



**BOARD OF DIRECTORS
REGULAR MEETING AGENDA
May 15, 2024 - 1:30 PM**

Members of the public who wish to attend in person may do so at:

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.

HOW TO WATCH THE LIVE MEETING USING THE ZOOM

<https://sonomamarintrain->

[org.zoom.us/j/88227285065?pwd=SWQ4eDBMcTIHZUgvVndiYlhHTzJPUT09](https://sonomamarintrain-)

Webinar ID: 882 2728 5065; Passcode: 019592

TELECONFERENCE

Members of the public wishing to participate via teleconference can do so by dialing in the following number the day of the meeting: (669) 900-9128; Access Code: 882 2728 5065; Passcode: 019592.

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HOW TO PROVIDE COMMENTS ON AGENDA ITEMS

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 Board@SonomaMarinTrain.org by 5:00 PM on Tuesday, May 14, 2024.

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 DIRECTORS REGULAR MEETING AGENDA May 15, 2024

Members of the public who wish to attend in person may do so at:

5401 Old Redwood Highway, 1st Floor

Petaluma, CA 94954

1. Call to Order
2. Approval of the April 17, 2024 Board Meeting Minutes and May 1, 2024 Budget Workshop Minutes
3. Board Member Announcements
4. General Manager's Report
5. Public Comment on Non-Agenda Items

Consent Calendar

- 6a. Monthly Ridership Report – April 2024
- 6b. Approval of Monthly Financial Reports – March 2024
- 6c. Adopt the Resolutions Authorizing the Annual Filing of Grant Applications for Federal Transit Administration Formula 5307, Federal Transit Administration Formula 5337 State of Good Repair, State Transit Assistance, State Rail Assistance, State Low Carbon Transit Program and State of Good Repair fund Program for a Total of \$18,341,310 in Fiscal Year 2024-2025 Budget Operations Grant Support

Regular Calendar

7. Fiscal Year 2025 Draft Budget (*Information and Discussion*) – Presented by Heather McKillop
8. Closed Session - Conference with Board of Directors to Consider Public Appointment for the position of General Counsel – Pursuant to California Government Code Section 54957
9. Report Out of Closed Session
10. The approved Board of Directors Meeting of **Tuesday, June 18, 2024** (*Date changed due to Juneteenth*) – 1:30 PM – 5401 Old Redwood Highway, 1st Floor, Petaluma, CA 94954
11. Adjournment

ACCOMODATIONS:

Public participation is solicited without regard to race, color, national origin, age, sex, gender identity, religion, disability or family status. Upon request, SMART will provide for written agenda materials in appropriate alternative formats, disability-related modification or other accommodation, to enable individuals to participate in and provide comments at/related to public meetings. Please submit a request, including your name, phone number and/or email address, and a description of the modification, accommodation, service, or alternative format requested at least two (2) days before the meeting. Requests should be emailed to Leticia Rosas, Clerk of the Board at lrosas@sonomamarintrain.org or submitted by phone at (707) 794-3072. Requests made by mail SMART's, 5401 Old Redwood Highway, Suite 200, Petaluma, CA 94954 must be received at least two days before the meeting. Requests will be granted whenever possible and resolved in favor of accessibility.



**BOARD OF DIRECTORS
REGULAR MEETING MINUTES**

April 17, 2024 – 1:30 PM

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

1. Call to Order

Chair Lucan called the meeting to order at 1:30pm. Directors Farac, Fudge, Garbarino, Pahre, Paulson, Rogers, and Sackett were present. Director Colin was absent. Director Bagby arrived later.

Vice Chair Bagby arrived at 1:33pm

Director Coursey and Director Rabbitt were unable to attend in person due to a verified “Just Cause” and requested to participate remotely via Zoom. A roll call vote was held to approve Director Coursey and Director Rabbitt remote attendance.

MOTION: The motion carried 11-0 (Director Colin absent)

2. Approval of the April 3, 2024, Board Meeting Minutes

MOTION: Director Phare moved approval of the April 3, 2024, Board Meeting Minutes as presented. Director Paulson second. The motion carried 11-0 (Director Colin absent)

3. Board Members Announcements

Director Rabbitt provided an update on recent meetings regarding the Regional Transportation Measure, mentioning discussions with three State Senators who are the authors of the measure. He highlighted the fiscal challenges faced by SMART compared to other agencies such as BART, Muni, and Caltrain, emphasizing SMART's unique fiscal cliff. Director Rabbitt expressed optimism about progress in regional discussions, potential assistance, and positive reception from stakeholders.

4. General Manager’s Report

General Manager’s Cumins provided a PowerPoint presentation, now accessible on SMART’s website. Highlights include:

- Ridership Update
- Senate Bill 904

- Construction Update
- Butter and Eggs Days
- Employees of the Quarter
- Questions

Ridership Update

- Weekday Ridership
 - March average weekday ridership: 2,684 (31% increase from March 2023, 14% increase from March 2019)
 - April average weekday ridership: 2,931 (25% increase from April 2023, 21% increase from April 2019)
- Monthly Ridership
 - March's ridership reached 67,421, marking a 26% increase from March 2023 and a 16% rise from March 2019 year-to-date.
 - Overall, ridership for the period was tracking approximately 6% higher than in 2019.
- SMART Annual Ridership
 - FY 2019 marked the peak, with subsequent progress.
 - Ridership stood at 640,099 at the end of the last fiscal year.
 - Projections indicate a record of 825,000 riders by the end of the current fiscal year.
- Ridership Highlights
 - Wednesday, April 10th, 2024, set a record.
 - Thursday also marked an all-time high for ridership.
 - Last week saw a new peak in weekday ridership.
 - FY23 ridership was surpassed on Monday.
 - Tuesday April 16, 2024, also set a record for ridership.
 - The recent successes put previous achievements into perspective.
- Pathway Counts
 - Pathway counts increased in March.
 - 51,429 pathway users were recorded.
 - The increase is attributed to warmer weather.

Senate Bill 904 (Dodd)

General Manager Cumins updated the board on Senate Bill 904 (Dodd), which amended SMART's Enabling Legislation. The bill increased the procurement bidding threshold for supplies, materials, and equipment from \$40,000 to \$75,000. It also removed restrictions for SMART facilities in certain areas. Furthermore, it confirmed that voters from Sonoma and Marin counties are authorized to place initiatives on the ballot, allowing them to protect their investments. The initiative process would involve signature gathering and a majority vote to pass.

Construction Update

Construction Update: Petaluma North Station:

General Manager Cumins provided updates on construction projects, including the Petaluma North Station platform foundation and the recent closure on April 12th- 15th at McDowell crossing. Despite significant demolition and noise, there were no noise complaints thanks to effective communication with neighbors. The operations team played a crucial role in these projects, providing safety support, completing various tasks such as removing hazardous trees and

installing new software, and ensuring transportation operations ran smoothly. General Manager Cumins praised the team's efforts and requested applause from the Board.

Construction Update: Windsor Station:

General Manager Cumins presented photos of the platform formwork and drainage structure installation at Windsor. They expressed excitement about the progress in the area, noting Director Fudge's visit to the site.

Butters and Egg Days

General Manager Cumins reported that the board had approved free fare, anticipating high ridership. Last year's ridership was promising, with packed trains, and this year, three car trains will run all day on Saturday. High ridership is expected, possibly setting another record.

Employees of the Quarter

General Manager Cumins announced the launch of a new Employee of the Quarter program during the January 2024 board meeting. Employees are nominated by their peers, and winners are chosen from different divisions. Each winner is awarded a certificate and a paid day off. The Board members posed for a photo with all the Employee of the Quarter awardees as well as SMART employees in attendance at the meeting. Employee of the Quarter winners:

- *Cassandra Perez*, Administrative Assistant, received recognition for her positive attitude and exceptional customer service skills.
- *Damon Page*, Track Supervisor, was honored for his dedication to safety and leadership in Maintenance of Way.
- *Nichole Cavatino*, Engineer Conductor, was commended for her innovative training methods and commitment to excellence in Transportation.
- *Luis Vega Dondiego*, Laborer, was recognized for his proactive approach to vehicle maintenance and his willingness to assist others.

Comments

Chair Lucan thanked General Manager Cumins for his report and congratulated the employees of the quarter for their recognition.

Director Rogers expressed appreciation for the update on Senator Dodd's bill, particularly highlighting language pertaining to facilities in unincorporated areas. There was a discussion about amending the section concerning Sonoma County's representation selection, suggesting inclusion of Sebastopol and Sonoma residents. However, General Manager Cumins clarified that the proposed amendment wasn't included but expressed willingness to pursue it if directed by the board. Director Rogers, while not wanting to derail the bill, expressed personal support for inclusivity in board representation for taxpayers.

Director Fudge expressed agreement with Director Rogers' remarks. She also asked whether the flyers offering free rides for youth and seniors were being physically mailed and displayed in senior centers and schools to enhance visibility. General Manager Cumins replied that they would verify whether this was being implemented.

Director Garbarino expressed her attention to detail regarding General Managers Cumins presentation, noting that March ridership was not 6% over March 2019 as mentioned, but rather 16%.

Chair Lucan expressed gratitude to Senator Dodd and his office for carrying legislation and being supportive of having conversations about it. Chair Lucan appreciated Senator Dodd's support of SMART with the legislation.

Vice Chair Bagby inquired about the availability of downloadable flyers on the website for senior centers. General Manager Cumins confirmed they should be available but needed to verify. Vice Chair Bagby expressed willingness to share the link once confirmed.

5. Public Comment on Non-Agenda Items

Dani Sheehan expressed support for Dodd's SB 904, stating that if it passed and was approved, Friends of SMART would be fully on board.

James Duncan praised SMART and Santa Rosa for posting written comments online, improving transparency and public participation. This practice allows the public to know what's being considered and follow the Board's response to their concerns, marking a clear improvement from past practices.

Chris Gunther addressed the Board regarding Jennings Crossing. He emphasized the need for safety beyond the rail corridor, advocating for a safe crossing to support a complete bike and pedestrian network in Santa Rosa. Gunther highlighted the importance of connectivity to services in the Northwest, stressing collaboration to achieve a seamless transportation network.

Janet Morocco expressed support for the Jennings neighborhood and its proposed crossing, highlighting the importance of connectivity for residents. She urged the board to consider the City of Santa Rosa's proposal, emphasizing its fairness and potential benefits. Morocco suggested that accepting the proposal would be a positive move for SMART and its public image.

James Duncan provided an update on his involvement with the City of Santa Rosa's California Public Utility Commission (CPUC) Application for the Jennings Avenue rail crossing. He mentioned filing a complaint in 2021 regarding SMART's role in the delayed construction. The CPUC proceedings are ongoing, with briefs due on May 10th and June 7th. The deadline for the proceeding is extended to December 29th. The Board received written comments on Item 9, assuming consideration of Santa Rosa's counterproposal, which is pending completion of attachments before submission to SMART. Duncan distributed printed copies of detailed comments for the Board's review.

During the meeting, a guest emphasized the significance of SMART, particularly considering the attention on Jennings. They stressed SMART's role in reducing driving habits to meet Air Resources Board goals and urged consideration of this perspective for future discussions.

Eris Weaver congratulated the employees of the quarter and acknowledged the progress of Senate Bill 904. She expressed gratitude for the support during bike month and highlighted SMART's involvement in promoting cycling. Weaver also emphasized improving relations between organizations and announced the upcoming Golden Spoke Awards for bike related achievements. She encouraged nominations through their website and mentioned personal experiences with train fare policies.

Jack Swearingen reminisced about his college days studying mechanical engineering and the evolution of SAE into SAE International. He emphasized safety, affordability, and effectiveness in discussing the Jennings crossing, highlighting concerns about shortcuts and effectiveness for pedestrians and bicycles. He urged consideration of all dimensions in decision making.

6. Consent
 - a. Monthly Ridership Report
 - b. Approval of Monthly Financial Reports – February 2024

MOTION: Director Garbarino moved approval of the Consent Agenda items as presented. Director Farac second. The motion carried 11-0 (Director Colin absent)

7. Approve Appointments to the Citizens Oversight Committee (COC) – *Presented by General Manager Cumins*

General Manager Cumins provided a PowerPoint presentation that is now accessible on SMART's website. Highlights include:

- *Citizens Oversight Committee Vacancies*
 - COC vacancies discussed with staggered terms (1, 2, or 3 years)
 - Three appointments expire on May 31
 - Vacancies advertised between January 18th - February 29th
 - Ad HOC committee established at April 3rd meeting
 - Committee members: Chair Lucan, Vice Chair Bagby, Director Colin, Director Garbarino, and Director Rogers
 - Committee met on April 11th
 - Reviewed 18 applications
 - Recommended 3 individuals for appointment, despite absence of Chair Lucan and Director Rogers
- *Citizens Oversight Committee Appointments*
 - Ad HOC committee recommendations: Lucy Dilworth and Thomas Engdahl reappointed from Marin County and Kevin Hagerty newly appointed from Marin County
 - If approved, Marin County would have 5 representatives and Sonoma County 4
 - Staff recommends accepting committee's recommendations
 - Appoint members to Citizens Oversight Committee (COC) for 3-year term
 - If approved, attendees to next COC meeting on May 20, 2024, at 1:30 pm

Comment

Chair Lucan expressed gratitude to the ad hoc committee members for their attendance, apologizing for his and Director Rogers' absence.

Vice Chair Bagby reported on the busy April season, noting a diminished attendance. The Ad HOC Committee, comprising Directors Colin, Director Garbarino, and herself, reviewed candidates and unanimously supported them. They faced an abundance of applicants, aiming to balance the committee per General Manager Cumins' advice. Vice Chair Bagby thanked fellow directors for their leadership and emphasized the quality of discussion and recommendation.

Dani Sheehan expressed gratitude for the board's diligence in selecting members, welcoming back Lucy and Tom. She anticipated working with a new member and thanked everyone for their efforts. Dani Sheehan mentioned a forthcoming report in August and expressed excitement about the group's progress.

MOTION: Director Rogers moved approval for the Appointments to the Citizens Oversight Committee (COC). Director Fudge second. The motion carried 11-0 (Director Colin absent)

8. Corridor Identification and Development Program – *Presented by Planning Manager, Emily Betts*

Planning Manager Emily Betts revealed that in December, the Federal Rail Administration designated eight California corridors for the Corridor ID program. This list includes the East West Corridor from Novato to Suisun City, a segment of the Capitol Corridor. Caltrans secured \$500,000 for the initial planning phase, with SMART acting as a collaborator. Planning Manager Emily welcomed Kyle Gradinger from Caltrans, who presented a PowerPoint that is now accessible on SMART's website. Key points from the presentation are as follows:

Corridor Identification and Development Program

- Introduced under the Bipartisan Infrastructure Law (BIL) or the Infrastructure Investment and Jobs Act (IIJA), the Corridor Identification and Development Program (CIDP or CID) by the Federal Railroad Administration aims to establish sustained inner-city passenger rail services nationwide.
- Bipartisan Infrastructure law: Rail Development Goals
 - Reviewed goals of the bipartisan infrastructure law for inner city passenger rail.
 - Emphasized building a foundation for a long-term rail program.
 - Highlighted the role of the CIDP program in achieving these goals.
- CID Program Overview
 - CID program: six phases, two years
 - CalTrans submitted seven proposals in California, five accepted
 - Plan identifies corridor needs and projects
 - Inventory used for annual congressional funding pipeline
 - Projects in CID pipeline eligible for Federal Railroad Administration funding
 - Transitioning from discretionary calls to structured pipeline format
- CA CID Program Corridors
 - California corridor ID program includes corridors chosen by Federal Railroad Administration

- CalTrans sponsors five: Central Coast, Coachella Valley, Capital, Surfliner, and San Joaquin Valley
- Highspeed rail authority and Brightline West also involved
- High desert segment connects Brightline West and California Highspeed Rail
- Amtrak aims to increase frequency of Sunset Limited service from Los Angeles to New Orleans
- Focus: Capitol Corridor
 - Applied for Capitol Corridor and Smart East West initiatives
 - Federal Railroad Administration proposed consolidating projects into one corridor development program
 - Agreement and appreciation for suggested approach
- Federal Railroad Administration Project Lifecycles – Corresponding Federal Railroad Administration Funding
 - Federal Railroad Administration discussed project lifecycle for corridor development
 - Lifecycle includes systems planning, high level network planning, and project development stages
 - Ultimately, operation on intercity passenger rail side falls under Federal Railroad Administration
 - Currently, no operating funding available from Federal Government for this purpose
 - Potential future support programs may exist
 - Feds Day Partnership funding program, largely supported by BIL, backed new corridor projects.
- Steps 1, 2, and 3
 - Funding awarded quarterly up to \$500,000 for scoping and service development plan.
 - Next phase includes preparing an Updated Service Development Plan with a 90% Federal and 10% local match.
 - A complex corridor is projected to cost between \$15 million and \$20 million for a 3 to 5-year program, while other corridors are estimated to range from \$5 million to \$10 million.
 - Identification of local sources for matching funds.
 - Following the plan, NEPA and preliminary engineering with an 80% Federal match.
 - California's advanced rail infrastructure provides an advantage.
- Next Steps
 - Anticipating access to Federal funding soon Key partners include SMART Union Pacific, Caltrain, and San Joaquin
 - Service Develop Plan work projected to commence by January 2025
 - Federal Railroad Administration supportive of ongoing projects
 - Envisage a 3-to-4-year planning process starting early next year
 - Implementation of projects expected thereafter

Comment

Director Rogers requested a brief overview regarding the impact of Highway 37. General Manager Cumins explained that the alignment in question is part of the Highway 37 Committee's focus. It runs along Highway 37, crosses near the racetrack, and is integral to transit discussions. Also, the potential bus and passenger rail components to alleviate congestion on Highway 37.

Director Garbarino asked about the turntable in the water, mentioning a previous incident where it was hit and needed repair. She inquired about its relation to the potential fix for Highway 37. General Manager Cumins clarified that the bridge occasionally gets hit but repairs have been made, stating it has no direct impact on the current project.

Director Fudge commended Mr. Gradinger's clear explanation of a complex topic. She asked about the NEPA process timeline. Mr. Gradinger explained it depends on project scope, mentioning tier one and tier two options. Director Fudge inquired about station locations along the central coast corridor. Mr. Gradinger confirmed that the non-linear nature of the corridor and plans to connect Santa Cruz to the main line at Pajaro, eventually reaching Gilroy section was included.

Chair Lucan asked about coordination between Caltrans divisions for the Highway 37 project and potential rail alongside it. Mr. Gradinger explained the separate divisions but noted collaboration due to the corridor's future rail designation. Chair Lucan emphasized including rail in project planning despite funding challenges. Mr. Gradinger suggested continued coordination between divisions and the SMART team for a unified voice.

Chair Lucan adjourned the Board to Closed Session at 2:42 pm on the following:

9. Closed Session - Conference with legal counsel regarding existing litigation pursuant to California Government Code Section 54956.9(a); Number of cases: (2)
 1. James Duncan v. SMART; CPUC No. C.21-06-011
 2. Application of City of Santa Rosa for a Crossing at Jennings Avenue; CPUC No. A.15-05-014
10. Report Out Closed Session

District Counsel Sutherland reported out of Closed Session at 3:40 pm on the following:

Conference with legal counsel regarding existing litigation pursuant to California Government Code Section 54956.9(a); Number of cases: (2)

1. James Duncan v. SMART; CPUC No. C.21-06-011
 2. Application of City of Santa Rosa for a Crossing at Jennings Avenue; CPUC No. A.15-05-014
- Report Out:* No Action taken.

11. Next Regular Board of Directors-Workshop Meeting, May 1, 2024 – 1:30 PM – 5401 Old Redwood Highway, 1st Floor, Petaluma, CA 94954
12. Adjournment – Meeting adjourned at 3:51pm

Respectfully submitted,

Cassandra Perez
Administrative Assistant

Approved on: _____



**BOARD OF DIRECTORS
WORKSHOP MINUTES
May 1, 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 1:30pm. Directors Colin, Coursey, Farac, Fudge, Garbarino, Pahre, Paulson, and Rabbitt were present. Director Rogers was absent. Directors Bagby and Sackett arrived later.

Director Farac was unable to attend in person due to a verified “Just Cause” and requested to participate remotely via Zoom. A roll call vote was held to approve Director Farac attending remotely.

MOTION: Carried by 9-0 (Directors Bagby and Sackett arrived later; Rogers Absent)

2. Board Members Announcements

Director Garbarino shared her experience attending a wedding in Winters. At breakfast, everyone present were SMART riders, either commuting to school or work. They expressed enthusiasm and admiration for SMART, from young charter school students to college attendees. The atmosphere was joyful and positive.

Director Fudge noted significant interest from seniors in Windsor regarding free ridership. She mentioned assisting one senior in downloading the app, who plans to take her church group on the SMART train and explore the city, including learning about the ferry, Muni, and SMART services.

Vice Chair Bagby arrived at 1:33pm

Chair Lucan shared about a recent event at the San Rafael station aimed at educating seniors and community members about riding the SMART train for free. Around 25 individuals attended, including commissioners on aging, community members, and SMART staff. Some

attendees rode the SMART train for the first time. Chair Lucan thanked the staff for their participation.

3. Public Comment on Non-Agenda Items

Dani Sheehan expressed excitement about the upcoming presentation. She noted that Friends of SMART will be happy to assist in conducting tours to community groups if needed.

Director Sackett arrived at 1:38pm

4. 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 2024/2025 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 2025
- Revenues – Sales and Use Tax
- Revenues – Federal
- Revenues – State
- Revenues – State (Project Specific)
- Revenues – Local Governments (Project Specific)
- Revenues – Other SMART Sources

Comments

Director Rabbitt asked about state of good repair funds for fixed rail and their distribution. Chief Financial Officer McKillop explained the allocation process and SMART's share, highlighting recent increases in funding. General Manager Cumins stressed the importance of adequate funding to avoid backlog. McKillop mentioned SMART's allocation for fleet replacement and the need for additional reserves. Director Rabbitt raised concerns about penalties for saving funds. Chief Financial Officer McKillop confirmed this but emphasized the necessity of asset management planning.

