SMART is a direct recipient of Federal Transit Administration (FTA) Funds.

- **5307 Funds:** FTA Urbanized Area Formula Funds which can be used for capital projects, operating assistance, job access, reverse commute projects, and transportation related planning. SMART became eligible for these funds starting in Fiscal Year 2019-20.
- **FTA/ Quick-Strike Funds:** The Safe and Seamless Mobility Quick-Strike program is a one-time, competitive grant program established by the Metropolitan Transportation Commission. Federal funding was made available to support local and regional projects that could be implemented quickly to benefit communities responding and adapting to the COVID-19 environment. The program emphasizes bicycle/pedestrian safety and mobility, connections to transit, and projects that advance equitable mobility. SMART was awarded these funds and transferred them to the FTA for execution into a grant.
- **Community Project Funds (Discretionary Earmark):** The Consolidated Appropriations Act, 2023 appropriated \$360.46 million in Community Project Funding (CPF), also known as Congressionally Directed Spending (CDS). The SMART Rail Extension to Healdsburg - Preliminary Design was nominated by U.S. Congressman Jared Huffman.



State Funds - Project Specific

- Windsor Extension
 - AHSC - Affordable Housing & Sustainable Communities
 - Total grant \$5,000,000
 - FY 24 - \$1,093,230
 - SCC - Solutions for Congested Corridors
 - Grants to be announced in June
 - \$30,000,000 requested
 - \$6,559,379 budgeted in FY 24
 - ITIP - Interregional Transportation Improvement Program
 - \$10,000,000 awarded
 - \$2,186,460 budgeted in FY 24
- Windsor to Healdsburg
 - TIRCP - Transit & Intercity Rail Capital Program
 - \$34,338,000 available
 - \$3,200,000 budgeted in FY 24
- Petaluma North Station
 - TIRCP - Transit & Intercity Rail Capital Program
 - \$9,521,187 total grant
 - \$3,546,955 budgeted in FY 24
- McDowell Crossing
 - TIRCP - Transit & Intercity Rail Capital Program
 - \$578,813 available and budgeted in FY 24
- Sonoma County Pathway
 - ATP - Active Transportation Program
 - \$10,756,925 total grant
 - \$5,210,927 budgeted in FY 24
- Quality of Life & Economic Impact Assessment
 - Caltrans Sustainability Communities Competitive Planning Grant
 - \$400,000 grant pending announcement in June 2023

Local Governments - Project Specific

- Petaluma North Station
 - City of Petaluma
 - \$2,000,000 all budgeted in FY 24
- Sonoma County Transportation Authority
 - Measure M \$2,000,000 total
 - \$480,108 budgeted in FY 24
 - \$1,519,892 budgeted in FY 23

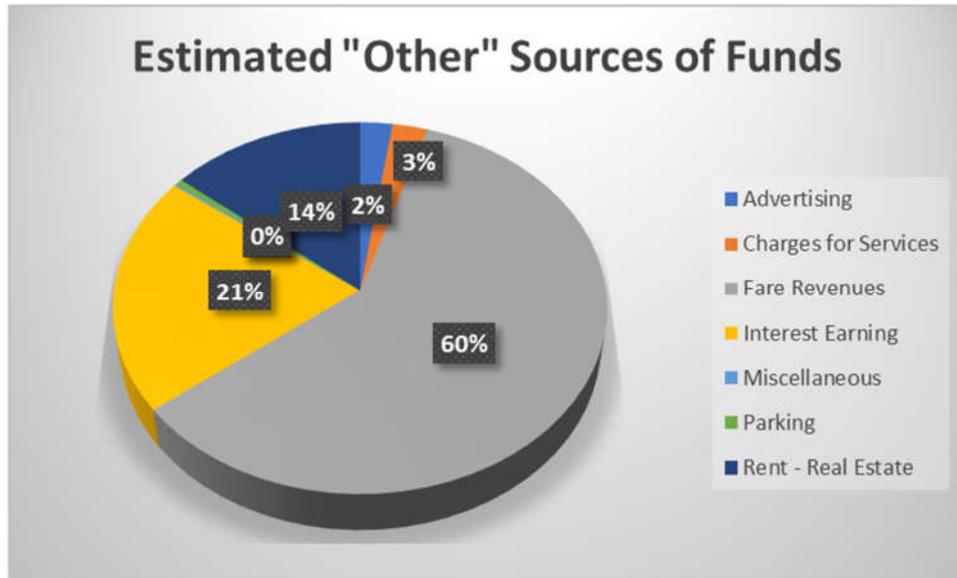
Other SMART Revenues

- **Farebox Revenues:** SMART passengers pay for their rides using the fare structure approved by the SMART Board in 2015 and 2016. SMART participates in the regional Clipper fare system that allows riders to transfer seamlessly among Bay Area operators using one fare media card. SMART also has its own mobile ticket app that provides easy purchasing of multiple or discounted tickets without purchasing a Clipper card. The fares are based on the distance travelled by a rider, like other commuter rail services. In May of 2021, fares were lowered by approximately 40%. SMART also provides several discounts to SMART riders with a youth, senior, low income, and passengers with disabilities fare. SMART's Fiscal Year 2021-22 average passenger fare was \$3.62. See chart below for current fare rates.

One-Way						
	Zone 1	Zone 2	Zone 3	Zone 4	Zone 5	Daily Max
Adult Fare	\$ 1.50	\$ 3.00	\$ 4.50	\$ 6.00	\$ 7.50	\$ 15.00
Seniors, youth, low-income, and passengers with disabilities (50%)	\$ 0.75	\$ 1.50	\$ 2.25	\$ 3.00	\$ 3.75	\$ 7.50

- In May 2021, a new “Weekend Day Pass” was implemented. The Weekend Day Pass is \$10.00 for adults and \$5.00 for seniors, youth, passengers with disabilities and SMART customers. The Weekend Day Pass offers unlimited rides for the entire day.
- In September 2021, the 31-day pass was lowered to \$135.00 for adults and \$67.50 for youth, seniors, and passengers with disabilities. Effective July 1, 2023, the 31-day pass will be priced based on a 3-day work week and an average of 3-zones travelled. This will further reduce the price of this pass to \$117.00 for adults and \$58.50 for seniors, youth, and passengers with disabilities. This is an additional 13% decrease.
- **Advertising Revenues:** Revenues from advertising space sold onboard trains and station platform shelter panels.
- **Charges for Services:** Includes flagging services.
- **Interest Earnings:** Interest earnings are expected to increase in Fiscal Year 2024 due to the current interest rates.
- **Lease Revenues:** Are expected to increase by approximately 3%.
- **Miscellaneous Revenues:** Vary each year, but are assumed to be like Fiscal Year 2022

- **Parking Revenue:** Parking fees are suspended during the hours of 4:00 am and 11:59 pm. Effective July 1, 2023, those wishing to park overnight pay a fee of \$5.00 between the hours of 12:00 am and 3:59 am.



