

2020 & 2021 Annual Report



For Fiscal Years 2020 & 2021

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SonomaMarinTrain.org

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SMART Overview

The Sonoma Marin Area Rail Transit (SMART) District was established by the California Legislature through the enactment of AB 2224 in 2002 and amended by SB 1029 in 2018 to include freight service responsibilities. The SMART District includes both Sonoma and Marin Counties and was created for the purpose of providing a unified and comprehensive structure for the ownership and governance of passenger and freight rail systems within Sonoma and Marin Counties, and to operate passenger and freight train service along the existing

Cloverdale(nla Windsor (on hold) Sonoma County Airport Santa Rosa North Santa Rosa Downtown Rohnert Park Cotati Petaluma North (planned) Petaluma Downtown **Novato San Marin** Novato Downtown Novato Hamilton Marin Civic Center San Rafael San Rafael Larkspur SMART PASSENGER RAIL & MULTI-USE PATH Larkspur roject Length: 70 Miles Mill Valle SMART Stations SMART Rail Line SMART Windsor SMART North SMART Owned Railroad Right of Way San

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. In late 2019, two new stations were completed in Downtown Novato and Larkspur near the regional Ferry connection to San Francisco. These two stations in Marin County brought rail service to its current total of 45 miles with 12 passenger stations.

Passenger train service is provided in state-of-the-art Tier-4 diesel multiple unit (DMU) rail vehicles utilizing one of the first Positive Train Control systems implemented for passenger rail. Prior to the COVID-19 shutdown, service was provided roughly every 30 minutes during commute hours with additional service midday and on weekends. SMART also manages 25 miles of an ancillary bicycle/ pedestrian pathway on its right of way connecting to the SMART's stations where cyclists can find secure parking at the station or on-board the train for their bikes.







Governance

SMART is governed by a 12-member Board consisting of elected and appointed officials appointed as specified in AB 2224 serving staggered 4-year terms.

Current representation on the SMART Board of Directors:

David Rabbitt – Chair Sonoma County Board of Supervisors

Barbara Pahre – Vice Chair Golden Gate Bridge District

Judy Arnold

Marin County Board of Supervisors

Melanie Bagby

Sonoma County Mayors and Councilmembers Association

Kate Colin

Transportation Authority of Marin

Damon Connolly

Marin County Board of Supervisors

Debora Fudge

Sonoma County Mayors and Councilmembers Association

Patty Garbarino

Golden Gate Bridge District

Susan Gorin

Sonoma County Board of Supervisors

Daniel Hillmer

Marin County Council of Mayors and Councilmembers

District Management Eric Lucan

Eddy Cumins

Transportation Authority of Marin

General Manager Chris Rogers

Sonoma County Mayors and Councilmembers Association



Message from the Chair of the Board of Directors



On behalf of the SMART Board of Directors, I am pleased to present the Fiscal Year 2020 and 2021 Annual Report.

The past two years have been exciting as well as very challenging to say the least. We expanded passenger rail service from San Rafael to Larkspur, built a new rail station in downtown Novato, dealt with fires and floods, and the COVID-19 pandemic.

Although we had to drastically cut costs and reduce service the last two fiscal years, the receipt of Coronavirus Aid, Relief, and

Economic Security Act (CARES) and Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA) funds have allowed us to avoid layoffs, and begin reinstating service. As you look through this report, I think that you will find that through it all, SMART has demonstrated resilience in keeping our service going and adapting to the ever-changing conditions.

As we emerge from the pandemic, none of us are sure what the future will hold; however, one thing is certain – SMART's dedication to serving the North Bay is unwavering.

David Rabbitt

Citizen's Oversight Committee

The Citizen's Oversight Committee was created by the Board of Directors as required by the 2008 Expenditure Plan, which accompanied Measure Q in 2008. Its duties, as outlined in the 2008 and 2020 Expenditure Plans, are to review and provide input on SMART's Strategic Plans. Its makeup and duties are determined by the Board of Directors, who approves its membership, duties and terms.