Chair Lucan inquired about the applicability of funds for the state of good repair, whether they are restricted to commuter lines or cover the entire rail system. Chief Financial Officer Heather McKillop clarified that currently, the funds only apply to passenger rail, with freight excluded from consideration. She mentioned discussions about potential alternative uses but indicated that the allocation is currently based solely on passenger rail miles.

Vice Chair Bagby inquired about the absence of an equivalent for freight, to which Chief Financial Officer Heather McKillop confirmed that there was none.

Director Paulson queried about the status of state revenues. Chief Financial Officer Heather McKillop clarified that it varied by funding source, mentioning pending agreements and allocations. She assured confidence in larger grants like State Rail Assistance and State Transit Assistance, primarily funded through Senate Bill One for transportation purposes, minimizing variability due to their dedicated nature.

Director Fudge recalled \$300,000 allocated for 3 Windsor utility crossings, unsure of accuracy. Chief Financial Officer Heather McKillop clarified \$400,000 funding, with \$300,000 allocated for this fiscal year and the rest for the next.

Chair Lucan inquired about the absence of TDA funds and whether reconsidering their allocation might benefit SMART. Chief Financial Officer Heather McKillop explained the historical agreement to maintain TDA funds for North Bay providers, such as Golden Gate, with the board receiving STA funds instead. They discussed revisiting this arrangement, noting an upcoming meeting to address funding distribution, including TDA and STA funds.

Director Rabbitt reflected on the historical context of urbanized areas and the role of key figures like Senators Feinstein and Boxer in securing funding. Mentioned the importance of a good lobbyist for MTC. Anticipated a redistribution of funds and the possibility of new opportunities, particularly for North Bay, if successful.

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 Colin inquired about data related to the first mailer. General Manager Cumins clarified that the mailer had not yet been sent.

Director Coursey requested an update on the status and timeline for the first mailer. Communications and Marketing manager Julia Gonzalez responded that they aimed to distribute it within the fiscal year, with a target of having it in people's homes by June.

Director Coursey suggested including the mileage of each pathway section in the cost breakdown to enhance transparency for the public.

Director Paulson praised the ridership goal but questioned metrics. Chief Financial Officer McKillop discussed forecast assumptions, including extensions and free fares. General Manager Cumins outlined monitored metrics. Director Paulson emphasized the need for budget clarity. General Manager Cumins assured more data after analysis, focusing on ridership patterns.

Director Sackett emphasized the need for better communication about free senior services and suggested visually representing pathway development progress to the public. They stressed the importance of effectively conveying information and updating the community on project status.

Chair Lucan appreciated Director Paulson's emphasis on measuring ridership and pointed out the indirect benefits of increasing it. These include enhanced advertising revenue and potential services like food service on trains becoming more viable with higher ridership. Chair Lucan acknowledged that while some impacts may be difficult to measure, the overall effect of increased ridership is significant.

Director Paulson asked if limited-term positions were 1099 contractors, but Chief Financial Officer Heather McKillop explained they were employees hired for specific periods. Paulson inquired about sharing such positions across agencies, but McKillop noted it wasn't feasible due to the full-time nature of the roles within SMART.

Revenues – Freight

- Revenues
- Freight Strategies

Expenditures – Freight

- Expenditures
- Priority Projects

Comments

Director Coursey asked about the Caltrain contract, focusing on its length, revenue, and car storage. General Manager Cumins explained they have 31 cars earning \$8 per day each, with plans to release more based on demand. The contract runs until June 2025, allowing storage for up to 54 cars. Chief Financial Officer Heather McKillop estimated revenue based on 36 cars at \$8 per day for 365 days. Director Coursey also inquired about additional cars near Salt Lake City, which General Manager Cumins clarified as awaiting delivery to replace existing ones.

Director Pahre asked about engine availability, citing someone's interest in purchasing one. General Manager Cumins noted the absence of locomotives but mentioned upcoming Caltrain ones.

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

Patrick Seidler commended the budget production process and praised the successes achieved, particularly in ridership and budget discipline. He suggested changing "continue" to "complete" in reference to pathway segments, emphasizing the importance of finishing projects. He supported enhancing first and last mile solutions at specific stations and recommended to combine them into ridership and pathway strategies. Patrick Seidler also echoed a director's call for a breakdown of FY2025 pathway expenditures to improve analytics. He thanked everyone for their work and the opportunity to provide feedback.

Chair Lucan suggested discussing the status updates of finalized segments and their expected completion within the fiscal year. General Manager Cumins agreed, emphasizing the importance of completing tasks rather than prolonging them. He thanked Patrick for his comments and proposed revisiting the topic during the final presentation to outline anticipated completions for FY25 and items deferred to the following fiscal year.

During the board meeting, Director Sackett commended the creation of a new grants and budget analyst position, citing the need for preparedness in securing funds and executing projects. General Manager Cumins acknowledged the importance of these positions despite the challenge of maintaining efficiency in a small agency. They emphasized the necessity of adequate staffing to sustain productivity and success.

Director Fudge acknowledged comments about needing an earlier train. Mentioned receiving specific instances of desired timings. General Manager Cumins agreed to provide additional information on the schedule, discussing the focus on getting kids to school.

Vice Chair Bagby highlighted the importance of effective communication with riders, citing it as a key aspect of responsiveness to feedback. This, in turn, supports the ongoing efforts to build a reliable workforce. General Manager Cumins emphasized the significance of timely information dissemination to both board members and the public, particularly during incidents like train delays, to minimize disruptions and enhance communication effectiveness.

Director Paulson expressed gratitude for a well-prepared presentation and emphasized the importance of incorporating last-mile strategies for ridership. General Manager Cumins proposed launching the Larkspur shuttle in June for the FY 25 budget, citing the upcoming summer travel season as optimal timing. Chair Lucan sought consensus to begin planning immediately, ensuring readiness for a June launch. General Manager Cumins acknowledged the plan.

Director Garbarino expressed gratitude for clarity of the budget presentation, noting the lack of public comments on the package and praised the quality of the materials presented. General Manager Cumins acknowledged the staff's efforts and highlighted the significant increase in ridership in April, attributing it to both the quality of employees and the board's decisions.

Director Pahre expressed appreciation for the lean team and discussed their input on the Larkspur connection. General Manager Cumins mentioned contacting Dennis Mulligan, General Manager of Golden Gate Bridge District, for collaboration on ideas. Pahre agreed to support, emphasizing the importance of partnership visibility, possibly through multiple logos on shuttles. They had a positive conversation with Dennis on the matter.

Director Fudge asked about a SMART Connect shuttle, to which General Manager Cumins confirmed it would be like what's at the Airport currently.

Chair Lucan mentioned that the bridge district is exploring opportunities at Larkspur Ferry, possibly through a study. They discussed the timing being favorable for introducing a shuttle service and highlighted the need for coordination. General Manager Cumins confirmed their involvement in the discussions and mentioned plans to attend an upcoming open house in about two weeks.

Vice Chair Bagby inquired about outreach to neighboring businesses, including the retail mall and hotels, regarding partnerships like those with Golden Gate. General Manager Cumins acknowledged the interest but confirmed no direct conversations had occurred yet, though they are planned.

Chair Lucan praised the presentation and mentioned the upcoming Sonoma Marin bike share and the allocation of \$100,000 for crossings on the Brazos branch. He concluded the workshop positively.

Lastly, Director Rabbitt suggested wrapping the shuttle in international orange to blend with the bridge, while General Manager Cumins acknowledged the ongoing partnership with Golden Gate but noted that decisions are pending. Director Rabbitt highlighted the challenges of different transit districts and distances between modes. General Manager Cumins saw potential in improving connections between trains and ferries, anticipating an increase in ridership once these connections are optimized.

5. Next Regular Meeting of the Board of Directors, May 15, 2024 – 1:30 PM - 5401 Old Redwood Highway, 1st Floor, Petaluma, CA 94954
6. Adjournment - Meeting adjourned at 3:08pm.

Respectfully submitted,

Cassandra Perez
Administrative Assistant

Approved on: _____



May 15, 2024

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 2024

Dear Board Members:

RECOMMENDATIONS: Accept Monthly Ridership Report

SUMMARY:

We are presenting the monthly ridership report for activity for the month of April 2024. 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 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. These reports also note relevant details associated with fare program discount usage and trends in riders bringing bicycles onboard as well as riders who use mobility devices.

SMART's ridership data through April 2024 is posted on the SMART website (<https://sonomamarintrain.org/RidershipReports>).

FISCAL IMPACT: None

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

Respectfully,

/s/
Emily Betts
Planning Manager

Attachment(s): Monthly Ridership Report – April 2024

APRIL 2024 SMART RIDERSHIP REPORT

April 2024 ridership saw significant increases, with average weekday ridership at 3,055, up 13% from March, and setting a new record high for SMART. Average Saturday and Sunday ridership increased by 43% and 35%, respectively, from the previous month, despite the second Petaluma North partial system closure, April 13 - 14. Total monthly ridership was 80,340, a 37% increase over last April, and 33% over April 2019 (pre-COVID). April 2024 was SMART’s highest month since the inception of service for total monthly ridership and average weekday ridership.

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 added two evening trips on Friday and Saturday, known as the Starlighter. On October 2nd, SMART suspended the Starlighter service but increased weekend service, running 16 trips total on both Saturday and Sunday.

The tables below present data for March 2023 and 2024 year-over-year, and the Fiscal Year to date (July-March). Ridership for the fiscal year to date is up 35% over the same time period for FY23.

MONTHLY TOTALS YEAR-OVER-YEAR	APRIL 2023	APRIL 2024	% Change
Ridership	58,551	80,340	37%
Fare Payments (Clipper + App Only)	46,964	47,982	2%*
Average Weekday Ridership	2,339	3,055	31%
Average Saturday Ridership	1,447	1,867	29%
Average Sunday Ridership	909	1,416	56%
Bicycles	8,266	10,304	25%
Mobility Devices	118	164	39%

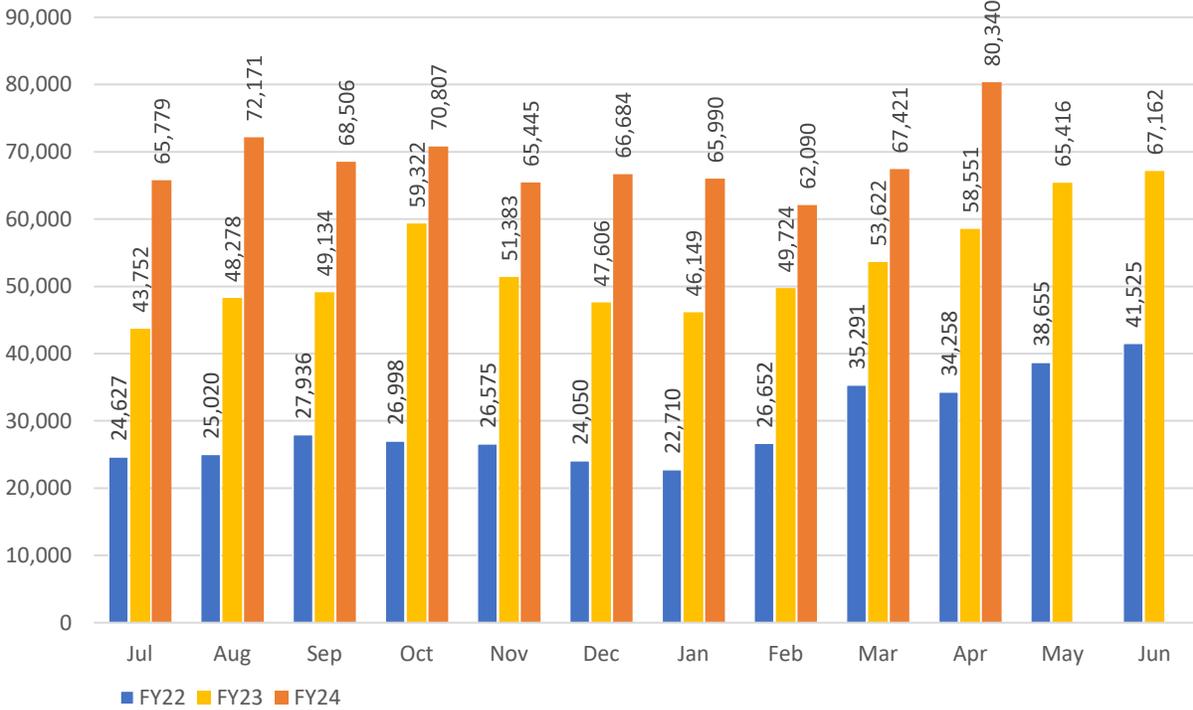
**Discrepancy between total ridership change and fare payments change due to launch of Free Fare program for youth and seniors on April 1.*

FISCAL YEAR (Jul - Apr)	Fiscal Year 2023	Fiscal Year 2024	% Change
Ridership	507,521	604,893	19%
Fare Payments (Clipper + App Only)	419,810	472,080	12%*
Average Weekday Ridership	2,026	2,697	33%
Average Saturday Ridership	1,012	1,423	41%
Average Sunday Ridership	800	1,138	42%
Bicycles	74,235	92,368	24%
Mobility Devices	1,381	1,403	2%

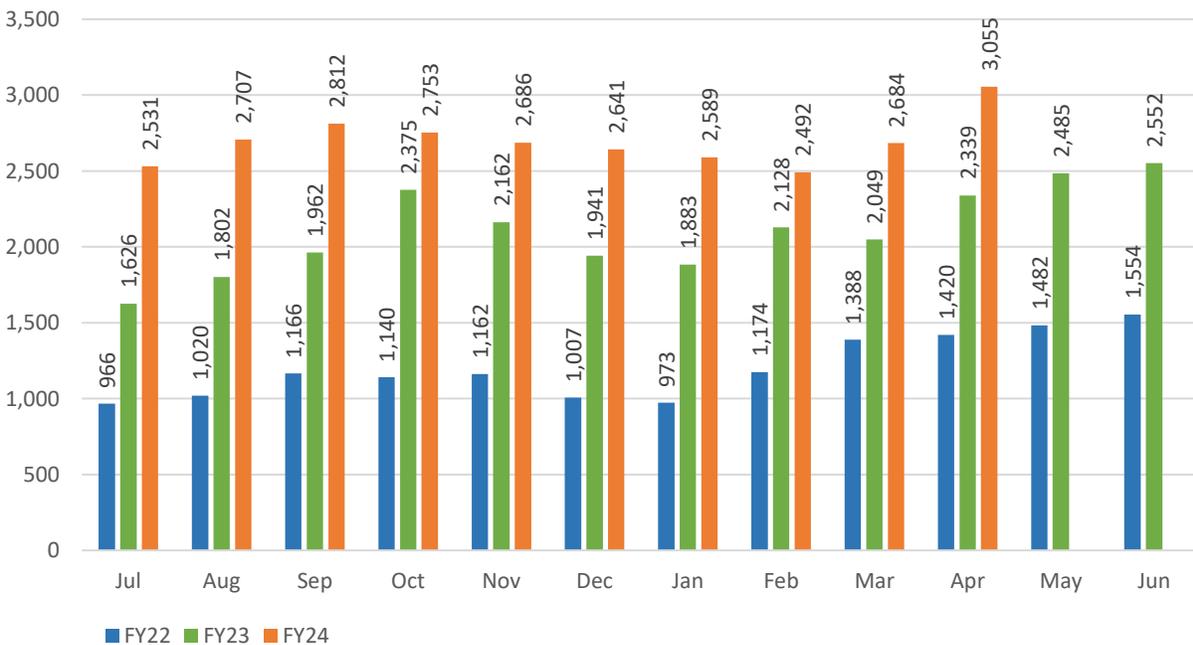
APRIL 2024 SMART RIDERSHIP REPORT

The following charts compare the average weekday ridership, average weekend ridership, boardings by day of week, and monthly totals for FY22-FY24.

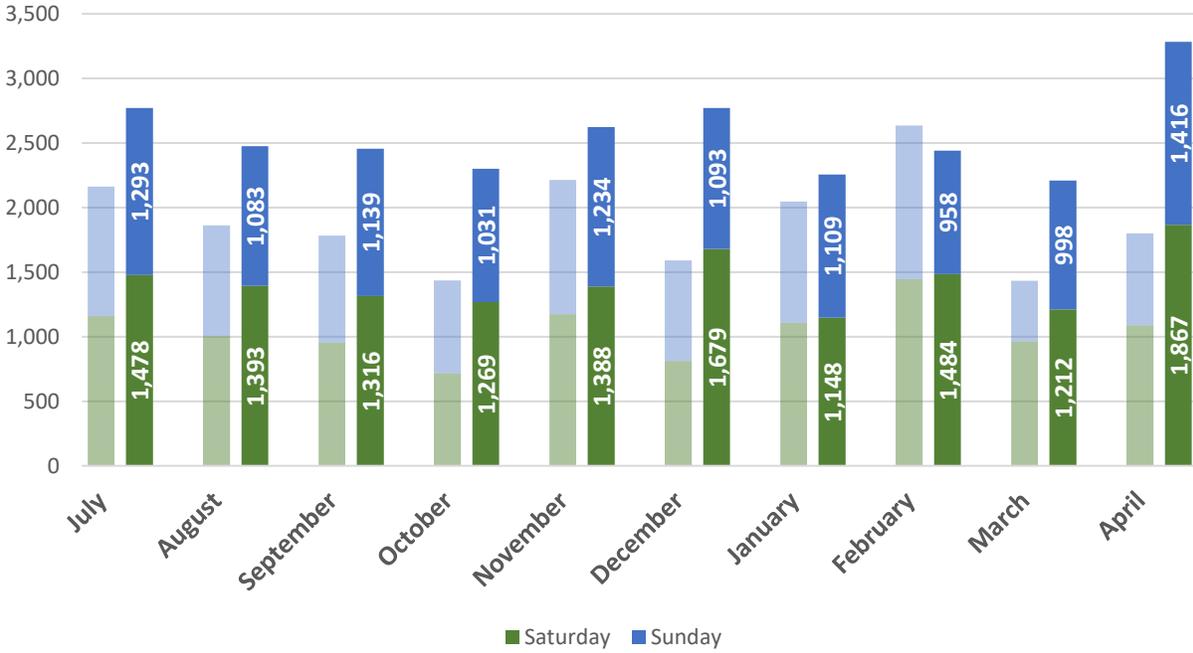
SMART Monthly Ridership (FY22 - FY24)



SMART Average Weekday Ridership (FY22 - FY24)



Average Weekend Boardings (Pre-Pandemic v FY24)





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Marin County Board of Supervisors

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May 15, 2024

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

SUBJECT: Monthly Financial Status

Dear Board Members:

RECOMMENDATION: Approval of Monthly Financial Reports

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 the first nine (9) months of Fiscal Year 2024 (July – March). 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 five 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. The amended budget which as approved by the Board on February 21st is reflected in this financial report.

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 2024.