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RIDERSHIP

Expenditures by Objectives - Ridership

Ridership – Strategies

- ✓ Implement Microtransit Pilot Program at the Airport Station
- ✓ Additional Evening Service
- ✓ Additional Event Service Based on Demand
- ✓ Work with Transit Providers to improve Bus/Ferry Connections
- ✓ Allow Overnight Parking at SMART Park-n-Ride Lots
- ✓ Reprice Monthly Pass for 3-Day Work Week
- ✓ Implement Aggressive Marketing Plan
- ✓ Pursue Grant for Quality of Life Study
- ✓ Free K-12 Summer Program
- ✓ Public Information Display Signs at Platforms
- ✓ Closely Monitor System/Ridership and Adjust as Necessary

Ridership	FY 24
First/ Last Mile Connections - Implement Microtransit at Airport Station	\$ 500,000
Implement Aggressive Marketing Plan	\$ 175,000
Quality of Life & Economic Impact Assessment	\$ 400,000
Public Information Display Signs at Platforms	\$ 250,000
Bike Locker Upgrades	\$ 16,000
Customer Service Support Software	\$ 4,500
EV Charging Stations at San Marin & Hamilton	\$ 150,000
Direct Operations	\$ 18,308,409
- Additional Evening Service	
- Additional Event Service Based on Demand	
Operations	\$ 4,897,310
Administration	\$ 6,746,308
Total	\$ 31,447,527



Expenditures by Objectives - Pathways

Pathway- Strategies

- ✓ Construct funded segments of the Pathway
- ✓ Continue to design and permit pathways
- ✓ Publish updated Pathway maps
- ✓ Develop and implement wayfinding program

Pathways	FY 24
Construct Funded Segments of the Pathway	
- Mclinnis to Smith Ranch Pathway	\$ 4,835,333
- Hanna Ranch to Vintage Way Pathway	\$ 246,466
- Guerneville Road to Airport Blvd. Pathway	\$ 1,429,430
- Sonoma County Pathways	\$ 6,890,620
Design and Permit Pathways	
- Marin- Sonoma Pathways	\$ 1,603,744
- Marin Pathways	\$ 4,098,301
- Puerto Suello to San Pedro Road	\$ 708,227
Wayfinding Program	\$ 150,000
Pathway Specific Maintenance	\$ 30,500
Operations	\$ 4,943,977
Administration	\$ 6,810,593
Total Pathways	\$ 31,747,190

EXTENSIONS

Expenditures by Objectives - Extensions

Extensions- Strategies

- ✓ Construct Petaluma North infill station.
- ✓ Northern Extensions to Windsor, Healdsburg, and Cloverdale
 - ✓ Complete Caltrans rail service plan analysis
 - ✓ Design and Build Portions that are funded
 - ✓ Continue to Seek Federal and State Capital Grants
- ✓ East/ West:
 - ✓ Continue participation in Highway 37 corridor activities
 - ✓ Work with partners to incorporate rail into the project
 - ✓ Complete Caltrans rail service plan analysis
 - ✓ Partner with Caltrans and FRA Corridor ID Program through SMART East-West project development and subsequent phases

Extensions	FY 24
Santa Rosa to Windsor	\$ 10,000,000
Windsor to Healdsburg	\$ 5,000,000
Petaluma North Station	\$ 6,027,063
McDowell Crossing	\$ 778,141
Administration	\$ 5,955,358
Total	\$ 27,760,562

FREIGHT

Expenditures by Objectives - Freight

Freight- Strategies

- ✓ Manage maintenance requirements
 - Bridges, tracks, crossings, equipment, etc.
- ✓ Decrease expenditures by \$100,000+
- Increase annual revenue by \$500,000+
- Secure funding for capital/ SGR improvement (\$8.2 million)
- Market freight and storage opportunities at SMART
- Leverage storage track at Schellville and Burdell
- Promote transload opportunities at Victory Station (Schellville)
- Acquire new business
- Examine freight tariffs and consider increasing fees
- Reduce car hire fees

Freight	FY 24
Operations	\$ 2,091,505
Capital	\$ 648,405
Total Freight	\$ 2,739,910

Expenditures

Passenger Rail Operations

Passenger Rail Operations has three (3) major divisions that work together to move people in a safe, reliable, and affordable way.

The Transportation Division is responsible for operating the trains, checking fares, assisting passengers, ensuring onboard passenger safety, and guaranteeing compliance with FRA regulations related to train operations and passenger service. In addition, the Operations Control Center monitors the status of the entire system, dispatches passenger and freight trains, and is the emergency point of contact for outside first responder agencies.

The Vehicle Maintenance Division is responsible for preventative maintenance work, inspections, cleaning, and repairs of the Diesel Multiple Units (DMUs), along with interior inspections and cleaning.

The Maintenance of Way Division is responsible for track and right of way inspection and maintenance, train control and grade crossing warning device maintenance and regulatory required inspections, and maintenance of all SMART owned facilities (pathway, stations, moveable bridge electronics and mechanics, buildings, and right of way fencing.)

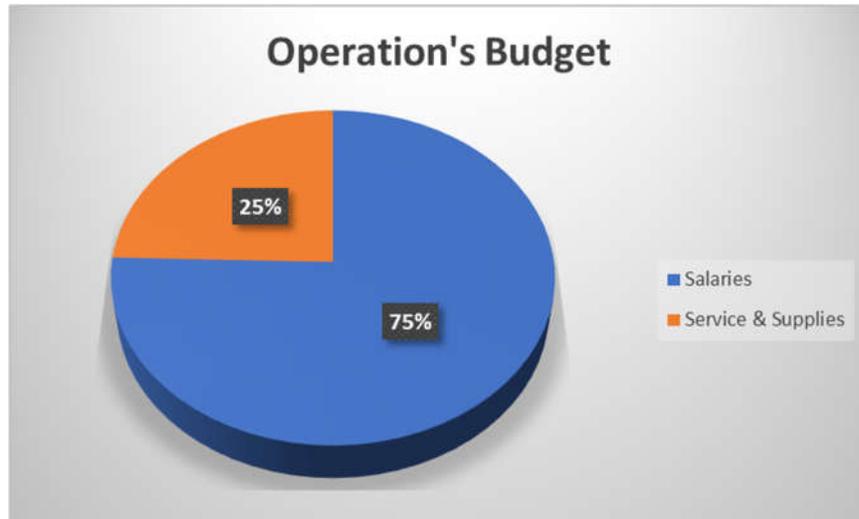
In addition to Transportation, Vehicle Maintenance and Maintenance of Way two additional functions are under the operations budget.

Public Safety

The Public Safety Department coordinates with Federal, State, and local jurisdictions to provide incident response, facility safety, and keep the public and our customers safe.

Train Control Systems

The Train Control Systems is responsible for monitoring and managing SMART's train control systems. The train control systems perform such functions as: safely route trains, safely separate trains, track and report the location of trains, detect and report broken rail, detect and report misaligned switches, detect and report misaligned bridges, and detect and report faults. In addition, other integral parts of the train control systems include positive train control (PTC), traffic signal interconnection, and grade crossing warning systems.