> Russ Colombo, Chair Steve Birdlebough Peter Breen Dennis Harter Patricia Kendall

David Oster Steve Rabinowitsh Tanya Narath, alternate Julia Violich, alternate







PROJECTS

Larkspur and Novato Stations

On Friday, December 13, 2019, SMART celebrated the start-up of passenger service to Larkspur that is coordinated with the ferry to provide an economical, climate-friendly, and stress-free way to travel between the North Bay and San Francisco. The opening of the Larkspur station extended passenger service 2.1 miles from Downtown San Rafael to Larkspur. The new rail line included the construction or rehabilitation of three bridges, one station with amenities, five at-grade crossings, the reconfiguration of the San Rafael Bettini Transit Center and implementation of train control systems that include federally mandated Positive Train Control.

The project has also accommodated a reconfiguration of a major local street to reduce the number of grade crossings, which improved safety, and allowed the City of San Rafael, in conjunction with SMART, to complete a new parallel Class 1 pathway.

The Downtown Novato station, which was funded by the City of Novato, is within walking distance of 4,000 residents and opened on Saturday, December 14, 2019.













Payran To Southpoint Multi-Use Pathway

This project, which opened to the public in October 2019, constructed a 1.2-mile Class 1 paved bicycle and pedestrian pathway within the SMART railroad right-ofway, including a 200-foot pedestrian and bicycles-only bridge over the Petaluma River and pathway under Highway 101, connecting east and west Petaluma.

The pathway connects east Petaluma to the SMART rail station in Downtown Petaluma and supports local access to schools and services on either side of the highway and river.

In April, 2020, Caltrans closed the north portion of the pathway to allow Caltrans to demolish and rebuild the Petaluma Highway 101 overcrossing, which passes over the multi-use pathway and the railroad tracks. We anticipate that the pathway will reopen in late 2022.



Windsor Extension - Work Suspended

The SMART Windsor Rail Extension and parallel SMART Pathway will provide a northern rail extension between Sonoma County's Airport Boulevard and the Town of Windsor, including just over 3 miles of Class 4 mainline track, four bridges, one station with amenities, and a parkand-ride lot located in the Town of Windsor. The project was originally targeted to open in late 2021; However, a lawsuit was filed against the Metropolitan Transportation Commission (MTC) regarding the project's largest funding source, Regional Measure 3 funds. Although MTC was successful in the lower courts, the matter was taken up by the California Supreme Court and is awaiting adjudication. Due to the potential loss of funding, this project is currently on hold and work has been suspended until the funds have been released or alternate funding is identified.







Events That Shaped Fiscal Years 2020 – 2021



SMART Responds to the Pandemic

In March 2020, the COVID-19 pandemic hit, and California was the first state to issue "Stay-at-Home" orders. SMART modified services in March 2020 due to the COVID-19 pandemic, with weekend service suspended starting March 21st and weekday service reduced first by 4 trips (down to 34) on March 23rd and then by another 18 trips (down to 16) on April 6th, 2020.

Facial Covering

Passengers are required to wear a facial covering while on board SMART trains and at station platforms, per local public health orders for Marin and Sonoma counties, and regulations from the Transportation Security Administration (TSA). Additionally, hand sanitizer dispensers were purchased and installed on every train.

In early March our Operations staff began performing a deep cleaning twice daily for each train.

The cleaning included:

- Cleaning interior windows, luggage racks, wind screen, tables, seats and seat back
- Emptying trash bins and recycle bins
- Sweeping, vacuuming, and mopping interior floors and door pockets
- Dumping the sewage waste and filling the service water
- Wiping ticket vending machines with disinfectant wipes
- Cleaning and sanitizing restrooms, sinks, mirrors, walls, and baby changing stations









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Electrostatic Application System

In addition to the cleaning of the Diesel Multiple Units two (2) times a day by SMART Vehicle Maintenance staff, SMART also introduced an electrostatic application system which offers another level of surface disinfection on the Diesel Multiple Units. The system applies a disinfectant that is CDC-approved and Environmental Protection Agency-registered against COVID-19.

The electrostatic application system positively charges droplets of liquid that naturally seek out surfaces with a negative or neutral charge to adhere to. Just like magnets, they are drawn to each other and attach when one surface is more positively charged than the other. Adding another level of disinfection ensures exposed surfaces on the Diesel Multiple Units are frequently and comprehensively disinfected daily. This new tool is now a permanent addition to SMART's enhanced cleaning protocols.