Sincerely,

/s/
Heather McKillop
Chief Financial Officer

Attachment(s):

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



**MONTHLY FINANCIAL STATUS
MARCH 2024**

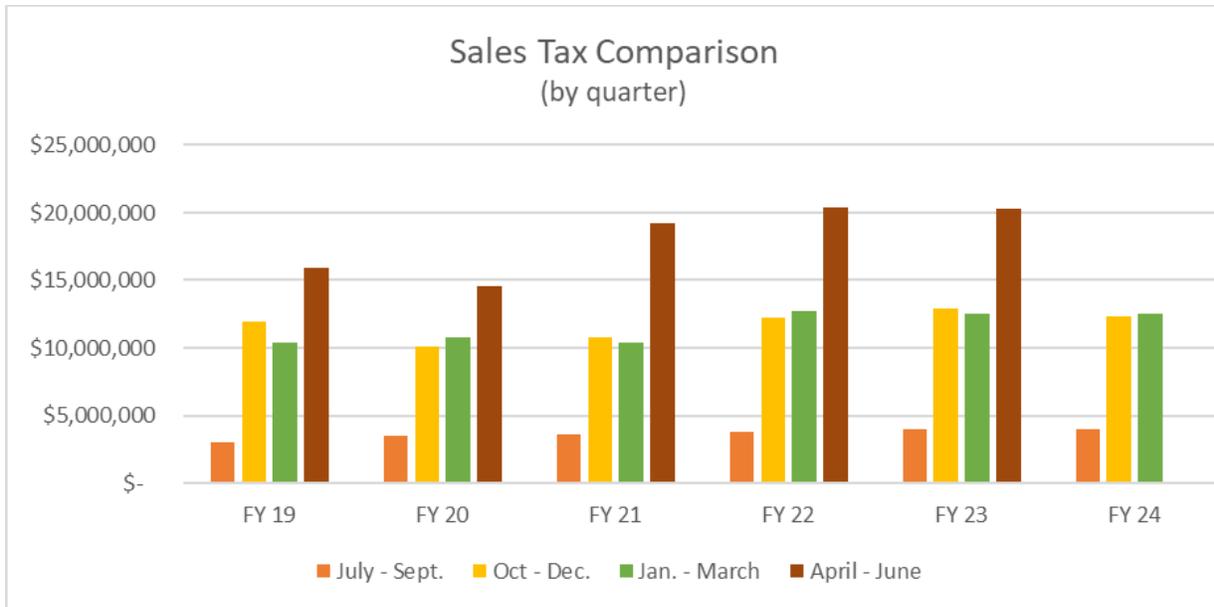
PASSENGER REVENUES

	FY 2023-24 Approved Budget	Actual	Amount Over / (Under) Budget
Revenues			
Passenger Rail			
Sales/Use Taxes	\$ 50,031,000	\$ 28,781,221	\$ (21,249,779)
Interest and Lease Earnings	\$ 1,121,647	\$ 1,963,723	\$ 842,076
Miscellaneous Revenue	\$ 5,659	\$ 364,346	\$ 358,687
Passenger Fares	\$ 1,803,384	\$ 1,672,291	\$ (131,093)
Parking Fares	\$ 15,000	\$ 8,170	\$ (6,830)
State Grants	\$ 47,746,437	\$ 2,180,399	\$ (45,566,038)
Charges For Services	\$ 75,637	\$ 74,474	\$ (1,163)
Federal Funds (Non-COVID Relief)	\$ 5,749,081	\$ 4,692,044	\$ (1,057,037)
Other Governments	\$ 8,221,921	\$ 298,203	\$ (7,923,718)
Passenger Rail Subtotal	\$ 114,769,766	\$ 40,034,871	\$ (74,734,895)

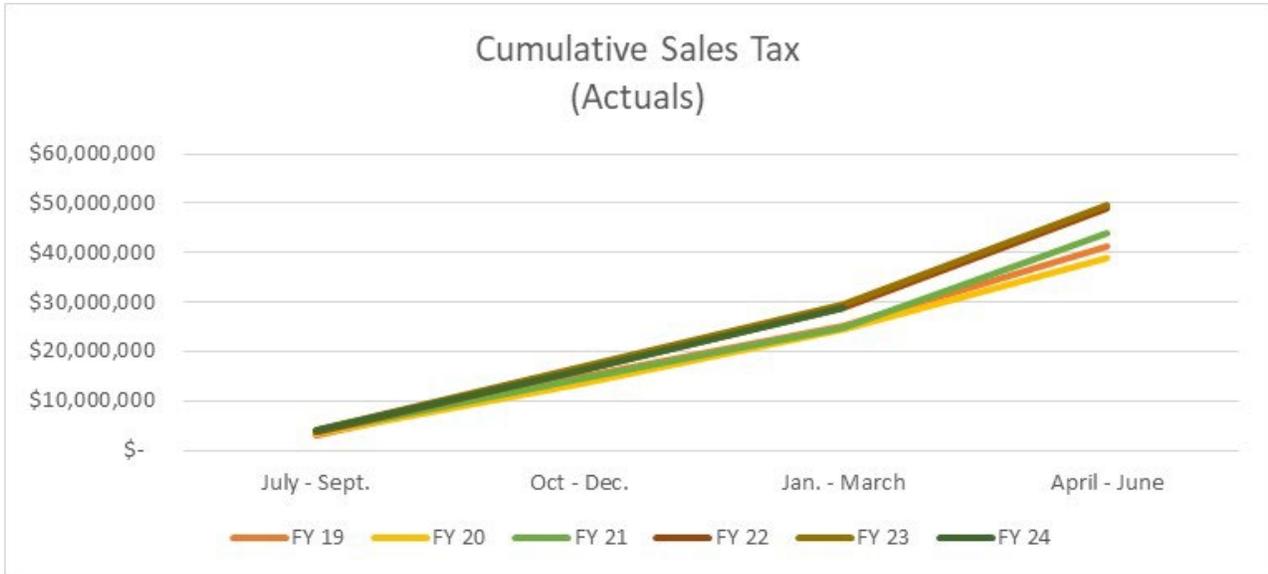
**Measure Q Sales Tax
Fiscal Year (FY) 2023/2024**

Time Period	July - Sept.	Oct - Dec.	Jan. - March	April - June
Revised Forecast (Amended)	\$ 3,942,911	\$ 12,335,899	\$ 12,502,411	\$ 21,249,779
Actual	\$ 3,942,911	\$ 12,335,899	\$ 12,502,411	
Difference	\$ -	\$ -	\$ -	\$ (21,249,779)

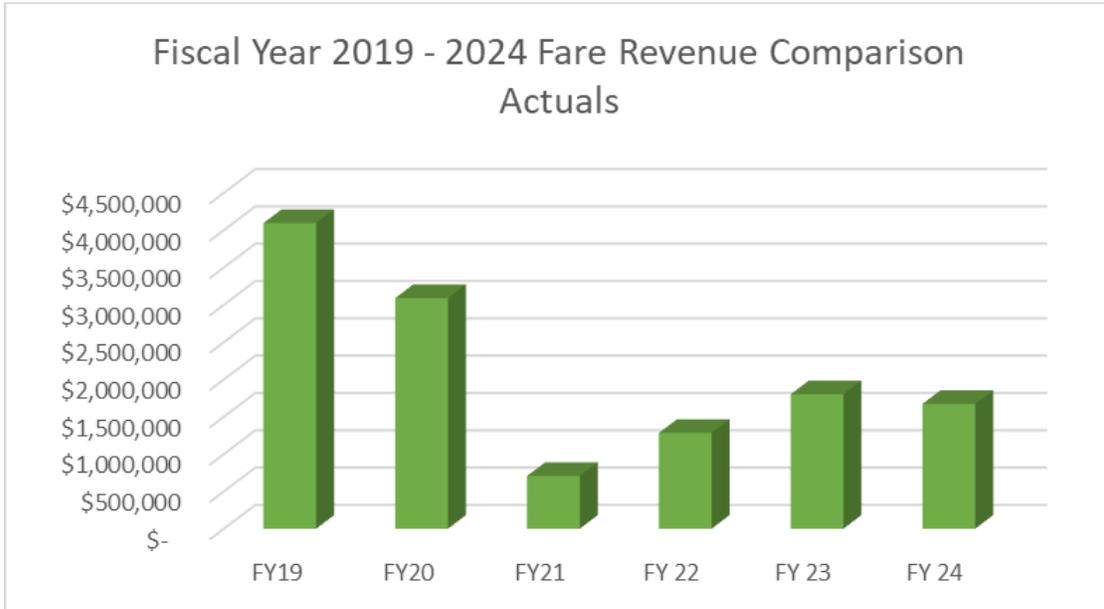
**Fiscal Year 2019-2024 Net Sales Tax Comparison
(by Quarter)**



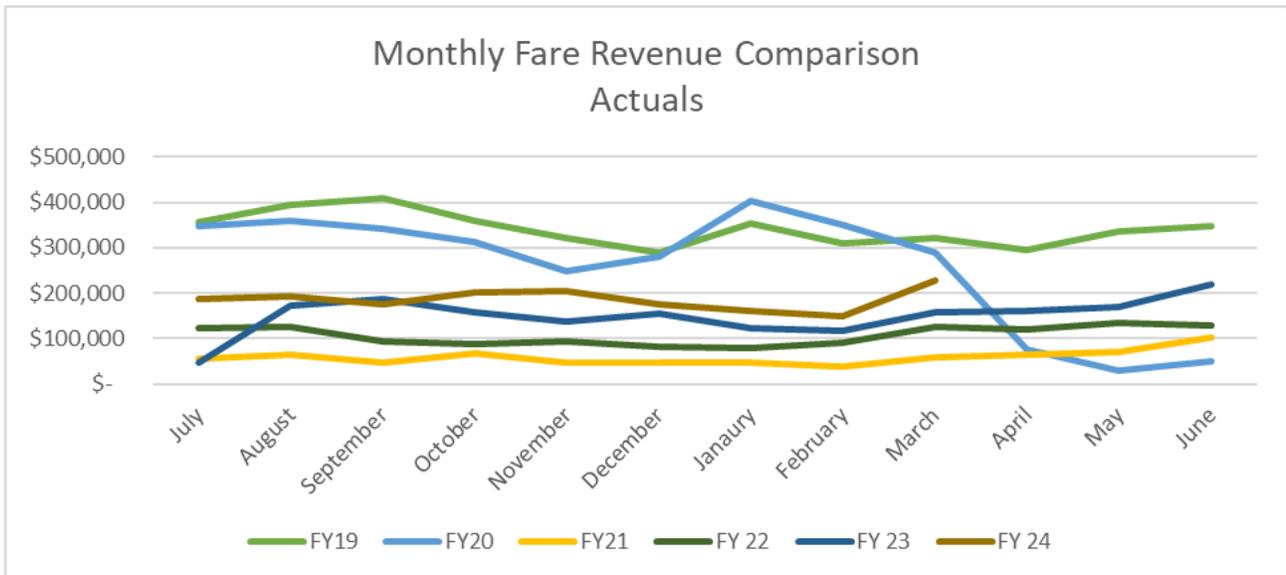
Fiscal Year 2019-2024 Cumulative Sales Tax Comparison



Fiscal Year 2019-2024 Fare Revenue Comparison



Fiscal Year 2019-2024 Monthly Fare Revenue Comparison



PASSENGER EXPENDITURES

	FY 2023-24 Approved Budget	Actual	Amount Over / (Under) Budget
Passenger Expenditures			
Administration			
Salaries & Benefits	\$ 6,560,493	\$ 4,383,331	\$ (2,177,162)
Services & Supplies	\$ 11,243,538	\$ 4,553,876	\$ (6,689,662)
Administration Subtotal	\$ 17,804,031	\$ 8,937,207	\$ (8,866,824)
Operations			
Salaries & Benefits	\$ 18,782,237	\$ 12,779,952	\$ (6,002,285)
Services & Supplies	\$ 7,442,024	\$ 3,887,504	\$ (3,554,520)
Operations Subtotal	\$ 26,224,261	\$ 16,667,456	\$ (9,556,805)
Capital			
Salaries & Benefits	\$ 704,575	\$ 661,702	\$ (42,873)
Services & Supplies	\$ 5,038,882	\$ 1,735,993	\$ (3,302,889)
Capital Subtotal	\$ 5,743,457	\$ 2,397,695	\$ (3,345,762)
Total Passenger Expenditures	\$ 49,771,749	\$ 28,002,358	\$ (21,769,391)

Passenger (Capitalized) Expenditures			
Buildings & Capital Improvements	\$ 44,023,036	\$ 16,776,446	\$ (27,246,590)
Land	\$ -	\$ -	\$ -
Machinery & Equipment	\$ 3,740,831	\$ 1,035,242	\$ (2,705,589)
Infrastructure	\$ 2,580,325	\$ 549,447	\$ (2,030,878)
Total Passenger (Capitalized) Expenditures	\$ 50,344,192	\$ 18,361,135	\$ (31,983,057)

Passenger Expenditures + Capitalized	\$ 100,115,941	\$ 46,363,493	\$ (53,752,448)
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FREIGHT REVENUES

	FY 2023-24 Approved Budget	Actual	Amount Over / (Under) Budget
Revenues			
Freight			
Sales/Use Taxes	\$ -		\$ -
Interest and Lease Earnings	\$ 270,000	\$ 241,431	\$ (28,569)
Miscellaneous Revenue	\$ 253,000	\$ 251,410	\$ (1,590)
Freight Traffic	\$ 826,200	\$ 499,706	\$ (326,494)
Parking Fares	\$ -		\$ -
State Grants	\$ 1,478,606		\$ (1,478,606)
Charges For Services	\$ -		\$ -
Federal Funds (Non-COVID Relief)	\$ -		\$ -
Other Governments	\$ -	\$ -	\$ -
Freight Subtotal	\$ 2,827,806	\$ 992,547	\$ (1,835,259)

FREIGHT EXPENDITURES

	FY 2023-24 Approved Budget	Actual	Amount Over / (Under) Budget
Freight Expenditures			
Administration			
Salaries & Benefits	\$ -	\$ -	\$ -
Services & Supplies	\$ -	\$ -	\$ -
Administration Subtotal	\$ -	\$ -	\$ -
Operations			
Salaries & Benefits	\$ 920,876	\$ 611,471	\$ (309,405)
Services & Supplies	\$ 1,021,234	\$ 481,391	\$ (539,843)
Operations Subtotal	\$ 1,942,110	\$ 1,092,862	\$ (849,248)
Capital			
Salaries & Benefits	\$ -	\$ -	\$ -
Services & Supplies	\$ 855,696	\$ 655,297	\$ (200,399)
Capital Subtotal	\$ 855,696	\$ 655,297	\$ (200,399)
Total Freight Expenditures	\$ 2,797,806	\$ 1,748,159	\$ (1,049,647)

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

Freight Expenditures + Capitalized	\$ 2,797,806	\$ 1,748,159	\$ (1,049,647)
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CAPITAL PROJECTS

Capital Project Report	Mar-24				
	Total Project Budget	Expended in Prior Fiscal Years	Budgeted in FY24	Remaining to be Budgeted in Future Years	Project Status
PASSENGER RAIL PROJECTS					
Windsor Extension	\$ 70,000,000	\$ 24,256,464	\$ 27,663,452	\$ 18,080,084	Under construction.
Windsor to Healdsburg Extension	\$ 160,400,000	\$ -	\$ 200,000	\$ 160,200,000	Preliminary work is planned to start in 2024.
Sonoma County Pathway Connector Project Design: Petaluma to Penngrove & Rohnert Park to Santa Rosa	\$ 4,871,770	\$ 3,179,720	\$ 1,585,859	\$ 106,191	These pathway segments have been combined with the construction of the Petaluma North Station.
Marin & Sonoma Pathway Design & Permitting	\$ 10,660,900	\$ 3,388,763	\$ 2,876,915	\$ 4,395,222	Conducting engineering design to prepare for construction and pursuing environmental permits.
McInnis Pkwy. at Bridgewater Dr. to Smith Ranch Rd. Construction	\$ 4,658,878	\$ -	\$ 3,635,455	\$ 1,023,423	Under construction.
Joe Rodota to 3rd St. Design and Construction	\$ 450,779	\$ 45,688	\$ 404,991	\$ -	In design - Construction will depend on grant execution.
Hannah Ranch Rd to Vintage Way Pathway Construction	\$ 6,084,521	\$ -	\$ -	\$ 6,084,521	Design and permitting are planned for future years, dependent on grant funds.
Guerneville Rd to Airport Blvd Pathway Construction	\$ 14,595,629	\$ -	\$ 23,100	\$ 14,572,529	Pursuing NEPA clearance, construction moved to future year.
Puerto Suello Pathway Design and Permitting	\$ 708,227	\$ -	\$ 708,227	\$ -	Preparing a Request for Proposal (RFP) to hire a design consultant.
Petaluma North Station	\$ 39,088,170	\$ 1,315,027	\$ 12,729,059	\$ 25,044,084	Construction is underway. The contract includes the construction of the Sonoma County Pathway projects.
Payran to Lakeville Pathway - Design & Construction	\$ 1,209,818	\$ 1,018,674	\$ 191,144	\$ -	Construction is complete.
Basalt Creek Timber Bridge Replacement	\$ 630,103	\$ 120,978	\$ 67,965	\$ 441,160	Finalizing design and working with regulatory agencies to secure environmental permits.
San Antonio Tributary Timber Trestle Replacement	\$ 1,075,264	\$ 130,201	\$ 68,493	\$ 876,570	Finalizing design and working with regulatory agencies to secure environmental permits.
FREIGHT RAIL PROJECTS					
Brazos Branch Bridge Repairs	\$ 1,812,234	\$ 711,538	\$ 755,696	\$ -	Construction is complete for the first phase, design work on the second phase is underway, currently purchasing bridge timbers

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	\$ 24,745,899
Sonoma County Investment Pool *	\$ 89,883,703
Total Cash on Hand	\$ 114,629,602
<u>Reserves</u>	
Self-Insured	\$ 2,370,675
OPEB/ CalPERS	\$ 4,574,676
Operating Reserve	\$ 11,278,617
Capital Sinking Fund	\$ 10,625,000
Corridor Completion	\$ 7,000,000
Total Reserves	\$ 35,848,968
Cash Balance	\$ 78,780,634
Less: Current Encumbrances	\$ (15,505,040)
Balance	\$ 94,285,674
Less: Estimated FY24 Year-end Fund Balance	\$ 81,342,877
Remaining Balance	\$ 12,942,797
* Doesn't include trustee accounts	



Contract Summary

Active contracts as of March 31, 2024

PASSENGER RAIL

Contractor	Scope	Fiscal Year 23/24 Projected	Fiscal Year 23/24 Actuals
A.J. Janitorial Service	Janitorial Services for all Stations, Roblar, ROC, and Fulton	\$ 114,000	\$ 82,260
Ai-Media Technologies, LLC	Closed-Captioning Services	\$ 450	\$ 450
Alcohol & Drug Testing Services, LLC	DOT and FRA-regulated Drug and Alcohol Testing Services	\$ 36,000	\$ 26,808
Allen, Glaessner, Hazelwood LLP	Legal Services for Litigation and Rail Transit Issues	\$ 89,445	\$ 26,986
Alliant Insurance Services	Insurance Brokerage and Risk Management Services	\$ 70,000	\$ 22,207
American Rail Engineers Corporation	Railroad Bridge Inspections, Bridge Engineering, and Related Services	\$ 40,000	\$ 12,891
Argonaut Constructors	Parking Lot Improvements at Petaluma Downtown Station	\$ 14,925	\$ 14,925
Asbury Environmental Services (AES)	Hazardous and Non-Hazardous Waste Removal and Disposal Services	\$ 625	\$ 625
Balfour Beatty Infrastructure, Inc.	Track Surfacing, Lining, and Ballast Restoration	\$ 189,408	\$ 179,937
Becoming Independent	Emergency Bus Bridge Services	\$ 19,051	\$ 9,800
BKF Engineers Inc.	Design and Engineering Services for MUP Segments in Sonoma and Marin Counties	\$ 952,426	\$ 439,454
Bolt Staffing Service, Inc.	Temporary Staffing Services	\$ 30,000	\$ -
Bright Star Security, Inc.	Security Patrol at SMART's Cal Park Tunnel	\$ 11,208	\$ 8,349
Business Training Library, LLC	Cloud-Based Learning Courses	\$ 5,431	\$ 5,431
Cal Interpreting & Translations	Real Time Translation and Related Services	\$ 5,000	\$ -
Charlie Gesell Photography	Photography for Petaluma North Groundbreaking	\$ 625	\$ 625
Cinquini & Passarino, Inc.	Right-of-Way Land Surveying and Related Services	\$ 6,480	\$ 6,480
Code 3 Entertainment Services, LLC	Microtransit Operations and Maintenance Services	\$ 375,000	\$ 283,949
CSW/Stuber-Stroeh Engineering Group	Design and Engineering Services for 5 MUP Segments in Marin County	\$ 979,435	\$ 348,834
CSW/Stuber-Stroeh Engineering Group	Design and Engineering for Petaluma North Station, N. McDowell Grade Crossing, Segments 2 & 3 Pathway	\$ 510,205	\$ 177,120
Data Ticket	Processing Parking Fines for Illegal Parking	\$ 2,500	\$ 300
DeAngelo Contracting Services, LLC	Vegetation Control Services	\$ 38,520	\$ 32,742
Doc Bailey Construction Equipment, Inc.	Hi Rail Vehicle Inspection, Maintenance, Repair, and Certification Services	\$ 9,600	\$ 4,800
Doug Williams	Fire and Life Safety Consultant	\$ 2,035	\$ 555
Dr. Lance O'Connor	Occupational Health Screening Services	\$ 5,000	\$ 1,875
Dunnigan Psychological & Threat Assessments, LLC	Employment-Related Psychological Evaluation Services	\$ 25,000	\$ 12,700
Eide Bailly LLP	Financial Audit Services	\$ 58,300	\$ 46,000
eLock Technologies, LLC	Station Bike Lockers - Ongoing Maintenance and Support Services	\$ 13,130	\$ 8,528
Empire Cleaners	Operations Uniform Dry Cleaning, Laundering, and Related Services	\$ 18,000	\$ 5,687
Fairbank, Maslin, Maullin, Metz & Associates	Survey and Polling Services	\$ 38,500	\$ 38,500
Foster & Foster (formerly Demsey, Filliger, & Associates, LLC)	GASB Pension Compliance Services (Actuarial Calculations)	\$ 4,750	\$ 4,250
Gallagher Benefit Services, Inc.	Classification and Compensation Study Services	\$ 49,875	\$ 49,875
Gary D. Nelson Associates, Inc.	Temporary Staffing and Placement Services	\$ 70,000	\$ 63,679
George Hills Company, Inc.	Third Party Claims Administration Services	\$ 40,000	\$ 7,416
Ghilotti Bros, Inc.	Construction of Non-Motorized Pathway - Lakeville to Payran	\$ 191,144	\$ 167,192
Ghilotti Bros, Inc.	Construction of NMP McInnis to Smith Ranch	\$ 3,490,399	\$ 1,436,448
Golden Five, LLC	Microsoft 365 Consulting Services	\$ 49,800	\$ 39,196
GP Crane & Hoist Services	Cal/OSHA Inspection Services	\$ 3,960	\$ 3,520
Granicus, Inc.	Media Streaming and Internet Broadcasting Services	\$ 12,860	\$ 12,860
Hanford A.R.C.	Implementation and Monitoring, San Rafael Creek Riparian Enhancement Project	\$ 33,558	\$ 28,702
Hanford A.R.C.	Maintenance and Monitoring the the Las Gallinas Creek Watershed Riparian Enhancement Planting	\$ 16,188	\$ 10,791
Hanson Bridgett LLP	Legal Services - Union Negotiations	\$ 100,000	\$ 15,018
HCI Systems, Inc.	Fire Equipment Inspection and Certification	\$ 2,406	\$ 1,266
Holland Company	Track Geometry and Measurement Services	\$ 24,375	\$ 24,375
Hunt and Sons, Inc.	Bulk Delivery of Motor Oil (15W40)	\$ 24,000	\$ 16,512
Integrated Security Controls, Inc.	CCTV Maintenance and Support	\$ 28,261	\$ 3,725
Intelligent Technology Solutions, LLC	Maximo SaaS Development, Implementation, and Related Services	\$ 169,683	\$ 169,683
JC & BB3 Enterprises, Inc.	Installation of Window Decals on DMUs	\$ 1,298	\$ 1,068
JMA Civil, Inc.	On-Call Civil & Rail Engineering Design Services	\$ 74,994	\$ 63,198
Khouri Consulting, LLC	California State Legislative and Advocacy Services	\$ 120,000	\$ 80,000