The Operations Department has 118 full-time equivalent (FTE) employees with an estimated budget for salaries and benefits of \$18,762,237. Salaries and Benefits make up 75% of the total Operations budget, see above.

Operations	FY 24
Operations General	\$ 795,111
Maintenance of Way	\$ 4,118,672
Transportation	\$ 8,650,043
Vehicle Maintenance	\$ 4,465,516
Safety	\$ 732,895
Total	\$ 18,762,237



This budget funds one (1) additional Parts Clerk, one (1) new Inventory Manager/ Asset Management Specialist, three (3) new Engineer/ Conductor positions, and converts a Signal Technician to a Vehicle Maintenance Supervisor position.

Salaries and Benefits are increasing by \$2.6 million or 16%. This is a result of the five (5) new positions, implementation of raises in accordance with the collective bargaining agreements, and an estimated increase of 10% in benefits.

In October 2022, SMART increased weekday trips from 36 to 38. In Fiscal Year 2023 added evening service on Friday and Saturdays, consisting of two additional trips on Friday on Saturday. This service will continue in FY24 and will provide additional service for special events as warranted. In addition, we are anticipating increases in utilities, fuel, and fare collection fees. Even with these increases, we are showing a 3% decrease in service and supplies expenditures in Fiscal Year 2024.

Account	Account Description	FY 23 Amended Budget	FY 24 Requested Budget
51061	Maintenance of Equipment	\$ 467,378	\$ 476,304
51062	Maintenance of Radios	\$ 151,386	\$ -
51063	Maintenance of Signals	\$ 180,000	\$ 115,000
51064	Maintenance of Revenue Vehicles	\$ 1,016,275	\$ 691,000
51071	Maintenance of Facilities	\$ 249,114	\$ 269,775
51074	Maintenance of Railway	\$ 179,174	\$ 199,750
51075	Maintenance of Pathway	\$ 22,500	\$ 35,500
51225	Training & Travel Expense	\$ 42,000	\$ 75,000
51252	Fare Collection Fees	\$ 196,000	\$ 216,000
51401	Rental/ Leases - Equipment	\$ 58,000	\$ 58,160
51605	Mileage Reimbursement & Auto Tolls	\$ 1,000	\$ 1,000
51802	Contract Services - Administrative	\$ 622,940	\$ 659,190
51804	Contract Services - Transportation	\$ 93,000	\$ 93,000
51902	Communications	\$ 65,300	\$ 50,260
52021	Uniform Expense	\$ 103,000	\$ 83,500
52061	Fuel and Lubricants	\$ 1,942,000	\$ 1,968,000
52091	Memberships	\$ 3,050	\$ 3,300
52101	Miscellaneous Expense	\$ 1,500	\$ 51,500
52111	Office Expense	\$ 45,000	\$ 60,000
52117	Postage	\$ 8,000	\$ 7,500
52141	Small Tools and Equipment	\$ 185,881	\$ 129,500
52142	Computer Hardware	\$ -	\$ 7,000
52143	Software	\$ 29,019	\$ 32,200
52191	Utilities	\$ 775,520	\$ 830,120
	Grand Total	\$ 6,437,037	\$ 6,112,559

Administration

The Administration budget funds the day-to-day business functions of the organization such as finance, human resources, planning, legal, real estate, information technology, and government/ legislative relations.

Communications and Marketing Department

The Communications Department consists of three different areas of focus: Media and Public Relations, Marketing, and Customer Service.

Media and Public Relations is responsible for keeping SMART's external audiences informed and engaged about the agency's services, programs, and projects. Some examples are:

- Digital and Social Media Platforms
- Websites
- Media relations
- Community presentation, construction outreach, and events
- Rail Safety Education

Marketing is responsible for outreach and marketing. Some examples are:

- Digital, Print, On-Board Train, and Platform Advertising
- Marketing Collateral

Customer Service is responsible for responding to customer inquiries through phone calls and emails received.

Finance and Procurement Department

The Finance Department includes the following functions:

- Accounting
- Budget
- Finance
- Government/ Legislative Relations
- Grants Budgeting and Reporting
- Payroll
- Procurement
- Treasury

Human Resource Department

Human Resources is responsible for personnel issues, recruitment and selection of employees, employee compensation, labor negotiations, and performance management.

Information Systems (IS) Department

The IS Department develops, operates, and maintains SMART's information and telecommunications systems.

- Maintains the cybersecurity of all SMART IT systems
- Administrative Information Systems for 4 offices including email, servers, and printers
- Railroad Information Systems such as CCTV, radio, platform equipment, and fare collection devices
- 1,300 devices consisting of computers, cell phones, vehicle locators, printers, radios, cameras, and network devices

Legal Department

The Legal department is responsible for the following:

- Transactional Matters
- Litigation
- Risk Management

Planning Department

Planning is responsible for the following functions:

- Rail and multiuse pathway planning and service delivery studies
- Ridership and service planning analyses and recommendations
- Capital planning studies
- Local and regional agency planning coordination
- First-last mile solutions planning

Real Estate

The Real Estate Department is responsible for managing SMART's Right-of-Way and processing all third-party requests for access to the Right-of-Way. It also handles property sales and acquisitions and supports all departments with title research and boundary information.

Engineering

Engineering is responsible for planning and managing the expansion of the rail and pathway systems, managing SMART's existing infrastructure, supporting grant applications, and coordinating with local jurisdictions. Most of the staff time in engineering is charged to projects, but time associated with leave, training, and non-project related activities are included in the chart below.

Administration	FY 24
General Administration	\$ 2,901,721
Information Systems	\$ 652,356
Human Resources	\$ 569,528
Legal	\$ 746,872
Marketing & Communications	\$ 520,730
Board Office	\$ 206,044
Real Estate	\$ 445,223
Planning	\$ 518,020
Engineering (Non-Project Specific)	\$ 366,967
Total	\$ 6,927,460

SMART's District Administration has 42 full-time equivalent (FTE) employees with an estimated budget for salaries and benefits of \$6,927,460. One (1) procurement position and two (2) new engineering positions have been added in Fiscal Year 2024 to accommodate the additional workload due to additional federal and state grants for pathway and extensions. A three percent (3%) cost of living increase has been included for all non-bargaining unit employees.

The Administrative Budget has increased by \$1.2 million (12%) over Fiscal Year 2023. Much of this increase is related to the following projects:

- \$400,000 for Quality of Life & Economic Analysis (Grant Funded)
- \$16,000 for Bike Locker Upgrades
- \$150,000 for wayfinding on the pathways
- \$500,000 for first/last mile to include the Airport Station Microtransit pilot.

The other large increase is in insurance, the largest driver being railroad liability insurance. We have not received our final insurance quotes but are anticipating a 15% to 20% increase. We have also formalized the tuition reimbursement program and budgeted \$131,535 for Fiscal Year 2024. The Maintenance of Radios line item was transferred from Operations to Information Systems.