Free Rides to Vaccination Sites

In February 2021, SMART started offering free rides to and from all COVID-19 vaccination sites for Marin and Sonoma County residents. Riders just needed to tell the conductor they are traveling to a vaccination appointment when asked for payment. SMART's COVID-19 policy helped to reduce cost barriers and transportation limitations for community members to receive the COVID-19 vaccine.

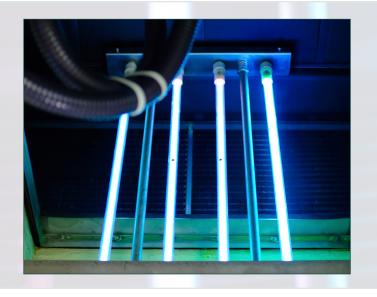


SMART Survey

Due to the sudden drop in ridership and fare revenues, SMART needed to determine where and how to reduce expenses that had a direct impact on train service. As a part of this process, SMART conducted a survey to seek input from the communities we served in Sonoma and Marin counties. 3,281 responses were collected from the survey. which was available for seven days, from Monday, May 11 through Sunday, May 17, 2020. The community outreach team distributed the survey through SMART's communication channels, as well as through 65 public and private organizations. Most responses were received through SMART's e-newsletter and social media channels. Another significant portion of responses were collected through business and community leaders. This information was presented to the SMART Board of Directors in May of 2020 and was used to inform reductions to the budget.

Ultraviolet Sterilization

As a second line of defense against airborne pathogens, SMART designed and installed Ultraviolet sterilizer to the Heating, Ventilation, and Air Conditioning (HVAC) systems aboard SMART trains. These systems break down the DNA within pathogens to keep them from growing, effectively killing them. Additionally, SMART upgraded its onboard HVAC system with Minimum Efficiency Reporting Value (MERV) 13 air filters. The new air filters remove bacteria, virus particles, allergens, mold, dust, and smoke. Tests show that the MERV 13 filters provide a 67 percent improvement over the old filters.









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Public Safety Power Shutdowns and Fires

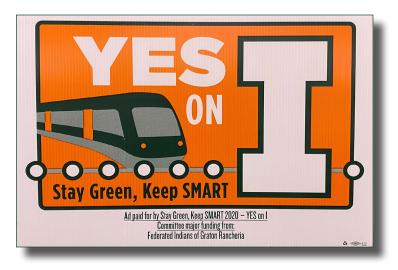
In October of 2019, SMART Operations made major preparations and was able to respond to early October PG&E Public Safety Power Shutdowns (PSPS). Generators were deployed across Sonoma County to power SMART's crossings effected by the first shut down. Service was uninterrupted due to early deployment of generators and monitoring of the shutdown.

The second PG&E PSPS, combined with the Kincade Fire posed a more significant and dynamic situation. Over 25 generators were deployed to the field in preparation for the second power shut down. Due to several cities not having back up power for their traffic signals at the crossings, it was not safe to have trains travel through crossings at normal maximum speed.

In October, SMART evacuated and closed the Rail Operations Center due to threats from the Kincade Fire. All trains were moved south to the Cotati Station for safekeeping, Hi-Rail vehicles were moved from Fulton yard to Petaluma and SMART relocated the dispatch center to Haystack Bridge until regular operations could be resumed at the Rail Operations Center.

Sales Tax Funding

In November 2008, the voters of Marin and Sonoma Counties approved Measure Q which imposed a quarter cent (1/4 of 1%) retail sales tax. The ballot measure was passed with 69.6% of the voters. The collection of that voter approved sales tax sunsets in March of 2029. In order to reauthorize the quarter cent sales tax well in advance of its expiration in March 2029, thus providing financial stability for SMART's ongoing operating expenses, Measure I was placed on the ballot in March 2020. Passage of Measure I would have extended the sales tax through March 31, 2059. Even though it received more than 50% of the vote, Measure I failed to garner the twothirds super majority that is required on specified tax measures in California. The final count was 53.6% in favor and 46.4% opposed.









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SMART owns two railroad corridors – the first is called the "Brazos Branch" which goes from a point in American Canyon (east of the Napa River), to the Ignacio Wye (at the junction of Highways 37 and 101) in Novato, and the second, which is the mainline of SMART's commuter rail corridor running from just north of Corte Madera to the Mendocino-Sonoma County line.