Contractor	Scope	Fiscal Year 23/24 Projected	Fiscal Year 23/24 Actuals
LC Disability Consulting	Disability Access Consulting	\$ 10,000	\$ 3,000
LeaseQuery, LLC	Lease Software Licensing and Software Support Services	\$ 10,596	\$ -
Leete Generators	Generator Inspection and Maintenance Services	\$ 2,700	\$ 2,481
Lisa Wolper, LCSW, SAP	Substance Abuse Professional Services	\$ 2,100	\$ 1,300
Masabi LLC	SMART Mobile Ticketing Pilot Project	\$ 58,500	\$ 38,500
MaxAccel	Compliance Management Software Design/Implementation/Asset Management	\$ 29,295	\$ 22,871
MaxAccel	Learning Management System	\$ 15,700	\$ 9,816
Militus, Inc.	Cybersecurity and Network Threat Analysis and Assessment	\$ 40,000	\$ 40,000
Mission Linen Supply	Employee Uniform Rentals	\$ 34,000	\$ 22,237
Mission Linen Supply	Laundry and Dry Cleaning for SMART-Owned Uniforms	\$ 10,000	\$ -
Modern Railway Systems, Inc.	Monitoring and Maintenance SMART's Communications Network and TDX System	\$ 94,000	\$ 70,031
Modern Railway Systems, Inc.	Design and Construction of Systems Improvements for the Windsor Extension Project	\$ 6,969,618	\$ 2,191,249
MuniServices, LLC	Sales Tax Recovery Services	\$ 38,444	\$ 16,803
Netspeed Solutions, Inc.	SMART Phone System Maintenance	\$ 11,867	\$ 11,867
North Bay Bottling (Alex Ruiz Sr.)	Drinking Water Delivery Service	\$ 2,900	\$ 603
North Bay Petroleum	Provision of Fuel for DMUs	\$ 1,316,697	\$ 1,136,860
Nossaman LLP	Litigation, Rail Transit Issues, and other related legal services	\$ 287,933	\$ 141,481
Occupational Health Centers of CA	Pre-Employment Evaluation Services	\$ 42,000	\$ 10,529
Olson Remcho	Legal Services Related to Ordinances and Taxes	\$ 5,000	\$ 3,867
Oracle	Fusion ERP System	\$ 200,000	\$ 141,179
Parodi Investigative Solutions	Pre-Employment Background Investigation Services	\$ 25,000	\$ 14,300
PFM Financial Advisors, LLC	Financial Advisory Services	\$ 20,000	\$ -
Portola Systems, Inc.	SMART Station Network Maintenance and Configuration Services	\$ 260,000	\$ 239,692
Precision Wireless	Tech Support and Maintenance for Land Mobile Radio	\$ 31,500	\$ 8,315
Sherwood Electromotion, Inc.	Overhaul Services for SMART's Permanent Magnet Alternators	\$ 29,500	\$ 12,080
Sierra-Cedar, LLC	Oracle Enterprise Resources Planning Software	\$ 70,000	\$ 40,432
Sierra-Cedar, LLC	Implementation of Projects and Grants Modules	\$ 160,000	\$ 54,272
Sonoma County Fleet Operation Division	Non-Revenue Fleet Vehicle Installation, Maintenance, and Repair Services	\$ 56,000	\$ 36,864
Sperry Rail Services	Rail Flaw Detection Services	\$ 28,000	\$ 8,051
SPTJ Consulting, Inc.	Network Monitoring and Support Services	\$ 202,419	\$ 170,738
Stacy and Witbeck, Inc.	Design/Build Construction of Civil, Track & Structures of Windsor Extension	\$ 19,556,503	\$ 9,116,306
Stacy and Witbeck/Ghilotti Bros, A Joint Venture	Construction of Petaluma North Station Platform, Grade Crossing Reconstruction, and Pathway	\$ 9,212,411	\$ 4,935,958
Stacy and Witbeck/Ghilotti Bros, A Joint Venture	Paving Work for the City of Petaluma as Part of the Petaluma North Project	\$ 806,102	\$ -
Survival CPR & First Aid, LLC	First Aid and CPR Training, AED Compliance Program Management	\$ 11,300	\$ 5,736
Swiftly, Inc.	AVL Mobile Application and Website Interface	\$ 9,702	\$ 9,702
TDG Engineering, Inc.	Wayfinding System Planning and Design for the SMART Pathway	\$ 112,454	\$ 78,454
The Routing Company	Furnish, Implement, and Maintain a Microtransit Software Platform	\$ 45,662	\$ 9,958
Thomas Houston Associates, Inc.	Equal Opportunity Employment Consultant	\$ 10,000	\$ 5,950
Traliant, LLC	Online Training Program	\$ 2,706	\$ 2,706
Triangle Properties, Inc.	SoCo Pathway Riparian Enhancement Implementation and Monitoring	\$ 47,061	\$ 46,381
Trillium Solutions, Inc.	Transit Feed Mapping Software	\$ 1,890	\$ 1,890
True Value Wholesale Hardware of Larkfield, Inc.	Tent Rental for Petaluma North Groundbreaking	\$ 6,190	\$ 6,190
Urban Transportation Associates, Inc.	Onboard Automatic Passenger Counter System Purchase, Install, and Software Implementation and Training	\$ 9,200	\$ 9,200
UTCRA, LLC	Wheel Pressing Services	\$ 25,200	\$ 25,200
Van Scoyoc Associates	Federal Lobbying Services	\$ 90,000	\$ 40,000
VenTek Transit Inc.	Fare Vending Machine Operations and Maintenance Services	\$ 190,649	\$ 171,504
Vista Broadband Networks, Inc.	Broadband Services	\$ 9,000	\$ 6,750
W.J.C. Electric, Inc. dba Hahn Automotive	Non-Revenue Vehicle Repair and Service	\$ 15,000	\$ -
Web Master Designs, LLC	As-Needed Monitoring, Management, and Support Services for Public-Facing Websites	\$ 10,000	\$ 1,500
West Coast Arborists, Inc.	Tree Trimming and Tree Removal Services	\$ 8,655	\$ 4,875
WRA, Inc.	As-Needed Environmental Consulting Services	\$ 168,185	\$ 113,866
	TOTAL	\$ 48,579,489	\$ -

FREIGHT RAIL

Contractor	Scope	Fiscal Year 23/24 Projected	Fiscal Year 23/24 Actuals
American Rail Engineers Corporation	Railroad Bridge Inspections, Bridge Engineering, and Related Services	\$ 44,439	\$ 32,257
American Rail Engineers Corporation	Brazos Phase 2 Bridge Design	\$ 20,000	\$ 14,278
Cathcart Rail Holdco, LLC dba Cathcart Field Services, LLC	Running Repair Agent Inspection and Maintenance Services	\$ 7,884	\$ 7,870
DeAngelo Contracting Services, LLC	Vegetation Control Services	\$ 27,840	\$ 23,664

Contractor	Scope	Fiscal Year 23/24 Projected	Fiscal Year 23/24 Actuals
Freight Rail Tracking Software	Freight Rail Tracking Software	\$ 5,000	\$ 3,097
GATX Rail Locomotive Group, LLC	Freight Locomotive Lease Agreement	\$ 44,800	\$ 31,915
Hue & Cry, Inc.	Security System at Schellville Depot	\$ 1,000	\$ 746
Koppers Railroad Structures, Inc.	Brazos Branch Timber Bridge Repairs - Phase I Contract	\$ 660,696	\$ 660,696
Lambertus J. Versteegen dba South West Locomotive Repair	Locomotive Maintenance and Repair	\$ 20,000	\$ 13,271
Mike Neles Trucking LLC	Class A Driving	\$ 300	\$ 300
North Bay Petroleum	Provision of Fuel for Freight Locomotives	\$ 90,000	\$ 47,746
Summit Signal, Inc.	Inspection, Testing, and Maintenance Services for Signal Equipment Along Brazos Branch	\$ 75,792	\$ 47,000
Summit Signal, Inc.	Freight Call-Out Maintenance and Repair Services	\$ 10,530	\$ 9,975
Wine Country Sanitary, Inc.	Portable Toilet Rental and Maintenance	\$ 1,571	\$ 1,181
	TOTAL	\$ 1,009,852	\$ -

Actuals-To-Date include invoices that have been approved, but may not have been processed in SMART's Financial System, as of March 31,2024



May 15, 2024

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: Resolutions Authorizing the Annual Filing of Grant Applications for Various State and Federal Fund Programs for a Total of \$18,341,310 in Fiscal Year 2024-2025 Budget Operations Grant Support

Dear Board Members:

RECOMMENDATIONS:

Approve Resolutions Number 2024-12, 2024-13, 2024-14, 2024-15, 2024-16 and 2024-17 authorizing the filing of annual applications for the following funds for SMART operating department expenses:

- \$3,770,290 in annual Federal Transit Administration (FTA) Formula 5307 Program funding for Preventive Maintenance and committing the necessary 20% in local matching funds; and
- Up to \$6,350,000 in SMART's first year of annual FTA Formula 5337 State of Good Repair funding (and committing the necessary 20% in local matching funds); and
- \$3,614,030 in State Transit Assistance (STA) Program funding for Operations; and
- Up to \$3,700,000 in State Rail Assistance (SRA) Program funding for Operations; and
- \$566,356 in State Low Carbon Transit Program (LCTOP) funding for Transit Operations; and
- \$340,634 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 four to six 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). Specific fund program years are noted in the attached resolutions. In all cases, these funds are intended for use within the SMART Fiscal Year 2024-25 Annual Budget.

Funds listed are sourced from the following:

- FTA 5307 Formula Program comes from a federal excise tax on gasoline.
- FTA 5337 State of Good Repair funds come from a federal excise tax on diesel.
- 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 2022-2023 SMART Annual Budget and in SMART's 2021 10-year horizon Short Range Transit Plan and Capital Improvement Program, adopted by the Board in Spring 2021.

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 95% 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. 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;
- 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. 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.

These six fund sources will provide up to \$18,341,310 in outside State and Federal grants supporting SMART's operations and Fiscal Year 2024-2025 Annual Budget. We recommend approval of the attached Board resolution nos. 2024-12, 2024-13, 2024-14, 2024-15, 2024-16 and 2024-17 authorizing the execution of

these grants, authorizing the execution of any necessary documents to receive the funds, and authorizing the completion of the projects associated with these funds.

FISCAL IMPACT: SMART is assuming these fund sources for the FY2024-2025 budget.

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

Sincerely,

/s/
Heather McKillop
Chief Financial Officer

Attachment(s):

- 1) Resolution Number 2024-12
- 2) Resolution Number 2024-13
- 3) Resolution Number 2024-14
- 4) Resolution Number 2024-15
- 5) Resolution Number 2024-16
- 6) Resolution Number 2024-17
- 7) 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 5307 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 \$3,770,290 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 \$942,573 in local, non-federal matching funds; and
2. SMART understands that the FTA Formula Program for the project is fixed at \$3,770,290, 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.

Resolution No. 2024-12
Sonoma-Marín Area Rail Transit District
May 15, 2023

PASSED AND ADOPTED at a regular meeting of the Board of Directors of the Sonoma-Marín Area Rail Transit District held on the 15th day of May 2024, 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 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 2024-2025

WHEREAS, the Sonoma-Marin 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) and STA Population 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 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 \$2,451,807 in STA Revenue funds available for SMART to claim for Fiscal Year 2024-2025; 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 \$920,606 available to claim in Fiscal Year 2024-25 and TAM has apportioned \$241,617 available to claim in Fiscal Year 2024-2025 by SMART; and

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

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

WHEREAS, SMART wishes to utilize STA Revenue and STA Population apportionments to implement the SMART Rail Operations Project for Fiscal Year 2024-25;

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 \$3,614,030 to the Metropolitan Transportation Commission for Fiscal Year 2024-2025; 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 15th day of May 2024, 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 2024-2025 FOR AN ESTIMATED AMOUNT UP TO \$3,700,000

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 2024-2025 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 \$3,700,000 in FY2024-2025; 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 15th day of May, 2024, 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: SMART TRANSIT OPERATIONS FOR \$566,356

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

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

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

WHEREAS, the Department has developed guidelines for the purpose of administering and distributing LCTOP funds to eligible project sponsors (local agencies); 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 following LCTOP project(s) listed above,

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of the Sonoma-Marín Area Rail Transit District (SMART) that the fund recipient agrees to comply with all conditions and requirements set forth in the Certification and Assurances and the Authorized Agent documents and applicable statutes, regulations and guidelines for all LCTOP funded transit projects.

NOW THEREFORE, BE IT FURTHER RESOLVED that Eddy Cumins, General Manager and/or Heather McKillop, Chief Financial Officer be authorized to execute all required documents of the LCTOP program and any Amendments thereto with the California Department of Transportation.

NOW, THEREFORE, BE IT RESOLVED by the Board of Directors of SMART that it hereby authorizes the submittal of the following project nomination(s) and allocation request(s) to the Department:

Project Name: SMART Transit Operations

Short description of project: SMART has increased service to 38 trips in FY22-23 and plans to further increase service to 42 trips in FY24-25, as well as adding three miles to its service area and opening two new stations.

Amount of LCTOP funds requested: \$566,356

Benefit to Priority Populations: SMART service connects low-income community members to desirable locations for work or activities through rail service and pedestrian pathways.

Amount to benefit Priority Populations: 50% to DAC and 50% to low-income households

Contributing Sponsor: Metropolitan Transportation Commission

PASSED AND ADOPTED at a regular meeting of the Board of Directors of the Sonoma-Marín Area Rail Transit District held on the 15th day of May 2024, 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 SUBMITTAL OF APPLICATIONS, SUPPORTING DOCUMENTS AND EXECUTION OF
FUNDING AGREEMENTS FOR FISCAL YEAR 2024-2025 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 2025 SGR apportionments and SMART is estimated to receive \$340,634 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 15th day of May 2024, 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 FILING OF AN APPLICATION FOR FEDERAL TRANSIT ADMINISTRATION 5337
FORMULA PROGRAM FUNDING FOR STATE OF GOOD REPAIR AND COMMITTING THE NECESSARY
LOCAL MATCH FOR THE PROJECT AND STATING THE ASSURANCE OF THE SONOM-MARIN AREA RAIL
TRANSIT DISTRICT TO COMPLETE THE PROJECT**

WHEREAS, 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 5337 State of Good Repair (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 State of Good Repair

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 5337 Formula Program up to \$6,350,000 for State of Good Repair; and

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

1. SMART will provide up to \$1,587,500 in local, non-federal matching funds; and
2. SMART understands that the FTA Formula Program for the project will be fixed at a total of up to \$6,350,000, and that any cost increases must be funded by SMART from local

Resolution No. 2024-17
Sonoma-Marín Area Rail Transit District
May 15, 2024

- matching funds, and that SMART does not expect any costs increases to be funded with FTA Formula Program funds; and
3. SMART State of Good Repair 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 State of Good Repair; 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-Marín Area Rail Transit District held on the 15th day of May 2024, 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
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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

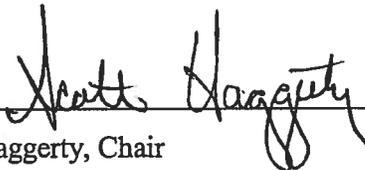
Transportation Program and Transit Capital Priorities funds, to the extent permitted by statute; and, be it further

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	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 15, 2024

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: Fiscal Year 2025 Draft Budget

Chris Coursey
Sonoma County Board of Supervisors

Dear Board Members:

Rachel Farac
Transportation Authority of Marin

RECOMMENDATIONS: Information and Discussion Item

Debora Fudge
Sonoma County Mayors' and Councilmembers Association

SUMMARY:

The Fiscal Year 2025 Draft Budget is being presented for the Board of Director's prior to public release for review and comment.

Patty Garbarino
Golden Gate Bridge,
Highway/Transportation District

Passenger Rail and Pathways

The Fiscal Year 2025 revenue estimate for passenger rail and pathways totals \$120.3 million compared to \$114.8 million in Fiscal Year 2024. Of the \$120.3 million, \$42.6 million is anticipated federal and state project specific capital grants for construction. State and Federal grants provide \$19.1 million support to the Fiscal Year 2025 operating budget and state of good repair. That \$19.1 million includes \$6.35 million from 5337 Federal State of Good Repair Funds, marking the first year SMART is eligible for this fund source.

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

Overall expenditures are expected to increase in Fiscal Year 2025 due to the large capital construction program that is anticipated to occur this coming year. The engineering and construction projects are \$12.1 million higher than in Fiscal Year 2024.

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

Revenues	FY24 Amended Budget	FY25	Difference
SMART S&U Tax	\$ 50,031,000	\$ 50,426,000	\$ 395,000
Federal Funds	\$ 5,749,081	\$ 14,224,841	\$ 8,475,760
State Funds	\$ 47,746,437	\$ 49,245,697	\$ 1,499,260
Other Sources	\$ 3,021,327	\$ 4,503,447	\$ 1,482,120
Regional Funds	\$ 8,221,921	\$ 1,889,987	\$ (6,331,934)
Total Revenues	\$ 114,769,766	\$ 120,289,972	\$ 5,520,206

Expenditures	FY24 Amended Budget	FY25	Difference
Debt Service	\$ 16,296,220	\$ 16,904,116	\$ 607,896
Salaries & Benefits	\$ 27,157,564	\$ 28,822,096	\$ 1,664,532
- Redution for Salaries Charged to Projects	\$ (1,130,258)	\$ (1,673,973)	\$ (543,715)
Services & Supplies	\$ 20,381,904	\$ 19,647,823	\$ (734,081)
Contribution to OPEB/CalPERS Liability Fund	\$ 500,000	\$ 1,000,000	\$ 500,000
Vehicle/Equipment Capital Reserve	\$ 1,000,000	\$ 2,000,000	\$ 1,000,000
Operating Reserve	\$ 1,278,617	\$ 450,346	\$ (828,271)
Projects			\$ -
Information Systems	\$ 501,422	\$ 805,910	\$ 304,488
Planning	\$ 1,068,684	\$ 999,000	\$ (69,684)
Environmental Mitigation	\$ 263,398	\$ 1,338,666	\$ 1,075,268
Train Control	\$ -	\$ 2,500,000	\$ 2,500,000
Equipment	\$ 69,500	\$ 1,200,000	\$ 1,130,500
Non-Revenue Vehicles	\$ 1,037,906	\$ 571,000	\$ (466,906)
Shuttle	\$ -	\$ 100,000	\$ 100,000
Maintenance of Way, Track, Facilities	\$ 291,333	\$ 568,389	\$ 277,056
Vehicle Maintenance (DMUs)	\$ 2,037,000	\$ 1,801,218	\$ (235,782)
Pathways	\$ 16,375,801	\$ 26,940,744	\$ 10,564,943
Extensions	\$ 37,095,913	\$ 38,555,872	\$ 1,459,959
Miscellaneous	\$ -	\$ 113,987	\$ 113,987
Total	\$ 124,225,004	\$ 142,645,194	\$ 18,420,190

Freight Rail

In Fiscal Year 2025, total revenues are estimated at \$1.8 million and total expenditures are estimated at \$1.8 million. The estimated fund balance at the end of Fiscal Year 2025 is estimated to be \$0.

Comments on the Draft Budget

The draft Fiscal Year 2024 budget will be posted on SMART’s website on Friday, May 10, 2024. Public comments will be accepted until 5:00pm Friday, May 31st. Comments can be emailed to Heather McKillop, Chief Financial Officer at hmckillop@sonomamarintrain.org or sent to:

*Sonoma-Marin Area Rail Transit District
 Attn: 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 **Tuesday, June 18, 2024**. 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

Cc: Draft Fiscal Year 2025 Budget

Sonoma-Marín Area Rail Transit District

Fiscal Year 2024/2025 Draft Budget



Contents

SONOMA-MARIN AREA RAIL TRANSIT DISTRICT’S BOARD OF DIRECTORS	2
SONOMA-MARIN AREA RAIL TRANSIT EXECUTIVE MANAGEMENT TEAM	2
ABOUT SMART.....	3
SMART’s History	3
SMART’s Passenger Rail System.....	5
SMART OVERVIEW	7
Performance Measures	11
Budget Cycle.....	12
Basis of Budgeting	13
Fund Structure.....	13
BUDGET OVERVIEW	14
REVENUES	15
Fiscal Year 2025 Estimated Revenues	16
Sales Tax.....	17
State Revenues	17
Federal Revenues	19
State Funds – Project Specific.....	21
Other SMART Revenues	22
EXPENDITURES BY OBJECTIVES - RIDERSHIP	24
EXPENDITURES BY OBJECTIVES - PATHWAYS	25
EXPENDITURES BY OBJECTIVES - EXTENSIONS	26
EXPENDITURES BY OBJECTIVES - FREIGHT	27
EXPENDITURES.....	28
Passenger Rail Operations.....	28
Administration.....	31
ENVIRONMENTAL PROJECTS	35
STATE OF GOOD REPAIR AND CAPITAL PROJECTS.....	37
FREIGHT	41
RESERVES	45
DEBT	46
APPENDIX A - PASSENGER RAIL OVERVIEW OF SOURCES & USES	47
APPENDIX B - FREIGHT OVERVIEW OF SOURCES & USES.....	49
APPENDIX C - POSITION AUTHORIZATION.....	50

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

Rachel Farac
Transportation Authority of Marin

Debora Fudge
Sonoma County Mayors and Councilmembers Association

Patty Garbarino
Golden Gate Bridge, Highway and Transportation District

Barbara Pahre
Golden Gate Bridge, Highway and 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

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. 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 is currently running higher levels of service than it was pre-pandemic, with 38 weekday trips and 16 weekend trips. SMART, along with partner agencies, has constructed 28 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 of pathway.