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Account	Account Description	FY 23 Amended Budget	FY 24 Requested Budget
51042	Insurance	\$ 2,361,764	\$ 2,795,395
51045	Provisions for Claims	\$ 500,000	\$ 500,000
51062	Maintenance of Radios	\$ -	\$ 156,200
51206	Auditing/ Accounting Services	\$ 51,030	\$ 58,500
51207	Fiscal Accounting Services	\$ 3,600	\$ 6,000
51211	Legal	\$ 1,026,000	\$ 1,071,000
51214	Agency Extra Help	\$ 100,000	\$ 155,000
51225	Training & Travel Expense	\$ 157,000	\$ 336,535
51226	Contracted Services	\$ 222,040	\$ 192,000
51241	Printing Services	\$ 45,800	\$ 57,300
51242	Fiscal Agent Fees	\$ 5,000	\$ 5,000
51244	Permits/ Fees	\$ 30,500	\$ 30,500
51301	Public/ Legal Notices	\$ 41,500	\$ 54,800
51401	Rental/ Leases - Equipment	\$ 56,000	\$ 56,000
51421	Rental/ Leases - Buildings	\$ 460,866	\$ 460,867
51605	Mileage Reimbursement & Auto Tolls	\$ 40,320	\$ 40,560
51802	Contract Services - Administrative	\$ 1,890,574	\$ 3,093,200
51803	Contract Services - Personnel	\$ 248,850	\$ 186,000
51902	Communications	\$ 275,700	\$ 287,550
51918	Claims Processing Payroll	\$ 37,170	\$ 45,000
52021	Uniform Expense	\$ 5,000	\$ 5,000
52091	Memberships	\$ 53,879	\$ 62,510
52101	Miscellaneous Expense	\$ 1,000,000	\$ 1,000,000
52111	Office Expense	\$ 60,000	\$ 63,600
52115	Books/ Periodicals	\$ 10,500	\$ 3,500
52117	Postage	\$ 10,000	\$ 10,000
52141	Small Tools and Equipment	\$ 2,000	\$ 3,000
52142	Computer Hardware	\$ 116,000	\$ 163,500
52143	Computer Software	\$ 610,400	\$ 791,200
52161	Marketing/ Promotional Items	\$ 20,000	\$ 30,000
52162	Public Relations Expense	\$ 45,000	\$ 62,000
	Grand Total	\$ 10,389,058	\$ 11,781,717

Environmental Projects

As part of SMART’s expansions and pathway projects, riparian mitigation projects are often required by the environmental permits to compensate for temporary and permanent construction impacts. These projects entail restoring creeks and rivers by planting native trees and scrubs, removing invasive plant species, and removing trash. There are performance and monitoring criteria for each project for periods of 5 to 10 years to confirm success of the mitigation efforts.

Department	Project	FY 24 Amount
Environmental		
	San Rafael Creek (Larkspur Mitigation)	\$ 33,558
	McInnis Monitoring	\$ 133,575
	IOS Riparian Mitigation	\$ 220,000
	Las Gallinas Riparian Enhancement & Monitoring	\$ 16,188
	Mira Monte Mitigation	\$ 75,000
Total		\$ 478,321

Riparian Mitigation in Petaluma for Pathway Projects



State of Good Repair and Capital Projects

49 CFR 625.5 defines State of Good Repair (SGR) as the condition in which a capital asset can operate at a full level of performance. Per FTA, “having well maintained, reliable transit infrastructure - track, signal systems, bridges, tunnels, vehicles and stations - will help ensure safe, dependable and accessible services.”

SMART has broken our costs into State of Good Repair and Capital Projects. State of Good Repair expenditures are those costs that keep our assets in a condition where the asset can operate at a full level of performance. This requires regular repairs and replacement of those assets.

Department	Project	FY 24 Amount
Bridges		
	MP 29.31 Basalt Creek Timber Trestle Replacement (#1)	\$ 4,000
	MP 31.47 San Antonio Tributary Timber Trestle (#2)	\$ 4,000
Total		\$ 8,000
Expansion		
	Santa Rosa Airport Station to Windsor Station	\$ 10,000,000
	Windsor Station to Healdsburg Station	\$ 5,000,000
	Petaluma North Station	\$ 6,027,063
	N. McDowell Boulevard Crossing Reconstruction	\$ 778,141
Total		\$ 21,805,204
Information Technology		
	Access Control Server	\$ 14,000
	Avaya Phone System and switch	\$ 9,000
	Fulton Admin Server	\$ 5,000
	Fulton 2 UPSs	\$ 6,500
	Petaluma CCTV Network PoE Switches (2)	\$ 10,000
	Petaluma Admin Server	\$ 6,000
	Petaluma Print Server	\$ 5,000
	Roblar Internal Router	\$ 18,000
	Roblar Internet Router	\$ 9,500
	Roblar Firewall	\$ 17,900
	Roblar WAN Router	\$ 9,500
	Roblar Wi-Fi (wireless controller, APs, PoE switch)	\$ 11,000
	ROC CCTV Network PoE Switches (2)	\$ 11,000
	ROC Data Network S&U Switches (2)	\$ 14,000
	ROC IPSec Router to Sonoma County AVL	\$ 26,000
	ROC UPS 8 in racks 1-6 CDC	\$ 56,000
	ROC UPS 1 for racks 7-12 CDC	\$ 7,000
Total		\$ 235,400
Miscellaneous		
	EV Charging Station (San Marin & Hamilton)	\$ 150,000
	Platform Real-Time Signage	\$ 250,000
Total		\$ 400,000

Department	Project	FY 24 Amount
Operations		
Vehicles	F150 Crew Cab XL	\$ 45,000
	F150 Crew Cab XL (2 axle)	\$ 45,000
	F150 Crew Cab XL (2 axle)	\$ 45,000
	F250 W/ Harbor Body (2 axle)	\$ 60,000
	F-350 Hi-Rail	\$ 66,000
	F350 Extended Cab XL (Hi-Rail)	\$ 15,000
	F350 Extended Cab XL (Hi-Rail)	\$ 58,000
	F450 (2 axle)	\$ 140,000
	Escape	\$ 5,000
	Ford Interceptor	\$ 45,000
	Fusion Energi	\$ 40,000
	HiRail Boom Truck	\$ 200,000
	Ram Truck	\$ 15,000
	Tahoe	\$ 55,000
	Trailer Heavy Equipment	\$ 30,000
	Transit Connect Van	\$ 55,000
Equipment	Telehandler, forks and high capacity bucket	\$ 65,000
	Grapple Bucket for Skid Steer	\$ 4,500
Miscellaneous	Air Supply Unit	\$ 500,000
	APS Motor Fan Replacement	\$ 70,000
	APS (Auxillary Power Supply) Overhaul	\$ 700,000
	Backup generator at Roblar	\$ 50,000
	DMU Air Brake overhaul - 5 Year Option cars	\$ 250,000
	Energy Cushion Device Crash System	\$ 150,000
	Generator Plug Retrofit at all Platforms	\$ 8,000
	Guideway & Trackwork for Commuter Operation - Mainline	\$ 225,000
	Joints (Insulated/ Welded)	\$ 27,300
	Radiator Fan Modification	\$ 115,000
	Stations	\$ 150,000
	Switches (4) Signal HP / year	\$ 60,000
	Upgrade platform/walkway/parking lot lighting to LED	\$ 25,000
Total		\$ 3,318,800



The FY 24 Budget significantly advances pathway development and delivery. The budget will support the construction of 6.9 miles of pathway (Golf Course to Bellevue, Petaluma to Penngrove, McInnis to Smith Ranch, Joe Rodota Trail to W. 3rd, and the completion of Lakeville segment). The budget also funds the design work for over 15 miles of pathway in both Marin and Sonoma County. This design work is readying over 5 miles of pathway that already has grant funding commitments that will eventually fund construction of those segments. Progressing the design on the other 9.8 miles of pathway will bring these segments closer to shovel-ready, which will allow SMART to pursue additional grant funds and support their near-term completion.

See the following link for pathway interactive maps:
https://sonomamarintrain.org/smart_pathway

Department	Project	FY 24 Amount
Pathways		
	Guerneville Road to Airport Boulevard Pathway	\$ 1,429,430
	Hanna Ranch to S. Rowland Blvd. Pathway	\$ 246,466
	Marin - Sonoma Pathway Design & Permitting	\$ 1,603,744
	Marin Pathway Design & Permitting	\$ 4,098,301
	McInnis Pkwy to Smith Ranch Rd Pathway	\$ 4,835,333
	Puerto Suello Tunnel Design	\$ 708,227
	SoCo Pathway Gap Closure	\$ 6,890,620
Total		\$ 19,812,122

Rendering of Future Pathway off San Miguel Road in Santa Rosa

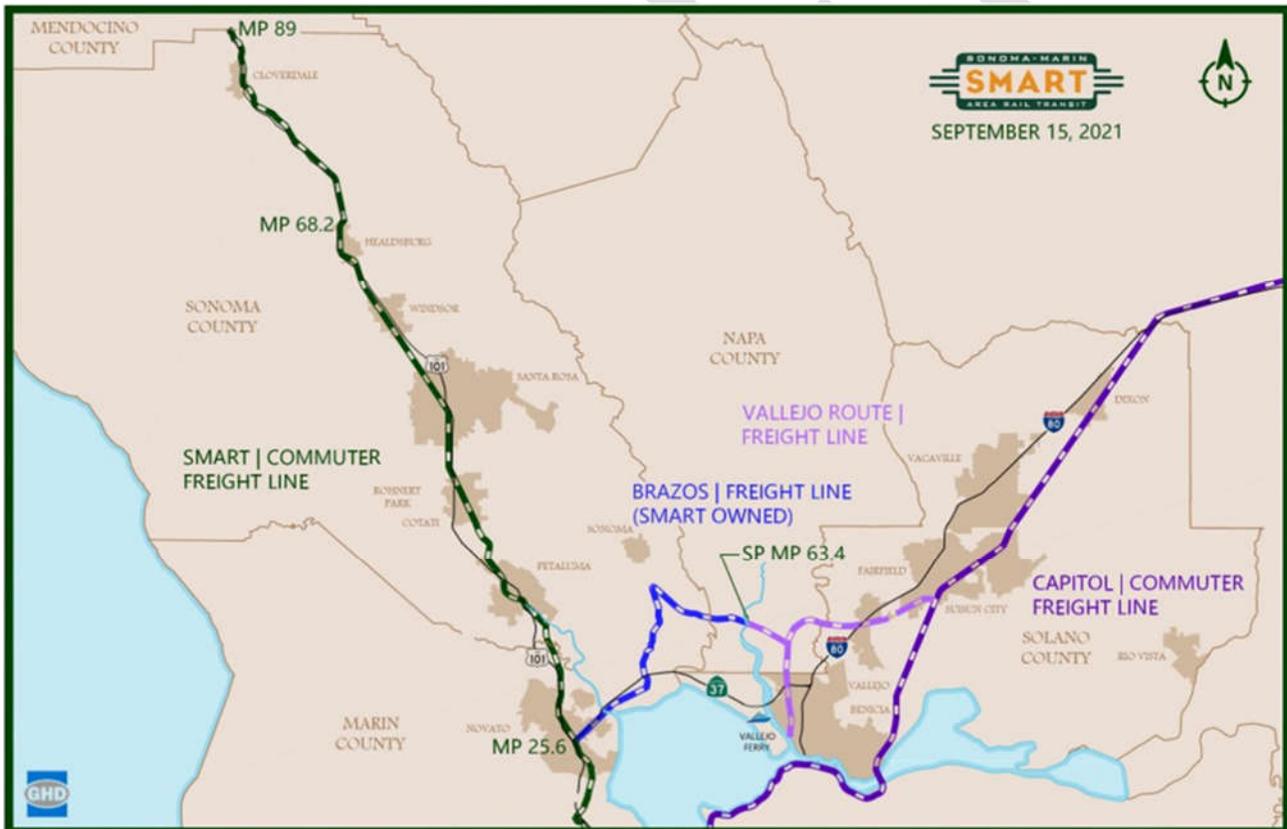


FREIGHT

Freight

In July of 2022, SMART began in-house operations of freight services. Revenues for freight operations in Fiscal Year 2024 are estimated at \$2.4 million. We anticipate spending \$920,876 on salaries and benefits, \$1,170,629 on operations, and \$648,405 on capital repairs and replacements in Fiscal Year 2024.