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
January 2019	One Millionth Rider Mark
February 2019	Flooding
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

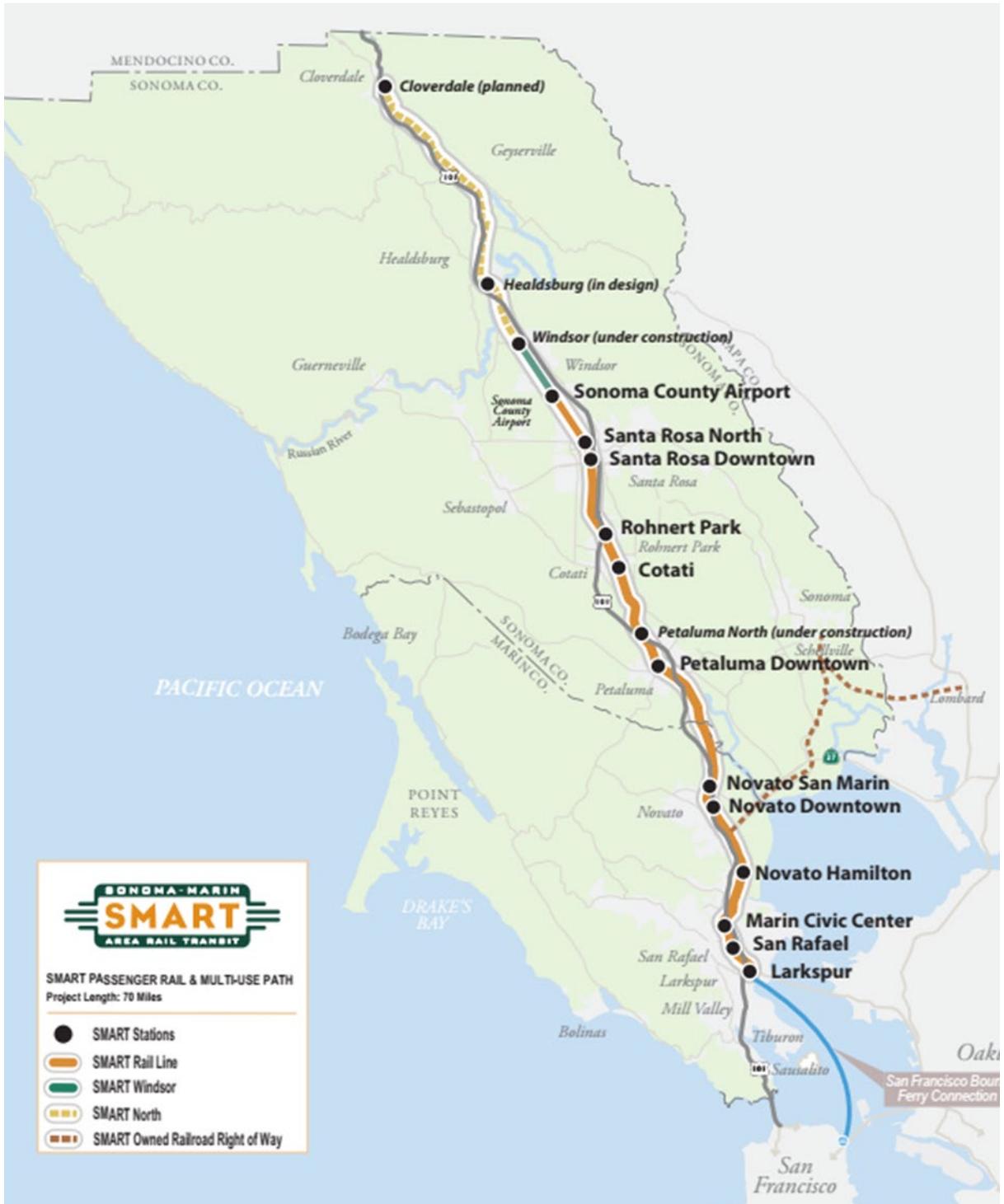
August 2020	LNU Lighting Complex Fires
May 2021	Fares lowered by 40%; additional 10 weekday trips are added for a total of 26 weekday trips; Saturday service returns
November 2021	New General Manager is hired
March 2022	Assumed freight operations from the Northwestern Pacific Railroad Company (NWPCo.)
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
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
June 2023	Launched free Summer Youth Pass
June 2023	Launched new SMART Connect service at Sonoma County Airport Station
July 2023	Reduction in 31-day pass price by 15% to reflect hybrid work schedule of 3 days a week in office
October 2023	Added one weekend round trip for total of 14 weekend trips
November 2023	Groundbreaking for Petaluma North Station, McDowell, and Pathways
November 2023	Secured funding to complete the previously suspended work on the Windsor Extension and re-engaged contractors
January - March 2024	Strategic Plan update listening sessions held to inform Strategic Plan to guide Agency from 2025-2029
April 2024	Youth and Seniors Ride Free Program implemented to encourage use of public transit
April 2024	SMART carries a record high of 80,405 riders in April, setting a new all-time monthly ridership record

SMART's Passenger Rail System

System Statistics

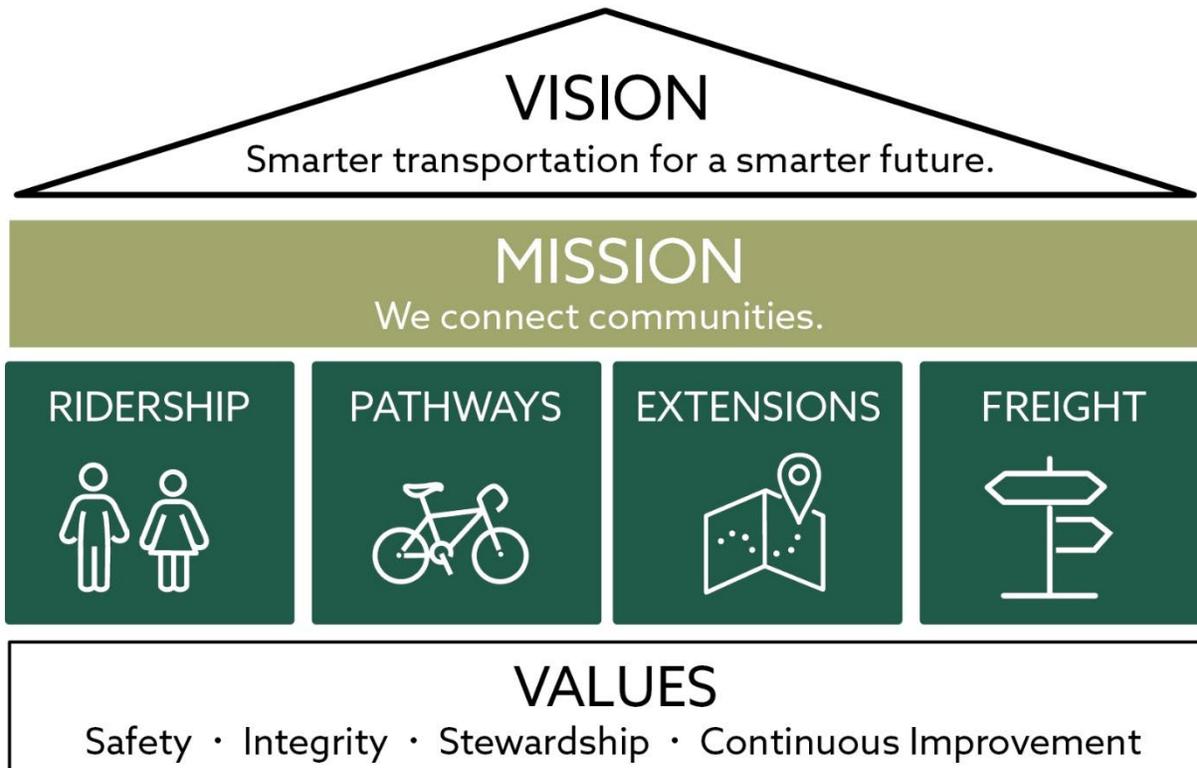
- Forty-five (45) miles rail corridor - connecting the Larkspur Ferry to the Sonoma County Airport
- Twelve (12) miles of twenty-eight (28) miles of pathway constructed and maintained by SMART, providing a first/ last mile connection to the rail corridor
- Twelve (12) stations
- Six (6) park-n-ride lots
- 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. In Fiscal Year 2024, many of these objectives were accomplished, as detailed below.



How We Measure Up: Progress on Strategies from the Fiscal Year 2024 Budget

Ridership

In the fiscal year 2024 Budget, SMART formulated strategies designed to boost ridership and address some of the most vexing elements frustrating riders. The Microtransit Pilot Program was implemented at the Airport station, to solve the first and last mile gap between the station and the Sonoma County Airport. Additional evening service was added over the summer with the Starlighter Pilot Program, and when the program ended, service was adjusted slightly later than prior to the program. SMART has offered additional service to meet events like the Marin County Fair, Giants games, and the Butter and Eggs Festival. The planning department has coordinated with Transit Provider partners to improve connections to bus and ferry service. SMART is now allowing overnight parking at the Park-and-Ride Lots for ease of utilizing the system. In order to respond to the current realities of the hybrid work

schedule, SMART repriced its monthly pass to reflect a 3-day work week in July of 2023. SMART applied for and received a grant through the Road Repair and Accountability Act, funded by Caltrans Sustainable Transportation Planning Grant, for the Quality of Life and Economic Impact Assessment. In coordination with other local transit providers, SMART offered free fares for K-12 students over the summer. The success of this program impacted SMART's decision to implement the Youth and Seniors Ride Free program as of April 1, 2024, which is currently slated to continue through June of 2025. SMART is in the process of designing and installing Public Information Display Signs at station platforms, to provide riders and the public with the most up-to-date information available. Additionally, SMART is monitoring ridership and the overall system to remain agile in a changing environment.

Pathway

In the Fiscal Year 2024 Budget, several high-level strategies were pursued with respect to Pathway Projects. The plan was to construct the funded segments of the pathway, which is in progress. SMART currently has segments of pathway under construction in the Sonoma County Pathway Project, as part of the Petaluma North Project, which will be completed in Fiscal Year 2025. These segments are:

- 2.9 miles between Southpoint Boulevard in Petaluma to Main Street in Penngrove, from mile post 40.4 to mile post 43.3
- 2.7 miles between Golf Course Drive in Rohnert Park to Bellevue Avenue in Santa Rosa, from mile post 48.5 to mile post 51.2

Additionally, SMART is constructing 2.7 miles of pathway between the Airport Station and Windsor Station as part of the Windsor Project, to be completed in Fiscal Year 2025. A segment of pathway in San Rafael is under construction to add 0.9 miles of pathway between McInnis Parkway and Smith Ranch Road, from mile post 20.1 to 21.

SMART designed and permitted additional pathway segments in Marin and Sonoma Counties, but that work will continue into Fiscal Year 2025. Updated pathway maps are included on the SMART website (and on page B-42 of this document), and these maps illustrate the segments of pathway currently under construction. Additionally, the pathway wayfinding project was developed in Fiscal Year 2024, with plans for installation in Fiscal Year 2025.

Extensions

In Fiscal Year 2024, SMART broke ground on the Petaluma North Station and resumed construction on the Windsor Extension Project.

SMART is currently involved in the East/West Rail Highway 37 Corridor Project, with continued participation in corridor activities. Working with partners, SMART seeks to incorporate rail in the project. SMART's engineering team is working with Caltrans on the rail service plan analysis.

Freight

The freight division of SMART is actively involved in seeking out additional customers and ways to increase revenue but did not achieve its goal of increasing revenue by \$500,000 in Fiscal Year 2024. Freight did gain one new customer and is currently storing cars at its Schellville location. The expenditures for freight have reduced, though not reaching the goal that was set in the Fiscal Year 2024 budget. Leadership continues to work to secure funding for capital projects and to maintain the system's state of good repair.

Fiscal Year 2025 Strategies

SMART has established strategic objectives for the Fiscal Year 2025. In some cases, these strategies are related to projects that were started in previous fiscal years and will continue into future years. The goal is to make measurable progress on each and complete as many of these objectives as possible within the year.

Ridership - Strategies

- Finish construction and open Petaluma North Station
- Complete Windsor Extension and open Windsor Station
- Implement two additional weekday round trips (from 38 to 42 trips)
- Continue Youth and Seniors Ride Free Program
- Public Information Sign Design and Implementation
- Additional shuttle service location(s)
- Work with Transit Providers to improve Bus/Ferry Connections
- Undertake Quality of Life Study
- Continuation of Enhanced Marketing Plan
- Continue monitoring the system/ridership and adjusting where necessary
- Ridership Estimate: 904,200 (nearly 10% increase from FY24)

Pathway - Strategies

- Construct funded segments of the Pathway
 - Santa Rosa to Windsor Pathway (2.7 miles, part of Windsor Extension)
 - Segments 2 and 3 of the Sonoma County Pathway (part of Petaluma North Project)
 - Segment 2: Southpoint Boulevard, Petaluma to Main Street, Penngrove mile post 40.4 to 43.3, 2.9 miles
 - Segment 3: Golf Course Drive, Rohnert Park to Bellevue Avenue, South Santa Rosa mile post 48.5 to 51.2
 - Complete McInnis to Smith Ranch Road
- Seek out grant funding to construct further segments of Pathway
 - Hanna Ranch Rd to Vintage Way
 - Guerneville Rd to Airport Blvd
- Completion of design and permitting of Pathways
- Implement wayfinding program

Extensions

- Open Petaluma North Station
- Complete Windsor Extension and open Windsor Station
- North Extension to Cloverdale
 - Design and Build Portions that are funded
 - Extension to Healdsburg Partially Funded - Design and Partial Construction
- Continue effort to get Extensions into Plan Bay Area
- East/ West Rail
 - Continue participation in Highway 37 corridor activities
 - Work with partners to incorporate rail into the project
 - Complete Caltrans rail service plan analysis
 - Continue to partner with Caltrans and FRA Corridor ID Program through SMART East-West project development and subsequent phases

Freight - Strategies

- Increase annual revenue
- Secure funding for capital/ SGR improvement (\$10 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
- Manage maintenance requirements
 - Bridges, tracks, crossings, equipment, etc.

Performance Measures

In Fiscal Year 2021, 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.

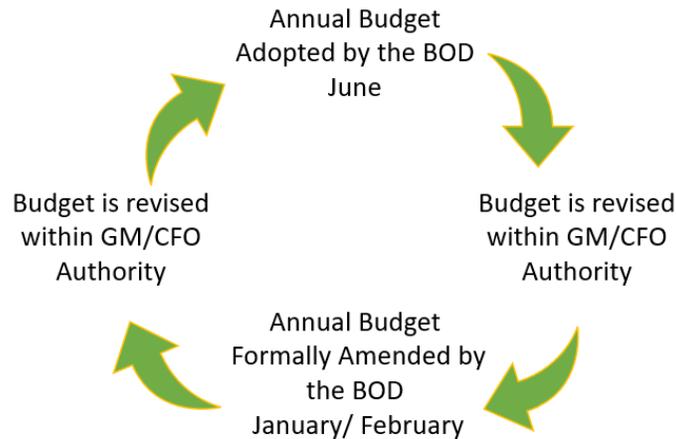
- Operating Expense per Vehicle Revenue Mile
- Operating Expense per Passenger Mile
- Passenger Trips per Vehicle Revenue Mile
- Average Fare per Passenger

NTD Metrics	2019	2020	2021	2022	2023
Boardings	716,847	567,103	122,849	354,328	640,099
Vehicle Revenue Miles	923,002	821,415	398,291	679,245	974,479
Passenger Miles	18,371,183	13,516,234	3,148,345	7,855,912	13,922,153
Operating Expense	\$ 27,490,190	\$ 28,757,008	\$ 24,833,822	\$ 27,834,598	\$ 30,585,066
Operating Cost per Vehicle Revenue Mile	\$ 29.78	\$ 35.01	\$ 62.35	\$ 40.98	\$ 31.39
Operating Cost per Passenger Mile	\$ 1.50	\$ 2.13	\$ 7.89	\$ 3.54	\$ 2.20
Passenger Trips per Vehicle Revenue Mile	0.8	0.7	0.3	0.5	0.7
Investment Per Passenger Mile (IPPM) = (Cost - Fare/ Passenger Miles)	\$ 1.27	\$ 1.90	\$ 7.66	\$ 3.38	\$ 2.07
Fare Revenues	\$ 4,094,540	\$ 3,090,457	\$ 706,938	\$ 1,283,112	\$ 1,800,747
Farebox Recovery (Fare Revenues/Operating Expense)	15%	11%	3%	5%	6%
Average Fare (Fares/ Boardings)	\$ 5.71	\$ 5.45	\$ 5.75	\$ 3.62	\$ 2.81
Cost per Boarding (Operating Expense/ Boardings)	\$ 38.35	\$ 50.71	\$ 202.15	\$ 78.56	\$ 47.78
Subsidy per Boarding [(Cost - Fare)/ Boardings]	\$ 32.64	\$ 45.00	\$ 196.39	\$ 74.93	\$ 44.97

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
60	Freight

BUDGET OVERVIEW

Passenger

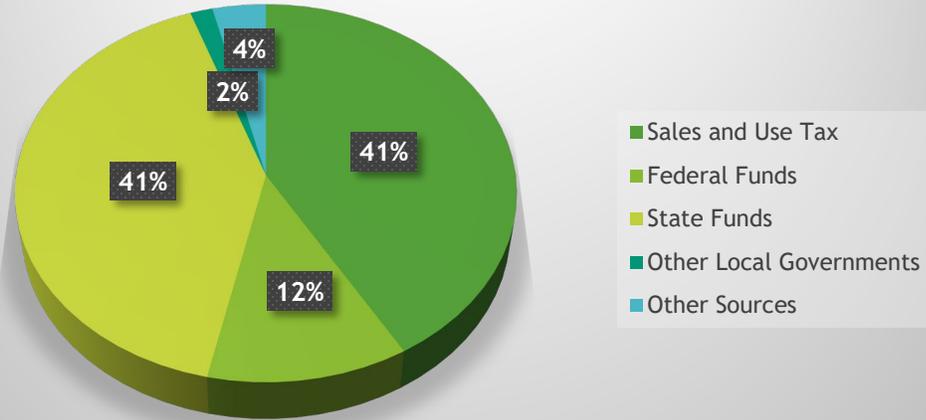
The Fiscal Year 2025 revenue estimate for passenger rail and pathways totals \$120.3 million compared to \$114.8 million in Fiscal Year 2024. Of the \$120.3 million, \$40 million is anticipated for federal and state project specific capital grants for construction. Fiscal Year 2025 will be the first year we receive 5337 funds from the Federal Transit Administration for State of Good Repair projects in the amount of \$6.35 million. These 5337 funds are in addition to the State and Federal grants which provide \$12.8 million support to the Fiscal Year 2025 operating budget.

Overall expenditures are expected to increase in Fiscal Year 2025 due to the large capital construction program and projects slated for completion. The capital engineering projects (pathways and extensions) are budgeted to come in \$12 million higher than in Fiscal Year 2024.

Revenues	FY24 Amended Budget	FY25	Difference
SMART S&U Tax	\$ 50,031,000	\$ 50,426,000	\$ 395,000
Federal Funds	\$ 5,749,081	\$ 14,224,841	\$ 8,475,760
State Funds	\$ 47,746,437	\$ 49,245,697	\$ 1,499,260
Other Sources	\$ 3,021,327	\$ 4,503,447	\$ 1,482,120
Regional Funds	\$ 8,221,921	\$ 1,889,987	\$ (6,331,934)
Total Revenues	\$ 114,769,766	\$ 120,289,972	\$ 5,520,206
Expenditures	FY24 Amended Budget	FY25	Difference
Debt Service	\$ 16,296,220	\$ 16,904,116	\$ 607,896
Salaries & Benefits	\$ 27,157,564	\$ 28,822,096	\$ 1,664,532
- Reduction for Salaries Charged to Projects	\$ (1,130,258)	\$ (1,673,973)	\$ (543,715)
Services & Supplies	\$ 20,381,904	\$ 19,647,823	\$ (734,081)
Contribution to OPEB/CalPERS Liability Fund	\$ 500,000	\$ 1,000,000	\$ 500,000
Vehicle/Equipment Capital Reserve	\$ 1,000,000	\$ 2,000,000	\$ 1,000,000
Operating Reserve	\$ 1,278,617	\$ 450,346	\$ (828,271)
Projects			\$ -
Information Systems	\$ 501,422	\$ 805,910	\$ 304,488
Planning	\$ 1,068,684	\$ 999,000	\$ (69,684)
Environmental Mitigation	\$ 263,398	\$ 1,338,666	\$ 1,075,268
Train Control	\$ -	\$ 2,500,000	\$ 2,500,000
Equipment	\$ 69,500	\$ 1,200,000	\$ 1,130,500
Non-Revenue Vehicles	\$ 1,037,906	\$ 571,000	\$ (466,906)
Shuttle	\$ -	\$ 100,000	\$ 100,000
Maintenance of Way, Track, Facilities	\$ 291,333	\$ 568,389	\$ 277,056
Vehicle Maintenance (DMUs)	\$ 2,037,000	\$ 1,801,218	\$ (235,782)
Pathways	\$ 16,375,801	\$ 26,940,744	\$ 10,564,943
Extensions	\$ 37,095,913	\$ 38,555,872	\$ 1,459,959
Miscellaneous	\$ -	\$ 113,987	\$ 113,987
Total	\$ 124,225,004	\$ 142,645,194	\$ 18,420,190

Revenues

FY25 Estimated Revenue - Passenger



Ticket Vending Machine (TVM)

Fiscal Year 2025 Estimated Revenues

Revenues	FY 25
SMART S&U Tax	
Measure Q	\$ 50,426,000
Total Sales and Use Tax	\$ 50,426,000
Federal Funds	
5307 - Urbanized Area Formula Funds (Preventative Mtce)	\$ 3,770,292
5337 - Federal State of Good Repair Funds	\$ 6,350,000
Discretionary Earmark	\$ 1,800,000
FTA Quick Strike Funds (CMAQ)	\$ 789,308
FRA CRISI - Santa Rosa to Windsor	\$ 1,499,298
Suicide Prevention Grant	\$ 15,943
Total Federal Funds	\$ 14,224,841
State Funds	
AHSC - Petaluma North Station (Petaluma/ Danco)	\$ 2,549,485
AHSC - Windsor (Kashia Tribe/ Windsor/ Burbank Housing)	\$ 750,000
AHSC - Windsor (City of Santa Rosa/ Mid-Pen)	\$ 2,263,161
ATP - Sonoma County Pathway	\$ 8,104,983
Clean California Transit Grant	\$ 881,316
ITIP - Windsor Systems	\$ 3,230,381
LCTOP - Low Carbon Transit Operating	\$ 543,086
LCTOP - Population Marin Allocation	\$ 23,270
LPP - Local Partnership Program Funds	\$ 789,308
Caltrans Sustainability Communities Competative Planning Grant	\$ 390,000
SCC - Windsor	\$ 13,341,386
STA - State of Good Repair (SGR)	\$ 340,634
STA - State Transit Assistance (Revenue)	\$ 2,451,807
STA - State Transit Assistance (Population)	\$ 1,162,223
SB1 - SRA - State Rail Assistance	\$ 3,700,000
State Funds - Shuttle Service	\$ 500,000
TIRCP - Petaluma North	\$ 6,774,657
TIRCP - Windsor to Healdsburg	\$ 1,450,000
Total State Funds	\$ 49,245,697
Other Local Governments	
City of Windsor - Utility Crossing Work	\$ 100,000
City of Santa Rosa	\$ 13,987
City of Windsor	\$ 500,000
SCTA- RM3	\$ 1,276,000
Total Local Governments	\$ 1,889,987
Other Sources	
Fare Revenues	\$ 2,215,290
Parking	\$ 11,400
Shuttle Revenues	\$ 1,200
Interest Earning	\$ 1,500,000
Advertising	\$ 132,100
Rent - Real Estate	\$ 479,636
Misc.	\$ 54,257
Charges for Services	\$ 109,564
Total Other Sources	\$ 4,503,447
Total Revenues	\$ 120,289,972

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, subsequent growth was in the double digits for Fiscal Year 2021 and 2022. While Fiscal Year 2023 finished out a little over a percentage point above Fiscal Year 2022, in Fiscal Year 2024 growth slowed even further. Based on current projections, Fiscal Year 2025 appears to be flat.