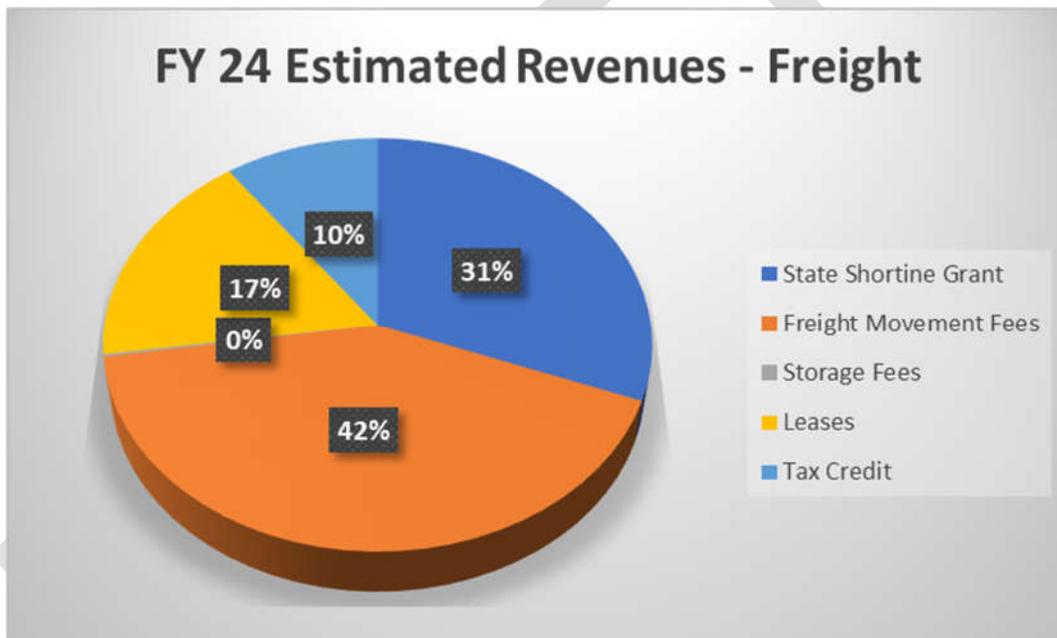
In March of 2022, SMART assumed the freight operations from the Northwestern Pacific Railroad Company (NWPCo) which had been operating service from Napa County to Petaluma since 2011. SMART began in-house operations on July 1, 2022. Currently there are three customers that receive primarily feed grain. In addition, there is a freight car storage location at the Schellville yard. Service consists of two round trips a week to Petaluma customers as well as two round trips to the California Northern Railroad to receive and deliver rail cars to and from the interchange.



Revenues and expenditures for freight operations are being tracked separately in Fund 60. Administrative expenses are allocated based on a ratio of total miles freight operated versus total miles passenger rail operated. In addition to the administrative allocation, this ratio will be used for other allocation of expenses such as radio maintenance and mainline track maintenance.

The SMART Board of Directors previously approved six (6) FTE to operate the Freight Division for the organization. The FY 24 budget for salaries and benefits for freight operations is estimated at \$920,876. The details regarding these positions can be found in Appendix C. A three percent (3%) cost of living increase is included for Fiscal Year 2024.

Now that SMART has acquired the freight operations, we have been evaluating and prioritizing the work that needs to be done to run the service and comply with all Federal Railroad Administration requirements. Work to clean up Schellville Depot was done in Fiscal Year 2023 and repairs to high priority bridges continue. In addition, the Freight Manager continues to reach out to returning and potential new customers to increase revenues to replace the revenues lost with the elimination of storage fees from Liquid Petroleum Gas (LPG) tank cars.



Revenues	FY 24
State Shortline Grant	\$ 740,000
Freight Movement Fees	\$ 1,000,000
Storage Fees	\$ 4,800
Leases	\$ 415,000
45(g) Tax Credit	\$ 239,190
Total Revenues	\$ 2,398,990



Account	Account Description	FY 23 Amended Budget	FY 24 Requested Budget
50995	Cost Allocation - Salaries & Benefits	\$ 39,503	\$ 59,975
51042	Insurance	\$ 68,000	\$ 73,704
51061	Maintenance of Equipment	\$ 64,850	\$ 33,250
51062	Maintenance of Radios	\$ 2,034	\$ 2,034
51063	Maintenance of Signals	\$ 25,000	\$ 15,000
51064	Maintenance of Revenue Vehicles	\$ 162,500	\$ 95,000
51071	Maintenance of Facilities	\$ 25,000	\$ 25,000
51074	Maintenance of Railway	\$ 79,300	\$ 60,000
51211	Legal	\$ 25,000	\$ -
51225	Training & Travel Expense	\$ 25,000	\$ 10,000
51244	Permits/ Fees	\$ 110,000	\$ 110,000
51401	Rental/ Leases - Equipment	\$ 65,000	\$ 55,000
51605	Mileage Reimbursement & Auto Tolls	\$ 2,500	\$ 2,500
51802	Contract Services - Administrative	\$ 471,875	\$ 223,206
51902	Communications	\$ 16,000	\$ 15,000
52021	Uniform Expense	\$ 5,000	\$ 5,000
52061	Fuel and Lubricants	\$ 105,000	\$ 115,000
52091	Memberships	\$ 975	\$ 1,000
52101	Miscellaneous Expense	\$ 68,074	\$ 102,500
52141	Small Tools and Equipment	\$ 40,000	\$ 15,000
52142	Computer Hardware	\$ 9,000	\$ -
52143	Computer Software	\$ 33,100	\$ 33,640
52191	Utilities	\$ 15,000	\$ 15,000
52195	Cost Allocation - Services & Supplies	\$ 158,012	\$ 104,120
Grand Total		\$ 1,615,723	\$ 1,170,929

There are four projects scheduled for Fiscal Year 2024. They are the completion of the Brazos Branch Project Phase I, Brazos Branch Phase II, tie replacement, and grade crossing repair.

Account Description	FY24 Requested Budget
Brazos Branch - Phase I	\$ 58,405
Brazos Branch - Phase II	\$ 440,000
Tie Replacement	\$ 50,000
Grade Crossing Repair	\$ 100,000
	\$ 648,405

The freight fund doesn't not have reserves and the fund balance is estimated at \$960,091 at the end of Fiscal Year 2024.

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CARRYFORWARD FUNDS/EXPENDITURES

As part of the FY 24 budget, we are anticipating carrying forward \$3,534,576 from Fiscal Year 2023 to Fiscal Year 2024 for passenger rail. This includes projects and programs that are not estimated to be completed or expended in Fiscal Year 2023. Both the revenues and expenditures will be rolled forward. Because we are estimating what will be spent between now and June 30, 2022, this number will most likely change and will be adjusted in Fiscal Year 2024 once we know actual expenditures in Fiscal Year 2023.

Account Description	FY 23 Amended Budget	Amount to Roll to FY24
Information Systems		
Bridge/Tunnel CCTV Servers and Video Appliance	\$ 40,530	\$ 40,530
Pathways		
Joe Rodota Trail to 3rd Street	\$ 445,902	\$ 387,015
Marin Pathway Design & Permitting	\$ 2,402,974	\$ 277,130
Marin - Sonoma Pathway Design & Permitting	\$ 2,567,394	\$ 160,560
McInnis Pkwy to Smith Ranch Rd Permitting	\$ 379,311	\$ 49,196
Pathway Wayfinding - Design	\$ 175,000	\$ 130,000
SoCo Pathway Gap Closure	\$ 2,481,284	\$ 1,305,390
Bridges		
MP 29.31 Basalt Creek Timber Trestle Replacement (#1)	\$ 107,401	\$ 10,000
MP 31.47 San Antonio Tributary Timber Trestle (#2)	\$ 118,840	\$ 10,000
Expansions		
Petaluma North Station	\$ 1,519,892	\$ 127,405
State Route 37 Planning Staff Time	\$ 14,000	\$ 9,000
Environmental		
SoCo Monitoring Segment 1 and 2	\$ -	\$ 48,426
Mira Monte Mitigation	\$ 260,000	\$ 217,000
Fleet Advanced from FY 24 to FY 23		
F250 Crew Cab w/ Harbor Body	\$ 60,000	\$ 60,000
F-350 Hi-Rail	\$ 75,000	\$ 75,000
F350 Extended Cab XL (Hi-Rail)	\$ 45,000	\$ 45,000
F350 Extended Cab XL (Hi-Rail)	\$ 83,000	\$ 83,000
Escape	\$ 35,000	\$ 35,000
Ram Truck	\$ 35,000	\$ 35,000
Buildings & Infrastructure		
Freight Sidings/Turnouts	\$ 76,650	\$ 79,330
Healdsburg Warehouse Roof Repairs	\$ 105,000	\$ 110,000
Vehicles Maintenance		
DMU Side Skirting	\$ 130,000	\$ 130,000
Permanent Magnet Alternator (PMA) Overhaul	\$ 82,400	\$ 31,692
Miscellaneous		
FRA Suicide Prevention Grant	\$ 80,000	\$ 78,902
Totals	\$ 11,319,579	\$ 3,534,576

As part of the FY 24 budget, we are anticipating carrying forward \$496,692 from Fiscal Year 2023 to Fiscal Year 2024 for freight. The Brazos Branch bridge repair project is not expected to be completed and fully expended in Fiscal Year 2023. Both the revenues and expenditures will be rolled forward. Because we are estimating what will be spent between now and June 30, 2022, this number will most likely change and will be adjusted in Fiscal Year 2024 once we know actual expenditures in Fiscal Year 2023.

Project Description	FY 23 Amended Budget	Amount to Roll to FY24
Brazos Branch - Bridge Repairs (Emergency & Phase I)	\$ 1,845,963	\$ 496,692

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Reserves

SMART has several reserves that have been established for various purposes.

Pension & OPEB Liability Reserve

This reserve is to ensure that we have funds set aside for future pension costs. We have set aside \$500,000 for Fiscal Year 2024. The Fiscal Year 2024 balance is \$4,574,676.

Vehicles & Equipment Reserve

This reserve is used to accumulate funds for future capital equipment needs such as DMU replacement. The Fiscal Year 2023 balance is \$9,625,000. We are adding an additional \$1,000,000 for a total reserve of \$10,625,000 in Fiscal Year 2024.

Corridor Completion Reserve

This reserve was established in the FY 2020/2021 amended budget to set aside funds for design, environmental, or leveraging grants. The current balance is \$7,000,000.

Operating Reserve

The Fiscal Year 2023 operating reserve was \$10 million. We have calculated 25% of the operating costs for Fiscal Year 2024 which would result in a reserve of \$11,278,617 or an increase of \$1,278,617.

Fund Balance

The estimated fund balance for Fiscal Year 2024 year-end is \$27,683,704.

Debt

In October of 2020, SMART pursued a successful taxable advance refunding of the 2011A bonds. The refunding matched the existing March 1, 2029, final maturity of the 2011A bonds. These bonds are secured by a gross lien of SMART's ¼ cent sales tax. The bonds were rated "AA" by Standard & Poor's. The new debt service schedule is listed below.

Fiscal Year	Series 2020 Bonds Principal	Series 2020 Bonds Interest	Debt Service
2021	\$3,365,000.00	\$566,576.35	\$3,931,576.35
2022	13,280,000.00	1,656,755.80	14,936,755.80
2023	14,015,000.00	1,581,192.60	15,596,192.60
2024	14,765,000.00	1,479,443.70	16,244,443.70
2025	15,580,000.00	1,324,115.90	16,904,115.90
2026	15,860,000.00	1,136,844.30	16,996,844.30
2027	16,105,000.00	893,869.10	16,998,869.10
2028	16,385,000.00	614,930.50	16,999,930.50
2029	13,615,000.00	284,281.20	13,899,281.20
Total	\$122,970,000.00	\$9,538,009.45	\$132,508,009.45

APPENDIX A - PASSENGER RAIL OVERVIEW OF SOURCES & USES

	A	B	C	
	FY 23 Amended Budget	FY 24	Difference	
1	Beginning Fund Balance *	\$ 37,393,310	\$ 39,066,717	\$ 1,673,407
2	Revenues			
3	Rollforward from FY 2023	\$ 3,730,989	\$ 2,111,381	\$ (1,619,608)
4	SMART S&U Tax			
5	Measure Q	\$ 51,090,000	\$ 51,103,000	\$ 13,000
6	Federal Funds			
7	5307 - Urbanized Area Formula Funds (Preventative Maintenance)	\$ 4,148,529	\$ 3,997,642	\$ (150,887)
8	American Rescue Plan	\$ 7,507,797	\$ -	\$ (7,507,797)
9	FRA Suicide Prevention Grant	\$ 80,000	\$ -	\$ (80,000)
10	Quick Strike (CMAQ) (Pathway Payran to Lakeville)	\$ 806,000	\$ 1,857,999	\$ 1,051,999
11	Discretionary Earmark	\$ -	\$ 1,800,000	\$ 1,800,000
12	State Funds			
13	STA - State Transit Assistance (Revenue)	\$ 2,291,573	\$ 3,170,013	\$ 878,440
14	STA-State Transit Assistance (Population)	\$ 534,918	\$ 653,792	\$ 118,874
15	SB1 - SRA - State Rail Assistance	\$ 3,700,000	\$ 5,026,754	\$ 1,326,754
16	LCTOP - Low Carbon Transit Operating	\$ 534,762	\$ 520,218	\$ (14,544)
17	State - TIRCP SH 37 Network Integration	\$ 750,000	\$ -	\$ (750,000)
18	STA-SGR (State of Good Repair)	\$ 318,586	\$ 330,712	\$ 12,126
19	SB1 - Local Partnership Program	\$ -	\$ 1,857,999	\$ 1,857,999
20	AHSC - Windsor	\$ -	\$ 1,093,230	\$ 1,093,230
21	ITIP - Windsor Systems	\$ -	\$ 2,186,460	\$ 2,186,460
23	SCC - Windsor	\$ -	\$ 6,559,379	\$ 6,559,379
24	ATP - SoCo Pathway - CTC/Caltrans/MTC	\$ 2,567,394	\$ 5,210,927	\$ 2,643,533
25	TIRCP - Petaluma North and McDowell Crossing	\$ -	\$ 4,125,768	\$ 4,125,768
26	TIRCP - Windsor to Healdsburg	\$ -	\$ 3,200,000	\$ 3,200,000
27	Caltrans Sustainability Communities Competative Planning Grant	\$ -	\$ 400,000	\$ 400,000
28	Other Sources			
29	Fare Revenues	\$ 1,600,000	\$ 1,803,384	\$ 203,384
30	Parking	\$ -	\$ 15,000	\$ 15,000
31	Interest Earning	\$ 450,000	\$ 627,926	\$ 177,926
32	Advertising	\$ 100,000	\$ 70,000	\$ (30,000)
33	Rent - Real Estate	\$ 266,631	\$ 423,721	\$ 157,090
34	Misc.	\$ 130,000	\$ 5,659	\$ (124,341)
35	Charges for Services	\$ 28,235	\$ 75,637	\$ 47,402
36	Sale of Property	\$ 15,000	\$ -	\$ (15,000)
37	Regional Funds			
38	Other Governments	\$ 153,855	\$ 2,000,000	\$ 1,846,145
39	Measure M - SCTA		\$ 480,108	\$ 480,108
40	County Intergovernmental Funds -SCTA TIF (SoCo Pathway)	\$ 1,519,892	\$ -	\$ (1,519,892)
41	Total Revenues	\$ 78,593,172	\$ 98,595,328	\$ 20,002,156
42	Total Revenues + Fund Balance	\$ 115,986,482	\$ 137,662,045	\$ 21,675,563
43				