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	\$ 49,649,375	1.17%	Actual
2024	\$ 50,031,000	0.77%	Estimated
2025	\$ 50,426,000	0.79%	Estimated
	\$ 612,298,236		

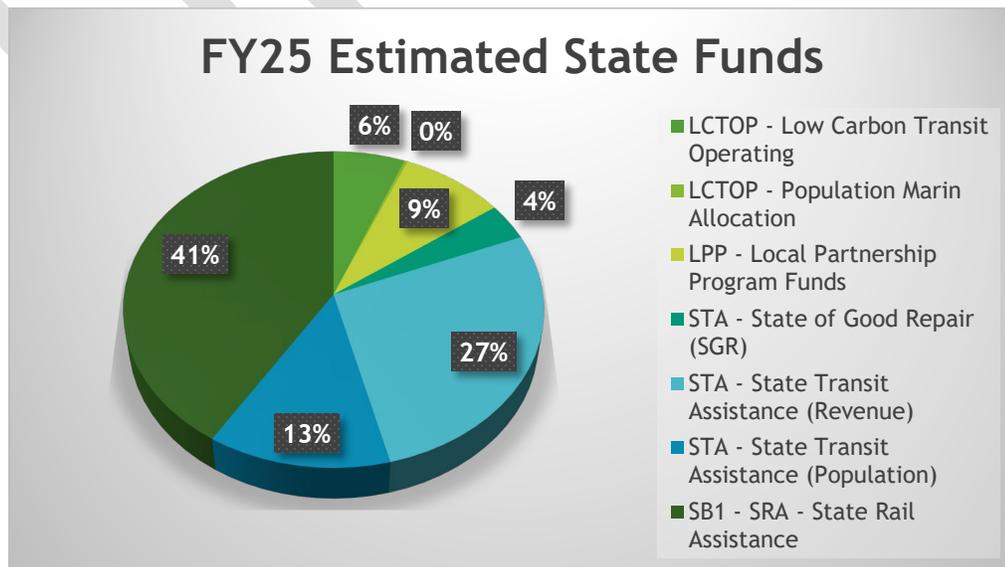
State Revenues

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 by

formula. This fund source 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.

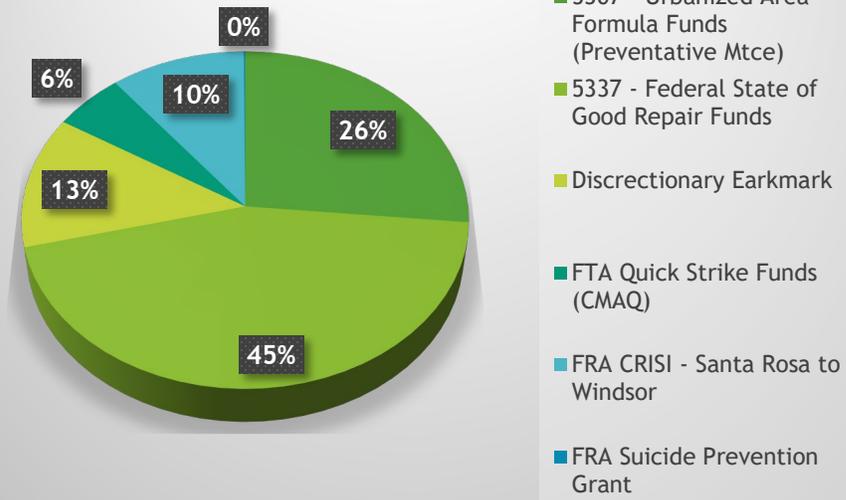


Federal Revenues

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

- 5337 Funds: FTA Formula funds providing capital assistance for maintenance, replacement, and rehabilitation projects of fixed guideway systems to help transit agencies maintain assets in a state of good repair in urbanized areas. Fiscal Year 2025 is the first year that SMART is eligible for this funds source.
- 5307 Funds: FTA Urbanized Area Formula Funds that can be used for capital projects, operating assistance, job access, reverse commute projects, and transportation related planning. SMART became eligible for these funds in Fiscal Year 2020.
- 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.
- FRA CRISI Funds: Consolidated Rail Infrastructure and Safety Improvements Program, which provides funding for projects that improve safety, efficiency, and reliability of intercity passenger and freight rail. These grant funds are specifically to fund the Windsor Systems project to implement positive train control (PTC) on the extension.

FY25 Estimated Federal Funds



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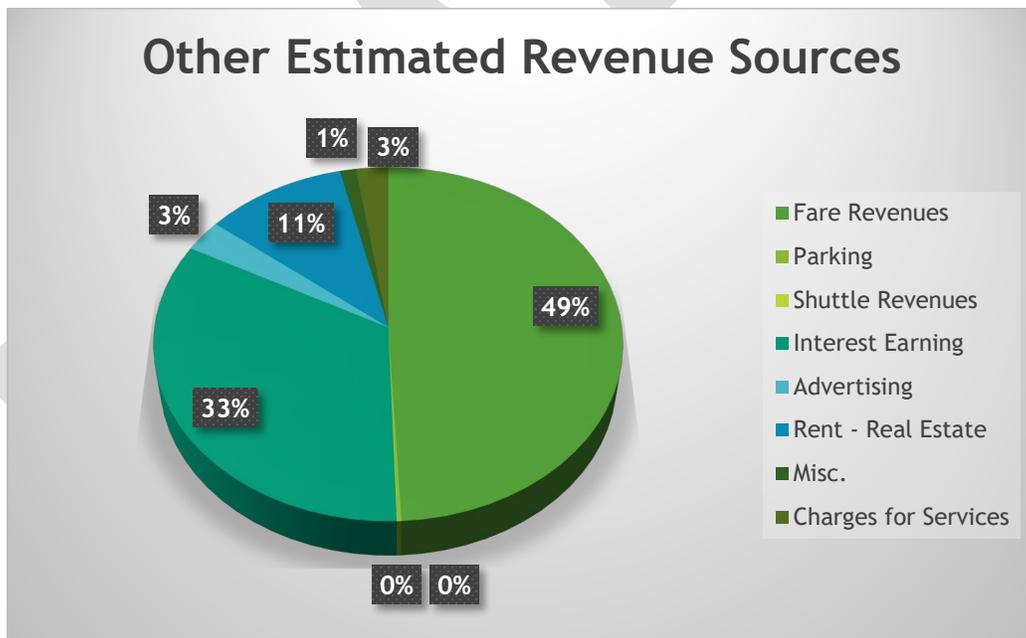
State Funds - Project Specific

- Windsor Extension
 - AHSC - Affordable Housing & Sustainable Communities
 - Two grants for a total in FY25 of \$2,788,161
 - SCC - Solutions for Congested Corridors
 - \$13,341,386 budgeted in FY25
 - ITIP - Interregional Transportation Improvement Program
 - \$3,230,381 budgeted in FY25
- Windsor to Healdsburg
 - TIRCP - Transit and Intercity Rail Capital Program
 - \$1,450,000 budgeted in FY25
- Petaluma North Station
 - TIRCP - Transit & Intercity Rail Capital Program
 - \$6,774,657 budgeted in FY25
 - AHSC - Affordable Housing Sustainable Communities Program
 - \$895,000 budgeted in FY25
- McDowell Crossing
 - AHSC - Affordable Housing Sustainable Communities Program
 - \$1,654,485 budgeted in FY25
- Sonoma County Pathway
 - ATP - Active Transportation Program
 - \$8,104,983 budgeted in FY25
- Joe Rodota to Third Street Pathway Construction
 - AHSC - Affordable Housing Sustainable Communities Program
 - \$225,000 budgeted in FY25
- Quality of Life & Economic Impact Assessment
 - RMRA - Road Repair and Accountability Act funded Caltrans Sustainable Transportation Planning Grant
 - \$390,000 budgeted in FY25
- Shuttle Service
 - Funded by State of California General Fund Budget Act of 2023
 - \$500,000 budgeted to FY25
- Real Time Signage at Stations
 - Clean California Transit Grant - \$300,000 budgeted in FY25
- Pathway Wayfinding Fabrication and Implementation
 - Clean California Transit Grant - \$581,316 budgeted in FY25

Local Governments - Project Specific

- Joe Rodota to 3rd Street Traffic Signal Design
 - City of Santa Rosa
 - \$13,987 budgeted in FY25
- Windsor Pedestrian Undercrossing
 - Town of Windsor
 - \$500,000 budgeted in FY25
 - Region Measure 3 (RM3) funding through Sonoma County Transportation Authority
 - \$1,276,000 rolling to FY25
- Windsor Utility Crossings
 - Town of Windsor
 - \$100,000 rolling to FY25

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.

- 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 START 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. In July 2023, the 31-day pass was lowered again and was priced based on a 3-day work week and an average of 3-zones travelled. This reduced the price to \$117.00 for adults and \$58.50 for seniors, youth, and passengers with disabilities.
- In April 2024, the Youth and Seniors Ride Free Program was implemented, and is planned to continue through June 2025.
- 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 budgeted to increase in Fiscal Year 2025 due to the current interest rates.
- Lease Revenues: Revenues generated by real estate holdings
- Miscellaneous Revenues: Vary each year, but are assumed to be like Fiscal Year 2024
- 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.
- Shuttle Revenue: Fiscal Year 2024 marked the first full year of shuttle service, budgeting for Fiscal Year 2025 based on that information

RIDERSHIP

Expenditures by Objectives - Ridership

- Finish construction and open Petaluma North Station
- Complete Windsor Extension and open Windsor Station
- Implement two additional round trips
- Continue Youth and Seniors Ride Free Program
- Public Information Sign Design and Implementation
- Additional shuttle service location(s)
- Work with Transit Providers to improve Bus/Ferry Connections
- Undertake Quality of Life Study
- Continuation of Enhanced Marketing Plan
- Continue monitoring the system/ridership and adjusting where necessary
- Ridership Estimate: 904,200 (nearly 10% increase from FY24)

Ridership	FY25
First/ Last Mile Connections - Microtransit at Airport Station, Implement other location(s)	\$ 1,000,000
Continue Enhanced Marketing Plan	\$ 200,000
Quality of Life & Economic Impact Assessment	\$ 390,000
Public Information Display Signs at Platforms	\$ 550,000
Website Redesign	\$ 500,000
Automated Station Announcements	\$ 34,000
Planning	\$ 50,000
Direct Operations	\$ 20,514,343
- Additional Weekday Service	
- Additional Event Service Based on Demand	
- Additional Operations Cost to extend to Windsor	
Administration	\$ 18,498,968
Operations	\$ 11,244,231
Total	\$ 52,981,541

PATHWAYS

Expenditures by Objectives - Pathways

- Construct funded segments of the Pathway
 - Santa Rosa to Windsor Pathway (part of Windsor Extension)
 - Segments 2 and 3 of the Sonoma County Pathway (part of Petaluma North Project)
 - Complete McInnis to Smith Ranch Road
- Seek out grant funding to construct further segments of Pathway
 - Hanna Ranch Rd to Vintage Way
 - Guerneville Rd to Airport Blvd
- Complete design and permitting of Pathways
- Implement wayfinding program

Pathways	FY25
Construct Funded Segments of the Pathway	
- McInnis to Smith Ranch Pathway	\$ 1,620,233
- Sonoma County Pathways	\$ 17,556,937
- Joe Rodota to Third Street	\$ 465,986
- Hanna Ranch to Vintage Way Pathway	\$ 200,000
- Guerneville Road to Airport Blvd. Pathway	\$ 200,000
Design and Permit Pathways	
- Marin- Sonoma Pathways	\$ 1,304,423
- Marin Pathways	\$ 4,038,421
- Puerto Suello to San Pedro Road	\$ 708,227
Wayfinding Program	\$ 731,316
Pathway Specific Maintenance	\$ 145,700
Administration	\$ 1,744,220
Operations	\$ 1,252,579
Total Pathways	\$ 29,968,042

EXTENSIONS

Expenditures by Objectives - Extensions

- Open Petaluma North Station
- Complete Windsor Extension and open Windsor Station
- North Extension to Cloverdale
 - Design and Build Portions that are Funded
 - Extension to Healdsburg Partially Funded – Design and Partial Construction
- Continue effort to get Extensions into Plan Bay Area
- East/ West Rail
 - 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	FY25
Santa Rosa to Windsor	\$ 23,715,963
Windsor Pedestrian Undercrossing	\$ 1,776,000
Windsor to Healdsburg	\$ 3,250,000
Petaluma North Station	\$ 7,549,424
McDowell Crossing	\$ 1,664,485
Total	\$ 37,955,872

FREIGHT

Expenditures by Objectives - Freight

- Increase annual revenue
- Secure funding for capital/ SGR improvement (\$10 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
- Manage maintenance requirements
 - Bridges, tracks, crossings, equipment, etc.

Freight	FY25
Operations	\$ 767,290
Capital	\$ 167,920
Salary and Benefits	\$ 870,099
Total Freight	\$ 1,805,309

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.)

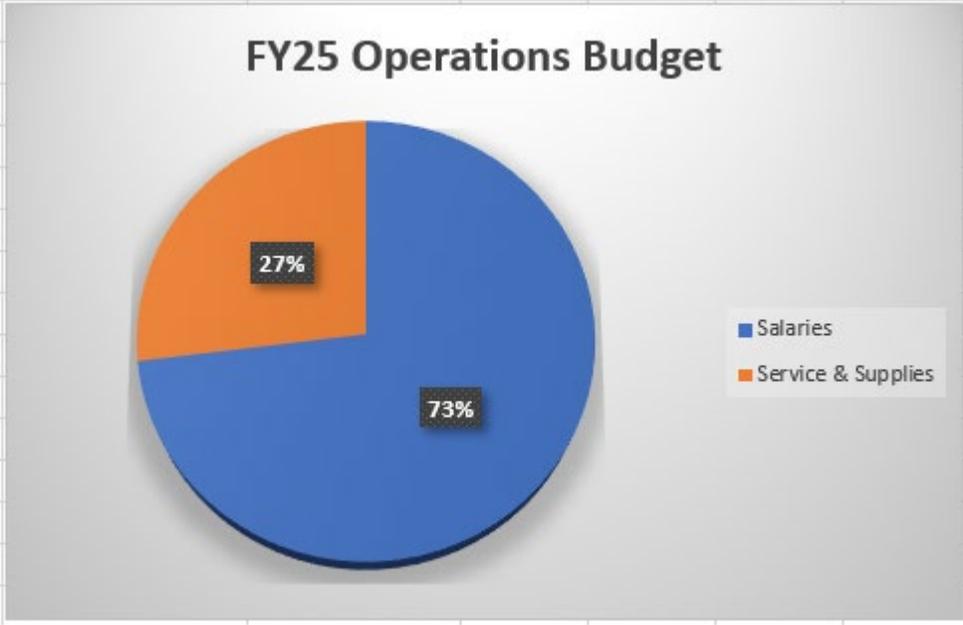
In addition to Transportation, Vehicle Maintenance and Maintenance of Way two additional functions are under the operations budget.

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 121 full-time equivalent (FTE) employees with an estimated budget for salaries and benefits of \$19,472,537. Salaries and Benefits make up 73% of the total Operations budget, see above.

Operations	FY25
Operations General	\$ 1,147,654.27
Maintenance of Way	\$ 4,558,979.96
Transportation	\$ 8,963,208.18
Vehicle Maintenance	\$ 4,040,949.75
Safety	\$ 1,022,872.34
Total	\$ 19,733,664.50

This budget funds one (1) new Lead Facility Maintenance Engineer, one (1) new Superintendent of Maintenance of Way, two (2) new Operations Communications Specialist positions, and one (1) limited-term Code Compliance Officer.

Operations Salaries and Benefits are increasing by \$971,428 or 5.2%. This is a result of the four (4) new positions and one (1) limited-term position, implementation of raises in accordance



with the collective bargaining agreements, and an estimated increase of 10% in benefits.

SMART has been operating 38 weekday trips since October 2022. In Fiscal Year 2023 added evening service on Friday and Saturdays, consisting of two additional trips on Friday on Saturday and allowed for additional service for special events as warranted. This budget anticipates adding 2 roundtrip weekday trips in Fiscal Year 2025, for a total of 42 weekday trips. The Windsor Extension is planned to open in this fiscal year, and this budget was accounts for those additional operations costs for the increased distance and maintenance requirements. This budget features a new account for consumables, which consolidates items previously lumped into miscellaneous expenses and small tools. The increase in Contracted Services is generated by the need to procure a new service to test the Auxiliary Power Supply (APS) units on the trains. Overall, this results in a 5.3% increase from Fiscal Year 2024.

Account	Account Description	FY 24 Amended Budget	FY 25 Requested Budget
51061	Maintenance of Equipment	\$ 474,904	\$ 480,404
51063	Maintenance of Signals	\$ 137,675	\$ 167,500
51064	Maintenance of Revenue Vehicles	\$ 347,000	\$ 411,000
51071	Maintenance of Facilities	\$ 275,375	\$ 263,345
51074	Maintenance of Railway	\$ 455,158	\$ 176,300
51075	Maintenance of Pathway	\$ 19,500	\$ 30,500
51225	Training & Travel Expense	\$ 58,500	\$ 66,660
51252	Fare Collection Fees	\$ -	\$ -
51401	Rental/ Leases - Equipment	\$ 50,160	\$ 57,960
51605	Mileage Reimbursement & Auto Tolls	\$ 1,000	\$ 1,000
51802	Contract Services - Administrative	\$ 604,850	\$ 1,141,602
51804	Contract Services - Transportation	\$ 1,092,500	\$ 872,337
51902	Communications	\$ 50,260	\$ 50,996
52021	Uniform Expense	\$ 84,000	\$ 92,400
52061	Fuel and Lubricants	\$ 2,018,363	\$ 1,993,363
52091	Memberships	\$ 2,500	\$ 1,100
52101	Miscellaneous Expense	\$ 53,000	\$ 10,000
52111	Office Expense	\$ 60,000	\$ 54,000
52117	Postage	\$ 14,000	\$ 55,000
52135	Consumables	\$ -	\$ 73,000
52141	Small Tools and Equipment	\$ 124,500	\$ 111,500
52142	Computer Hardware	\$ 7,000	\$ -
52143	Software	\$ 32,200	\$ 77,823
52162	Public Relations Expense	\$ -	\$ 75,000
52161	Marketing and Promotional Items	\$ 48,902	\$ 48,902
52191	Utilities	\$ 890,120	\$ 955,980
	Grand Total	\$ 6,901,466	\$ 7,267,672

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

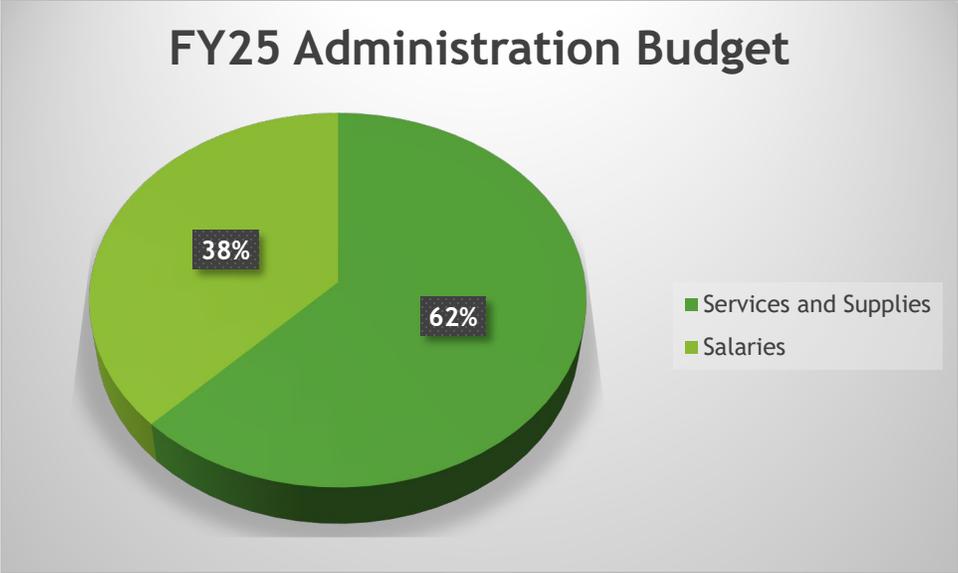
The Real Estate Department is responsible for managing SMART's Right-of-Way and processing all third-party requests for access to the Right-of-Way. It also handles property sales and acquisitions and supports all departments with title research and boundary information.