	FY 23 Amended Budget	FY 24	Difference	
44				
45	Debt Service	\$ 15,596,193	\$ 16,244,444	\$ 648,251
46	Salaries & Benefits	\$ 24,620,542	\$ 27,157,564	\$ 2,537,022
47	Reduction for Salaries Charged to Projects	\$ (1,104,891)	\$ (1,467,867)	\$ (362,976)
48	Reduction for Allocation of Salaries/ Services/ Supplies to Freight	\$ (197,515)	\$ (164,036)	\$ 33,479
49	Service & Supplies	\$ 15,873,763	\$ 19,429,772	\$ 3,556,009
50	Total Salaries, Benefits, Service, & Supplies	\$ 39,191,899	\$ 44,955,433	\$ 5,763,534
51	Contribution to OPEB/ CalPERS Liability Fund	\$ 500,000	\$ 500,000	\$ -
52	Contribution to Capital Sinking Fund	\$ 2,000,000	\$ 1,000,000	\$ (1,000,000)
53	Operating Reserve	\$ -	\$ 1,278,617	\$ 1,278,617
54	Total Reserve Contributions	\$ 2,500,000	\$ 2,778,617	\$ 278,617
55	Planning	\$ 675,000	\$ 250,000	\$ (425,000)
56	Environmental	\$ 451,350	\$ 478,321	\$ 26,971
57	Total Planning & Environmental	\$ 1,126,350	\$ 728,321	\$ (398,029)
58	Total Debt Service, Operating, Reserves, Environmental/ Planning	\$ 58,414,442	\$ 64,706,815	\$ 6,292,373
59	Balance	\$ 57,572,040	\$ 72,955,230	\$ 15,383,190
60				
61		FY 23 Amended Budget	FY 24	Difference
62				
63	State of Good Repair			
64	Track, MOW, and Facilities	\$ 634,548	\$ 487,300	\$ (147,248)
65	Safety and Security	\$ 477,225	\$ -	\$ (477,225)
66	DMU	\$ 1,226,500	\$ 1,785,000	\$ 558,500
67	Bridges	\$ 226,241	\$ 8,000	\$ (218,241)
68	Other Construction	\$ 120,563	\$ 150,000	\$ 29,437
69	Information Technology	\$ 264,500	\$ 235,400	\$ (29,100)
70	Non-Revenue Vehicles	\$ 917,840	\$ 919,000	\$ 1,160
71	Equipment	\$ 85,030	\$ 69,500	\$ (15,530)
72	Total State of Good Repair	\$ 3,952,447	\$ 3,654,200	\$ (298,247)
73				
74		FY 23 Amended Budget	FY 24	Difference
75				
76	Capital Projects			
77	Pathways	\$ 10,025,851	\$ 19,812,122	\$ 9,786,271
78	Expansion	\$ 2,272,025	\$ 21,805,204	\$ 19,533,179
79	Land Purchase	\$ 255,000	\$ -	\$ (255,000)
80	Total Capital Expenditures	\$ 12,552,876	\$ 41,617,326	\$ 29,064,450
81				
82		FY 23 Amended Budget	FY 24	Difference
83				
84	Future Match for Federal/ State Funds	\$ 2,000,000	\$ -	\$ (2,000,000)
85	Ending Fund Balance	\$ 39,066,717	\$ 27,683,704	\$ (11,383,013)
	* Excludes Reserves			

APPENDIX B - FREIGHT OVERVIEW OF SOURCES & USES

FISCAL YEAR 2023-2024 BUDGET: SOURCES AND USES				
		A	B	C
		FY 23	FY 24	Difference
1	Beginning Fund Balance	\$ 1,107,702	\$ 1,301,011	\$ 193,309
2	Revenues			
3	State Grant (42341)	\$ 4,000,000	\$ -	\$ (4,000,000)
4	State Shortline Grant (Blackpoint)	\$ 206,000	\$ 740,000	\$ 534,000
5	Freight Movement Fees	\$ 1,100,000	\$ 1,000,000	\$ (100,000)
6	Leases	\$ 245,000	\$ 415,000	\$ 170,000
7	Storage	\$ 25,000	\$ 4,800	\$ (20,200)
8	45(g) Tax Credit	\$ 239,190	\$ 239,190	\$ -
9	Total Revenues	\$ 5,815,190	\$ 2,398,990	\$ (3,416,200)
10	Total Revenues + Fund Balance	\$ 6,922,892	\$ 3,700,001	\$ (3,222,891)
11				
12		FY 23	FY24	Difference
13				
14	Salaries	\$ 786,060	\$ 920,876	\$ 134,816
15	Service & Supplies	\$ 1,615,723	\$ 1,170,629	\$ (445,094)
16	Total Salaries, Benefits, Service, & Supplies	\$ 2,401,783	\$ 2,091,505	\$ (310,278)
17	Balance	\$ 4,521,109	\$ 1,608,496	\$ (2,912,613)
18				
19		FY 23	FY24	Difference
20				
21	Blackpoint Bridge	\$ 725,741	\$ -	\$ (725,741)
22	Highway 37 Grade Crossing Reconstruction	\$ 505,394	\$ -	\$ (505,394)
23	Brazos Branch - Bridge Repairs (High Priority)	\$ 1,845,963	\$ 58,405	\$ (1,787,558)
24	Brazos Branch - Phase II	\$ -	\$ 440,000	\$ 440,000
25	New York Air Brake	\$ 68,000	\$ -	\$ (68,000)
26	PTC	\$ 75,000	\$ -	\$ (75,000)
27	Tie Replacement	\$ -	\$ 50,000	\$ 50,000
28	Grade Crossing Repair		\$ 100,000	\$ 100,000
29	Total Capital & SOGR	\$ 3,220,098	\$ 648,405	\$ (2,571,693)
30	Balance	\$ 1,301,011	\$ 960,091	\$ (340,920)

APPENDIX C - POSITION AUTHORIZATION

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APPENDIX D -STATISTICAL INFORMATION

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APPENDIX E - STATEMENT OF INVESTMENT POLICY

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APPENDIX F: APPROPRIATION CALCULATION

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APPENDIX G - ORGANIZATION CHART

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