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	FY25
General Administration	\$ 3,255,482
Information Systems	\$ 485,659
Human Resources	\$ 504,038
Legal	\$ 1,035,728
Marketing and Communications	\$ 629,385
Board Office	\$ 179,136
Real Estate	\$ 564,674
Planning	\$ 524,377
Engineering (Non-Project Specific)	\$ 381,990
Total	\$ 7,560,469

SMART's District Administration has 46 full-time equivalent (FTE) employees, two (2) limited-term employees, and interns with an estimated budget for salaries and benefits of \$7,560,469. There are two new positions - Grants & Budget Analyst and an Administrative Assistant for Real Estate, as well as a limited term position and intern in Marketing and Communications have been added in Fiscal Year 2025 to accommodate the additional workload. A three percent (3%) cost of living increase has been included for all non-bargaining unit employees. These additions lead to a 9.1% increase over Fiscal Year 2024.



The Administrative Budget has increased by \$1.1 million (8.9%) over Fiscal Year 2024. Much of this increase is related to the following:

- Transferring the cost of fare collection from operations to administration.
- Contracted Services increasing with necessary implementations in software for Finance and IT, as well as the cost to engage a recruiting firm to help with hard-to-fill positions.
- Legal expenses decreased in this fiscal year, due to fewer active cases.
- A significant increase in insurance costs, even after large increases in previous fiscal years. We have not received our final insurance quotes but are anticipating an overall 20% increase.

Account	Account Description	FY 24 Amended Budget	FY 25 Requested Budget
51042	Insurance	\$ 2,606,570	\$ 3,184,605
51045	Provisions for Claims	\$ 500,000	\$ 500,000
51062	Maintenance of Radios	\$ 156,200	\$ 196,910
51206	Auditing/ Accounting Services	\$ 58,500	\$ 61,110
51207	Fiscal Accounting Services	\$ 10,609	\$ 6,300
51211	Legal	\$ 1,071,000	\$ 775,000
51214	Agency Extra Help	\$ 155,000	\$ 155,000
51225	Training & Travel Expense	\$ 328,535	\$ 325,000
51226	Contracted Services	\$ 217,000	\$ 225,000
51241	Printing Services	\$ 57,300	\$ 62,800
51242	Fiscal Agent Fees	\$ 5,000	\$ 5,000
51244	Permits/ Fees	\$ 30,500	\$ 20,300
51252	Fare Collection Fees	\$ 216,000	\$ 306,500
51301	Public/ Legal Notices	\$ 54,800	\$ 64,000
51401	Rental/ Leases - Equipment	\$ 61,218	\$ 56,000
51421	Rental/ Leases - Buildings	\$ 460,867	\$ 460,867
51605	Mileage Reimbursement & Auto Tolls	\$ 40,560	\$ 54,600
51802	Contract Services - Administrative	\$ 2,186,707	\$ 2,573,100
51803	Contract Services - Personnel	\$ 229,375	\$ 270,500
51902	Communications	\$ 369,350	\$ 354,500
51918	Claims Processing Payroll	\$ 42,200	\$ 50,000
52021	Uniform Expense	\$ 5,000	\$ 5,600
52091	Memberships	\$ 35,895	\$ 62,290
52101	Miscellaneous Expense	\$ 1,000,000	\$ 1,000,000
52111	Office Expense	\$ 49,600	\$ 53,600
52115	Books/ Periodicals	\$ 3,500	\$ 3,500
52117	Postage	\$ 5,000	\$ 5,000
52141	Small Tools and Equipment	\$ 1,000	\$ 1,000
52142	Computer Hardware	\$ 163,500	\$ 182,500
52143	Computer Software	\$ 758,200	\$ 1,067,570
52161	Marketing/ Promotional Items	\$ 30,000	\$ 30,000
52162	Public Relations Expense	\$ 363,800	\$ 262,000
	Grand Total	\$ 11,272,786	\$ 12,380,151

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	Total FY25 Amount
Environmental/Mitigation		
	San Rafael Creek Riparian Construction & Monitoring (Larkspur Mitigation)	\$ 31,641
	Las Gallinas Riparian Enhancement & Monitoring	\$ 19,225
	Mira Monte Resortation	\$ 9,000
	Petaluma Riparian Construction & Monitoring (SoCo NMP Seg 1 & 2)	\$ 43,287
	Crane Creek Riparian Monitoring (SoCo NMP Seg 3 and Guerneville NMP)	\$ 618,798
	Helen Putnam Riparian Monitoring (McInnis NMP)	\$ 601,398
	Windsor Riparian Mitigation Monitoring	\$ 15,318
Total		\$ 1,338,666

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	Total FY25 Amount
Engineering		
Expansion		
	Santa Rosa Airport Station to Windsor Station	\$ 23,715,963
	Windsor Station to Healdsburg Station	\$ 3,250,000
	Windsor Pedestrian Undercrossing	\$ 1,776,000
	Petaluma North Station	\$ 7,549,424
	N. McDowell Boulevard Crossing Reconstruction	\$ 1,664,485
Total		\$ 37,955,872
Miscellaneous		
	Joe Rodota Trail to 3rd St Traffic Signal Design (City of Santa Rosa)	\$ 13,987
	Town of Windsor Utility Crossings (CNPA)	\$ 100,000
Total		\$ 113,987

Department	Project	Total FY25 Amount
Admin		
Information Systems		
	Petaluma Voicemail Server	\$ 6,000
	6 UPSs in Petaluma	\$ 33,000
	Petaluma Print Server	\$ 5,000
	Access Control Server	\$ 14,000
	PET Internet Routers (Primary & Secondary)	\$ 37,000
	PET Firewalls and Switches (Active and Standby)	\$ 37,000
	PET Internal Routers (Primary and Secondary)	\$ 37,000
	PET CCTV Network PoE Switches (2)	\$ 10,000
	PET VPN Concentrator	\$ 11,550
	PET Access Control / Security Camera Network Switch	\$ 6,000
	Roblar Cisco Switches - C&D, S&U, CCTV POE	\$ 15,750
	Roblar Avaya Phone System and switch	\$ 10,000
	OMF Server	\$ 6,000
	Bridge/Tunnel CCTV Servers and Video Appliance	\$ 81,060
	ROC Avaya Phone System and switch	\$ 10,500
	ROC VPN Concentrator	\$ 11,550
	ROC IPSec Router to Marin County AVL	\$ 26,000
	ROC IPSec Router to Sonoma County AVL	\$ 26,000
	ROC Fiber Switch CDC to MPOE; CDC to IDF (2 switches)	\$ 12,000
	ROC Point-of-Entry Routers (Primary & Secondary)	\$ 50,000
	ROC Point-of-Entry Switches (Primary & Secondary)	\$ 10,000
	2 Backup Servers - ROC and PET	\$ 14,000
	Radio System Upgrade	\$ 287,500
	Board Meeting AV Equipment (Cameras, Audio Mixer, Video Board)	\$ 15,000
	Automated Station Announcements	\$ 34,000
Total		\$ 805,910

Department	Project	Total FY25 Amount
Operations		
Non-Revenue Vehicles	F-350 Hi-Rail	\$ -
	Ram Truck	\$ -
	Ram Truck	\$ 50,000
	F350 Extended Cab XL (Hi-Rail)	\$ -
	F250 Crew Cab w/ Harbor Body	\$ 75,000
	F350 Extended Cab XL (Hi-Rail)	\$ 75,000
	F250 W/ Harbor Body (2 axle)	\$ 75,000
	F150 Crew Cab XL (2 axle)	\$ 48,000
	F150 Crew Cab XL	\$ 48,000
	Used Hyrail boom Truck	\$ 200,000
Total		\$ 571,000
Shuttle	Larkspur Train & Ferry Shuttle Electrification Project	\$ 100,000
Total		\$ 100,000
Train Control	Dispatch Software	\$ 2,500,000
Total		\$ 2,500,000
Track, MOW, & Facilities	Joints (Insulated/ Welded)	\$ 29,700
	Train Control Systems & Communications	\$ 62,862
	FY25 Guideway & Trackwork - Mainline (Surfacing)	\$ 345,338
	Power drop - Fulton	\$ 30,000
	Fabric Building - Scrubber storage, garage	\$ 30,000
	Backup generator at Roblar	\$ 50,000
	Generator Plug Retrofit at all Platforms	\$ 20,489
Total		\$ 568,389
Equipment & Machinery	New DMU Cameras	\$ 1,200,000
Total		1,200,000.00
Revenue Vehicles (DMUs)	Purchase spare Auxillary Power Supply (Parts)	\$ 250,000
	Master Control Overhaul	\$ 175,804
	Shift Cylinders / Valve Blocks (parts)	\$ 70,000
	FY25 DMU Air Brake Overhaul and Air Supply Unit- Fleet Material Lead Time	\$ 701,414
	Energy Cushion Device Crash System	\$ 150,000
	Truck sus. Replacement (Parts)	\$ 150,000
	Fire Sup. System, PKP	\$ -
	Engineer Seat Replacement	\$ 50,000
	Placeholder (LED's) (Parts vs Project)	\$ 200,000
	Event Recorder Overhaul	\$ 54,000
Total		\$ 1,801,218.00



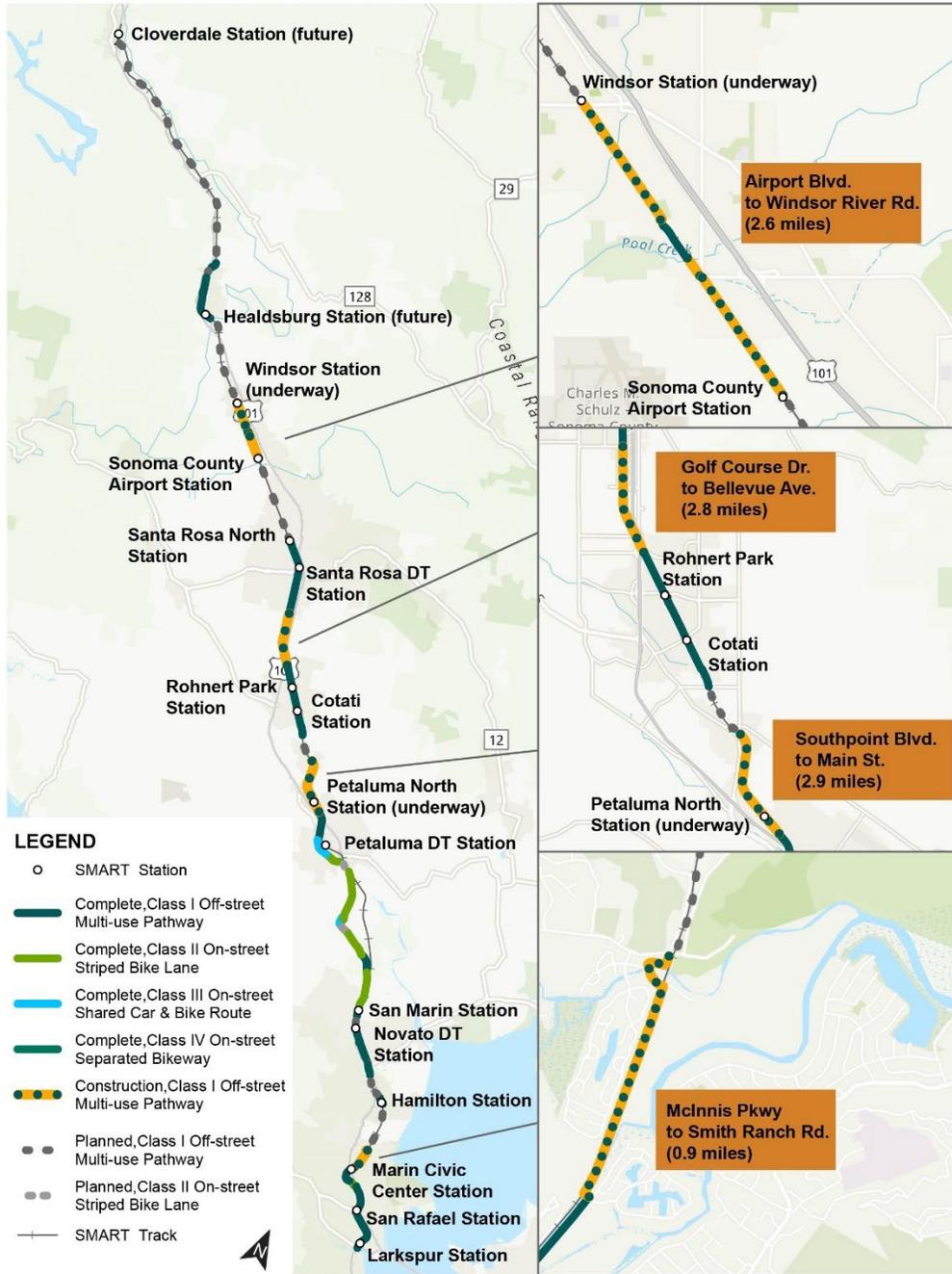
The Fiscal Year 2025 Budget completes several sections of pathway. The budget will complete the construction of 9.26 miles of pathway (Airport to Windsor, Golf Course to Bellevue, Petaluma to Penngrove, McInnis to Smith Ranch, Joe Rodota Trail to W. 3rd) as well as begin initial construction on Hanna Ranch Road to Vintage Way and Guerneville Road to Airport Boulevard. The budget also funds the design work for over 15 miles of pathway in both Marin and Sonoma County. Progressing the design on this 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, and below for a map featuring the sections of pathway currently under construction:

https://sonomamarintrain.org/smart_pathway

Department	Project	Total FY25 Amount
Pathways		
	Marin - Sonoma Pathway Design & Permitting	\$ 1,304,423
	Marin Pathway Design & Permitting	\$ 4,038,421
	McInnis Pkwy to Smith Ranch Rd NMP Permitting	\$ 41,617
	McInnis Pkwy to Smith Ranch Rd NMP Construction	\$ 1,578,616
	Joe Rodota Trail to 3rd St NMP Design and Construction	\$ 465,986
	Hanna Ranch Rd to Vintage Wy NMP Construction	\$ 200,000
	Guerneville Rd to Airport Blvd NMP Construction	\$ 200,000
	SoCo NMP Gap Closure Construction (Segments 2 & 3)	\$ 17,556,937
	Puerto Suello Tunnel NMP Design	\$ 708,227
	Pathways - Slurry seal 2 miles	\$ 115,200
	Pathway Wayfinding - Fabrication & Installation	\$ 731,316
Total		\$ 26,940,744

SMART PATHWAY MAP

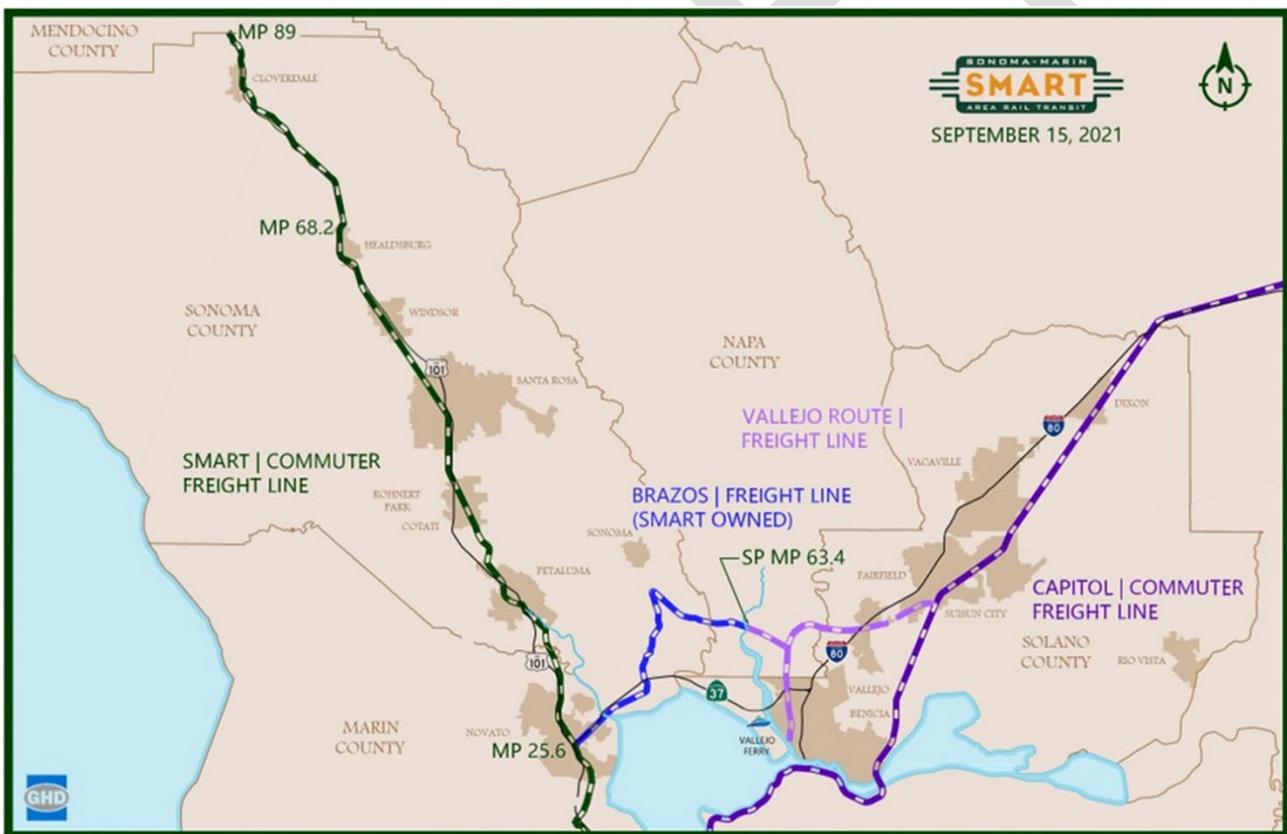


FREIGHT

Freight

In July of 2022, SMART began in-house operations of freight services. Revenues for freight operations in Fiscal Year 2025 are estimated at \$1.8 million. We anticipate spending \$870,099 on salaries and benefits, \$767,290 on operations, and \$167,920 on capital repairs and replacements in Fiscal Year 2025.

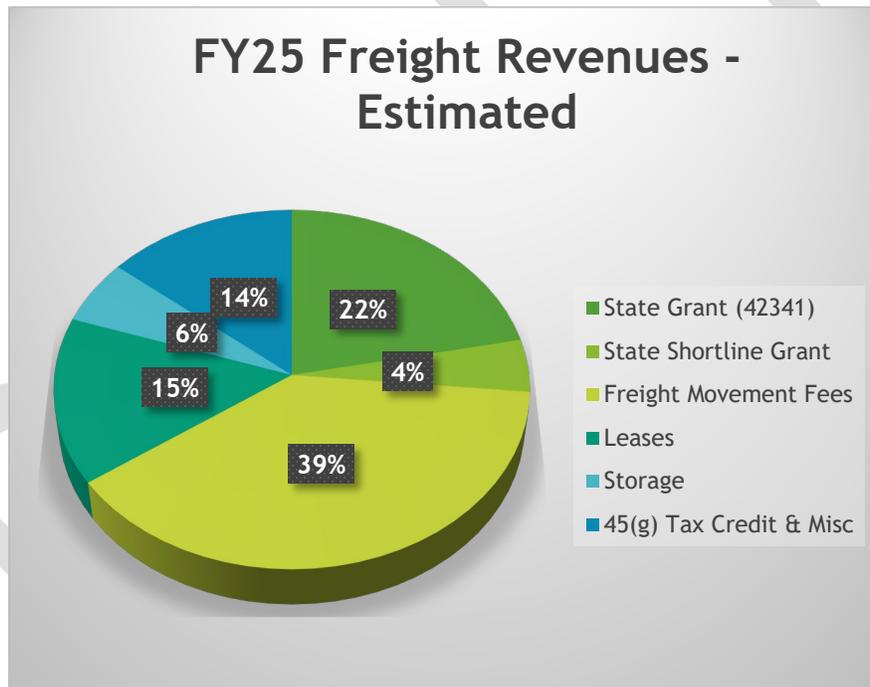
In March of 2022, SMART assumed the freight operations from the Northwestern Pacific Railroad Company (NWPCo) which had been operating service from Napa County to Petaluma since 2011. SMART began in-house operations on July 1, 2022. Currently there are three customers that receive primarily feed grain. In addition, there is a freight car storage location at the Schellville yard, currently storing rail cars for one customer. 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 passenger miles freight operated versus total passenger miles commuter rail operated, with a passenger mile for freight defined as cars multiplied by miles.

The SMART Board of Directors previously approved six (6) FTE to operate the Freight Division for the organization. The FY 25 budget for salaries and benefits for freight operations is estimated at \$870,099. This budget funds one (1) freight manager, four (4) freight utility workers, and a half-time administrative assistant. The other authorized half-time freight utility worker is not budgeted due to funding constraints. The details regarding these positions can be found in Appendix C. A three percent (3%) cost of living increase is included for Fiscal Year 2025.

The SMART Freight Division has been evaluating and prioritizing the work that needs to be performed to run the service and comply with all Federal Railroad Administration requirements. Work to clean up Schellville Depot and repairs to high priority bridges were completed in previous fiscal years. Further maintenance on the bridges and infrastructure will be considered based on acquiring additional funding. The Fiscal Year 2025 Budget includes the purchase of bridge timbers for future bridge repairs as well as funds for the Grade Crossing Repair. The Freight Manager continues to reach out to potential new customers to increase revenues.



Revenue Source	FY25 Estimated
State Grant (42341)	\$ 393,549
State Shortline Grant	\$ 83,960
Freight Movement Fees	\$ 700,000
Leases	\$ 270,000
Storage	\$ 104,800
45(g) Tax Credit & Misc	\$ 253,000
Total	\$ 1,805,309



Account	Account Description	FY 24 Amended Budget	FY 25 Requested Budget
	Salaries and Benefits	\$ 920,876	\$ 870,099
50995	Freight Cost Allocation - Administration	\$ 120,000	\$ 32,895
51042	Insurance	\$ 73,704	\$ -
51061	Maintenance of Equipment	\$ 35,250	\$ 36,150
51062	Maintenance of Radios	\$ 2,034	\$ -
51063	Maintenance of Signals	\$ 15,000	\$ 15,000
51064	Maintenance of Revenue Vehicles	\$ 95,000	\$ 45,000
51071	Maintenance of Facilities	\$ 25,000	\$ 5,000
51074	Maintenance of Railway	\$ 60,000	\$ 87,000
51225	Training & Travel Expense	\$ 10,000	\$ -
51244	Permits and Fees	\$ 70,000	\$ 72,690
51401	Rental/ Leases - Equipment	\$ 55,000	\$ 57,947
51605	Mileage Reimbursement & Auto Tolls	\$ 1,389	\$ 2,500
51802	Contract Services - Administrative	\$ 235,683	\$ 220,481
51902	Communications	\$ 15,050	\$ 15,000
52021	Uniform Expense	\$ 3,957	\$ 5,000
52061	Fuel and Lubricants	\$ 114,111	\$ 115,000
52091	Memberships	\$ 2,043	\$ 1,100
52101	Miscellaneous Expense	\$ 14,374	\$ 2,887
52117	Postage	\$ -	\$ 5,000
52141	Small Tools and Equipment	\$ 15,000	\$ 18,000
52143	Software	\$ 8,640	\$ 8,640
52191	Utilities	\$ 15,000	\$ 22,000
	Total	\$ 1,907,111	\$ 1,637,389
	Projects		
	Brazos Branch - Phase I	\$ 660,696	\$ -
	Tie Replacement	\$ 50,000	\$ -
	Brazos Branch - Phase II	\$ 95,000	\$ 67,920
	Grade Crossing Repair	\$ 100,000	\$ 100,000
	Total	905,696.00	\$ 167,920
	Grand Total	\$ 2,812,807	\$ 1,805,309

The freight fund does not have reserves and the fund balance will be dependent on the amount budgeted but not spent in Fiscal Year 2024. Likely that fund balance will be very low.



Freight Repairs

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 \$1,000,000 for Fiscal Year 2025. The Fiscal Year 2024 balance is \$5,574,676.

Vehicles & Equipment Reserve

This reserve is used to accumulate funds for future capital equipment needs such as DMU replacement. The Fiscal Year 2024 balance is \$10,625,000. We are adding an additional \$2,000,000 for a total reserve of \$12,625,000 in Fiscal Year 2025.

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 2024 operating reserve was \$11,278,617. We have calculated 25% of the operating costs for Fiscal Year 2025 which would result in a reserve of or an increase of \$450,346.

Fund Balance

The estimated fund balance for Fiscal Year 2024 year-end is \$60,494,300.

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 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

FISCAL YEAR 2024-2025 DRAFT BUDGET - SOURCES AND USES				
		A	B	C
		FY24 Amended Budget	FY25 Budget	Difference
1	Beginning Fund Balance *	\$ 90,529,548	\$ 81,342,877	\$ (9,186,671)
2	Revenues			
3	SMART S&U Tax			
4	Measure Q	\$ 50,031,000	\$ 50,426,000	\$ 395,000
5	Federal Funds			
6	5307 - Urbanized Area Formula Funds (Preventative Maintenance)	\$ 3,997,642	\$ 3,770,292	\$ (227,350)
7	5337 - Federal State of Good Repair Funds	\$ -	\$ 6,350,000	\$ 6,350,000
8	Discretionary Earmark	\$ -	\$ 1,800,000	\$ 1,800,000
9	FRA - Consolidated Rail Infrastructure and Safety Improvements (CRISI)	\$ 250,000	\$ 1,499,298	\$ 1,249,298
10	FRA Suicide Prevention Grant	\$ 78,902	\$ 15,943	\$ (62,959)
11	Quick Strike (CMAQ) McInnis to Smith Ranch Rd)	\$ 1,422,537	\$ 789,308	\$ (633,229)
12	State Funds			
13	AHSC - Roseland Village (Round5)	\$ 2,038,161	\$ 2,263,161	\$ 225,000
14	AHSC - Kashia Tribe (Round 7)	\$ 750,000	\$ 750,000	\$ -
15	AHSC - Petaluma (Danco)	\$ 645,515	\$ 2,549,485	\$ 1,903,970
16	ATP - SoCo Pathway - CTC/Caltrans/MTC	\$ 4,138,101	\$ 8,104,983	\$ 3,966,882
17	Caltrans Sustainability Communities Competative Planning Grant	\$ 400,000	\$ 390,000	\$ (10,000)
18	Clean California Transit Grant	\$ 1,000,000	\$ 881,316	\$ (118,684)
19	LCTOP - Low Carbon Transit Operating	\$ 520,218	\$ 566,356	\$ 46,138
20	LPP - Local Partnership Program	\$ 1,422,537	\$ 789,308	\$ (633,229)
21	ITIP - Windsor Systems	\$ 6,966,677	\$ 3,230,381	\$ (3,736,296)
22	SCC - Windsor	\$ 16,658,614	\$ 13,341,386	\$ (3,317,228)
23	SRA - State Rail Assistance	\$ 5,026,754	\$ 3,700,000	\$ (1,326,754)
24	STA - State Transit Assistance (Population)	\$ 653,792	\$ 1,162,223	\$ 508,431
25	STA - State Transit Assistance (Revenue)	\$ 3,170,013	\$ 2,451,807	\$ (718,206)
26	STA - SGR (State of Good Repair)	\$ 330,712	\$ 340,634	\$ 9,922
27	State Funds - Shuttle Service	\$ 500,000	\$ 500,000	\$ -
28	TIRCP - Petaluma North and McDowell Crossing	\$ 3,325,343	\$ 6,774,657	\$ 3,449,314
29	TIRCP - Windsor to Healdsburg	\$ 200,000	\$ 1,450,000	\$ 1,250,000
30	Regional Funds			
31	Measure M - SCTA	\$ 974,254	\$ -	\$ (974,254)
32	Other Governments	\$ 4,447,667	\$ 613,987	\$ (3,833,680)
33	Regional Measure 3 (RM3)	\$ 2,800,000	\$ 1,276,000	\$ (1,524,000)
34	Other Sources			
35	Advertising	\$ 70,000	\$ 132,100	\$ 62,100
36	Charges for Services	\$ 75,637	\$ 109,564	\$ 33,927
37	Fare Revenues	\$ 1,803,384	\$ 2,215,290	\$ 411,906
38	Interest Earning	\$ 627,926	\$ 1,500,000	\$ 872,074
39	Misc.	\$ 5,659	\$ 54,257	\$ 48,598
40	Parking	\$ 15,000	\$ 11,400	\$ (3,600)
41	Rent - Real Estate	\$ 423,721	\$ 479,636	\$ 55,915
42	Shuttle Revenues	\$ -	\$ 1,200	\$ 1,200
43	Total Revenues	\$ 114,769,766	\$ 120,289,972	\$ 5,520,206
44	Total Revenues + Fund Balance	\$ 205,299,314	\$ 201,632,849	\$ (3,666,465)

45				
46		FY24 Amended Budget	FY25 Budget	Difference
47	Debt Service	\$ 16,296,220	\$ 16,904,116	\$ 607,896
48	Salaries & Benefits	\$ 27,157,564	\$ 28,822,096	\$ 1,664,532
49	Reduction for Salaries Charged to Projects	\$ (1,130,258)	\$ (1,673,973)	\$ (543,715)
50	Reduction for Allocation of Salaries/ Services/ Supplies to Freight	\$ (120,000)	\$ (32,895)	\$ 87,105
51	Service & Supplies	\$ 20,381,904	\$ 19,656,823	\$ (725,081)
52	Total Salaries, Benefits, Service, & Supplies	\$ 46,289,210	\$ 46,772,051	\$ 482,841
53	Contribution to OPEB/ CalPERS Liability Fund	\$ 500,000	\$ 1,000,000	\$ 500,000
54	Contribution to Capital Sinking Fund	\$ 1,000,000	\$ 2,000,000	\$ 1,000,000
55	Operating Reserve	\$ 1,278,617	\$ 450,346	\$ (828,271)
56	Total Reserve Contributions	\$ 2,778,617	\$ 3,450,346	\$ 671,729
57	Total Debt Service, Operating, Reserves	\$ 65,364,047	\$ 66,227,820	\$ 863,773
58	Balance	\$ 139,551,992	\$ 135,405,029	\$ (4,146,963)
59				
60		FY24 Amended Budget	FY25 Budget	Difference
61				
62	State of Good Repair and Projects			
63	Bridges	\$ 136,458	\$ -	\$ (136,458)
64	DMU	\$ 2,037,000	\$ 1,801,218	\$ (235,782)
65	Equipment	\$ 69,500	\$ 1,200,000	\$ 1,130,500
66	Information Technology	\$ 501,422	\$ 805,910	\$ 304,488
67	Non-Revenue Vehicles	\$ 1,037,906	\$ 571,000	\$ (466,906)
68	Safety and Security	\$ 78,902	\$ 15,943	\$ (62,959)
69	Track, MOW, and Facilities	\$ 291,333	\$ 568,389	\$ 277,056
70	Train Control	\$ -	\$ 2,500,000	\$ 2,500,000
71	Total State of Good Repair	\$ 4,737,401	\$ 7,462,460	\$ 3,309,939
72	Environmental and Mitigation	\$ 263,398	\$ 1,338,666	\$ 1,075,268
73	Planning - Expense	\$ 119,877	\$ 449,000	\$ 329,123
74	Planning - Capital	\$ -	\$ 550,000	\$ 550,000
75	Shuttle	\$ -	\$ 100,000	\$ 100,000
76	Other Construction	\$ 584,880	\$ 113,987	\$ (470,893)
77	Total Planning, Environmental, Other Construction, Shuttle	\$ 968,155	\$ 2,551,653	\$ 1,583,498
78				
79		FY24 Amended Budget	FY25 Budget	Difference
80				
81	Capital Projects			
82	Expansion	\$ 37,095,913	\$ 37,955,872	\$ 859,959
83	Pathways - Expense	\$ -	\$ 6,051,072	\$ 6,051,072
84	Pathways - Capital	\$ 16,375,801	\$ 20,889,672	\$ 4,513,871
85	Total Capital Expenditures	\$ 53,471,714	\$ 64,896,616	\$ 11,424,902
86	Ending Fund Balance	\$ 81,342,877	\$ 60,494,300	\$ (20,465,302)
	* Excludes Reserves			

APPENDIX B - FREIGHT OVERVIEW OF SOURCES & USES

Appendix B - Freight Sources and Uses				
Fiscal Year 2024-2025 Draft Budget				
		A	B	C
		FY24 Amended Budget	FY25 Budget	Difference
1	Beginning Fund Balance	\$ 393,549		\$ (393,549)
2	Revenues			
3	State Grant (42341)	\$ 1,363,606	\$ 393,549	\$ (970,057)
4	State Shortline Grant	\$ 115,000	\$ 83,960	\$ (31,040)
5	Freight Movement Fees	\$ 800,000	\$ 700,000	\$ (100,000)
6	Leases	\$ 270,000	\$ 270,000	\$ -
7	Storage	\$ 26,200	\$ 104,800	\$ 78,600
8	45(g) Tax Credit & Misc. Revenues	\$ 253,000	\$ 253,000	\$ -
9	Total Revenues	\$ 2,827,806	\$ 1,805,309	\$ (1,022,497)
10	Total Revenues + Fund Balance	\$ 3,221,355	\$ 1,805,309	\$ (1,416,046)
11				
12		FY24 Amended Budget	FY25 Budget	Difference
13				
14	Salaries & Benefits	\$ 920,876	\$ 870,099	\$ (50,777)
15	Service & Supplies	\$ 1,021,234	\$ 767,290	\$ (253,944)
16	Total Salaries, Benefits, Services, & Supplies	\$ 1,942,110	\$ 1,637,389	\$ 304,721
17	Balance	\$ 1,279,245	\$ 167,920	\$ (1,111,325)
18				
19		FY24 Amended Budget	FY25 Budget	Difference
20				
21	Brazos Branch Bridge Repairs (High Priority)	\$ 660,696	\$ -	\$ (660,696)
22	Brazos Branch Bridge Repairs - Phase II	\$ 75,000	\$ 67,920	\$ (7,080)
23	Tie Replacement	\$ 50,000	\$ -	\$ (50,000)
24	Grade Crossing Repair	\$ 100,000	\$ 100,000	\$ -
25	Total Capital & State of Good Repair	\$ 885,696	\$ 167,920	\$ (717,776)
26	Balance	\$ 393,549	\$ -	\$ (393,549)

APPENDIX C - POSITION AUTHORIZATION

# of Positions	Position Title	New Title	Hourly		Annual	
			Min	Max	Min	Max
Administrative						
1	Accountant I		\$ 37.27	\$ 46.54	\$ 77,517	\$ 96,809
1	Accounting Manager		\$ 65.76	\$ 82.13	\$ 136,788	\$ 170,830
1	Accounts Payable Technician		\$ 31.35	\$ 39.15	\$ 65,213	\$ 81,442
3	Administrative Assistant		\$ 32.14	\$ 40.13	\$ 66,843	\$ 83,478
1	Assistant General Counsel		\$ 90.66	\$ 113.22	\$ 188,564	\$ 235,491
1	Assistant Planner		\$ 40.13	\$ 50.12	\$ 83,478	\$ 104,252
1	Budget and Finance Manager		\$ 65.76	\$ 82.13	\$ 136,788	\$ 170,830
1	Chief Financial Officer		\$ 118.88	\$ 148.60	\$ 247,271	\$ 309,089
1	Clerk of the Board/ Executive Assistant		\$ 46.54	\$ 58.13	\$ 96,809	\$ 120,901
1	Communications and Marketing Coordinator		\$ 40.13	\$ 50.12	\$ 83,478	\$ 104,252
1	Communications and Marketing Manager		\$ 74.41	\$ 92.92	\$ 154,763	\$ 193,278
1	Communications and Marketing Specialist		\$ 59.54	\$ 74.42	\$ 123,838	\$ 154,798
1	Communications and Marketing Specialist - Limited Term		\$ 55.32	\$ 69.09	\$ 115,075	\$ 143,713
1	General Counsel		\$ 118.95	\$ 148.55	\$ 247,412	\$ 308,984
1	General Counsel - Limited Term Position		\$ 118.95	\$ 148.55	\$ 247,412	\$ 308,984
1	General Manager		\$ 152.35	\$ 176.37	\$ 316,878	\$ 366,843
2	Grants and Budget Analyst		\$ 52.66	\$ 65.76	\$ 109,530	\$ 136,788
1	Grants and Legislative Affairs Manager		\$ 76.23	\$ 95.29	\$ 158,562	\$ 198,203
1	Human Resources Manager		\$ 74.41	\$ 92.92	\$ 154,763	\$ 193,278
1	Human Resources Specialist		\$ 38.20	\$ 47.71	\$ 79,455	\$ 99,229
1	Information Systems Analyst		\$ 46.54	\$ 58.13	\$ 96,809	\$ 120,901
1	Information Systems Manager		\$ 76.27	\$ 95.25	\$ 158,632	\$ 198,110
1	Information Systems Technician		\$ 41.14	\$ 51.37	\$ 85,565	\$ 106,859
1	Legal Administrative Assistant		\$ 37.27	\$ 46.54	\$ 77,517	\$ 96,809
1	MMIS Analyst		\$ 58.09	\$ 72.62	\$ 120,837	\$ 151,046
1	Payroll Technician		\$ 33.08	\$ 41.35	\$ 68,813	\$ 86,016
1	Planning Manager		\$ 74.41	\$ 92.92	\$ 154,763	\$ 193,278
1	Procurement and Contracts Analyst		\$ 48.90	\$ 61.07	\$ 101,710	\$ 127,021
1	Procurement and Contracts Manager		\$ 69.09	\$ 86.29	\$ 143,713	\$ 179,478
1	Procurement Technician		\$ 32.14	\$ 40.13	\$ 66,843	\$ 83,478
1	Real Estate Manager		\$ 82.09	\$ 102.61	\$ 170,744	\$ 213,429
1	Risk Manager		\$ 64.16	\$ 80.13	\$ 133,452	\$ 166,663
1	Senior Buyer		\$ 53.98	\$ 67.41	\$ 112,278	\$ 140,208
1	Senior Management Analyst		\$ 59.54	\$ 74.42	\$ 123,838	\$ 154,798
1	Senior Planner		\$ 55.32	\$ 69.09	\$ 115,075	\$ 143,713
1	Senior Real Estate Officer		\$ 55.29	\$ 69.11	\$ 114,994	\$ 143,743
	Interns (Multiple)		\$ 18.00		\$ 37,440	\$ -
39						

# of Positions	Position Title	New Title	Hourly		Annual	
			Min	Max	Min	Max
Capital						
2	Assistant Engineer		\$ 48.90	\$ 61.07	\$ 101,710	\$ 127,021
1	Associate Engineer		\$ 56.71	\$ 70.82	\$ 117,952	\$ 147,306
1	Chief Engineer		\$ 97.54	\$ 121.93	\$ 202,890	\$ 253,613
2	Junior Engineer		\$ 42.17	\$ 52.66	\$ 87,704	\$ 109,530
1	Manager Train Control Systems		\$ 97.54	\$ 121.93	\$ 202,890	\$ 253,613
1	Principal Engineer		\$ 76.27	\$ 95.25	\$ 158,632	\$ 198,110
1	Senior Engineer		\$ 65.76	\$ 82.13	\$ 136,788	\$ 170,830
9						

# of Positions	Position Title	Hourly		Annual	
		Min	Max	Min	Max
Operations					
1	Administrative Services Specialist	\$ 46.53	\$ 58.16	\$ 96,776	\$ 120,969
3	Bridge Tender		\$ 35.83		\$ 74,526
1	Chief Operating Officer	\$ 102.57	\$ 128.09	\$ 213,343	\$ 266,436
1	Chief of Police	\$ 88.39	\$ 110.48	\$ 183,843	\$ 229,803
3	Code Compliance Officer	\$ 36.36	\$ 45.41	\$ 75,627	\$ 94,448
1	Code Compliance Officer - Limited Term	\$ 36.36	\$ 45.41	\$ 75,627	\$ 94,448
6	Conductor *		\$ 45.52		\$ 94,682
	Conductor Trainee*		\$ 38.70		\$ 80,496
28	Engineer *		\$ 54.73		\$ 113,838
	Engineer Trainee*		\$ 46.52		\$ 96,762
1	Facilities Maintenance Supervisor	\$ 52.80	\$ 64.18	\$ 109,824	\$ 133,494
3	Facilities Maintenance Technician		\$ 44.81		\$ 93,205
3	Inventory and Parts Clerk	\$ 33.08	\$ 41.35	\$ 68,813	\$ 86,016
1	Inventory Manager / Asset Management Specialist	\$ 56.71	\$ 70.82	\$ 117,952	\$ 147,306
1	Lead Facility Maintenance Engineer		\$ 49.29		\$ 102,523
1	Maintenance of Way Manager	\$ 78.17	\$ 97.63	\$ 162,598	\$ 203,063
1	Maintenance of Way Superintendent	\$ 65.76	\$ 82.13	\$ 136,788	\$ 170,830
2	Operations Communications Specialist	\$ 37.27	\$ 46.54	\$ 77,517	\$ 96,809
1	Safety & Compliance Officer	\$ 67.38	\$ 84.22	\$ 140,150	\$ 175,188
1	Senior Administrative Assistant	\$ 35.47	\$ 44.30	\$ 73,782	\$ 92,144
2	Signal Supervisor	\$ 56.31	\$ 68.43	\$ 117,125	\$ 142,334
8	Signal Technician **		\$ 59.34		\$ 123,427
	Signal Technician Trainee (2) **		\$ 44.50		\$ 92,560
2	Track Maintenance - Laborers		\$ 33.50		\$ 69,680
5	Track Maintainer I		\$ 44.38		\$ 92,310
1	Track Maintainer II		\$ 48.82		\$ 101,546
2	Track Maintenance Supervisor	\$ 52.67	\$ 64.03	\$ 109,554	\$ 133,173
1	Transportation Manager	\$ 78.17	\$ 97.63	\$ 162,598	\$ 203,063
1	Transportation Superintendent	\$ 65.76	\$ 82.13	\$ 136,788	\$ 170,830
12	Transportation Supervisor	\$ 58.13	\$ 72.59	\$ 120,901	\$ 150,989
10	Vehicle Maintenance - Laborers		\$ 34.31		\$ 71,365
1	Vehicle Maintenance Manager	\$ 78.17	\$ 97.63	\$ 162,598	\$ 203,063
5	Vehicle Maintenance Supervisor	\$ 58.13	\$ 72.59	\$ 120,901	\$ 150,989
12	Vehicle Maintenance Technician ***		\$ 54.23		\$ 112,798
	Vehicle Maintenance Tech Trainee (2) ***		\$ 40.67		\$ 84,594
121					
Freight					
0.5	Administrative Assistant	\$ 32.14	\$ 40.13	\$ 66,843	\$ 83,478
1	Freight Manager	\$ 78.17	\$ 97.63	\$ 162,598	\$ 203,063
4.5	Freight Utility Worker	\$ 36.36	\$ 45.41	\$ 75,627	\$ 94,448
6					

Total FTE	175				
*	Total positions cannot exceed 34.				
**	Total positions cannot exceed 8.				
***	Total positions cannot exceed 12.				