In 2018, California Senator Mike McGuire introduced the idea of the Great Redwood Trail, a plan to convert the historic Northwestern Pacific Railroad north of the Mendocino County line to a bicycle/pedestrian pathway. Since then, our state and federal representatives have been working with the North Coast Railroad Authority, SMART, the State legislature, and the Surface Transportation Board (STB) to transfer ownership and change the legal status of the railroad corridor, including freight service in the North Bay.

On February 2, 2021, SMART filed a "Verified Notice of Exemption" with the STB to exempt from regulation (under U.S.C. Section 10902) SMART's acquisition of the railroad right-of-way and the freight rail operating easement from North Coast Railroad Authority and SMART's operation of the freight line. On February 12, 2021, the STB approved the Notice of Exemption. Following this, on March 26, 2021, a quick claim deed was executed that transferred the line of railroad and right-of-way between the Sonoma–Mendocino County border milepost 89 and Healdsburg at milepost 68.3 and the freight rail operating easement between Healdsburg milepost 68.3 and Brazos Junction at milepost SP 63.4.

On February 22, 2021, the former freight operator - Northwestern Pacific Company (NWPCo), petitioned the STB for Discontinuance of Service Exemption (requesting authority to cease being the freight operator) and on June 11, 2021, the STB approved NWPCo's petition for discontinuance of service and authorized SMART to assume freight operations and common carrier duties over the rail line which became final on July 11, 2021. Currently, NWPCo. is expected to provide interim freight service until SMART replaces their operation by self-performing freight service in the North Bay.

SMART has inherited significant infrastructure because of these transactions, which will need to be maintained to facilitate freight movements and ultimately passenger service.

Additionally, SMART received \$4 million from SB 1029 for the acquisition of freight rights and operating equipment from NWPCo, followed by AB 74, which appropriated \$2 million for safety upgrades and maintenance of the freight portions of the corridor. Also, an additional \$4 million was recently approved by the State of California as part of the State's FY 21-22 budget.

Community Outreach

The SMART Community Outreach Team engages with the public by attending community events and regional fairs, as well as making informational presentations to civic groups and safety presentations to schools. From July 2019 to July 2021 SMART Community Outreach participated in 45 community events connecting with a wide swath



of the greater North Bay community. An excellent example of SMART's participation in community events was the Marin County Fair which took place at the Marin Civic Center Fairgrounds from Wednesday, July 3, 2019, through Sunday, July 7, 2019, and drew thousands of attendees from all over the North Bay. Many chose to leave the car at home and take the SMART train, including a considerable number of first-time riders and families from both Marin and Sonoma counties. SMART partnered with the Marin County Fair to provide a late-night train run that departed the Marin Civic Center at 10:30 p.m. each night of the fair. Fairgoers were thrilled that SMART was able to provide late service allowing them to stay for the fireworks.

In March 2020, the COVID-19 pandemic hit, and "Stay-at-Home" orders were issued, community events and public speaking opportunities evaporated, significantly curtailing SMART's Community Outreach activities.

SMART Listening Forums

In the fall and winter of 2020, the SMART Board of Directors held a series of nine Listening Forum sessions across Sonoma and Marin counties to bring community members together to exchange ideas on how to best position SMART for the future. The nine listening sessions generated 328 unique comment ideas in 21 topic areas. These sessions were designed to enable a dialogue where the SMART Board could hear from stakeholder groups and the greater community. These sessions were held on ZOOM on the dates and locations to the right. The meetings were recorded and made available on SMART's website. The information that was gathered was synthesized into categories and presented

along with the raw data to the SMART Board of Directors on the March 17, 2021, and June 2, 2021, Board of Directors meetings.

August 17th - League of Women Voters

September 2nd – Santa Rosa September 14th - Windsor September 21st - Cloverdale September 23rd - Healdsburg

October 14th - Novato October 19th - Larkspur

November 12th - San Rafael December 16th - Bicycle & Pedestrian Pathway







Safety Education and Awareness

In 2019, SMART continued its Safety Education and Awareness efforts by making 17 presentations to 11 schools in Sonoma and Marin counties - reaching 2,745 students. The fall also means back-toschool student travel and teachers are interested in bringing their classes onboard the SMART train for field trips. SMART has a platform safety briefing program that teaches kids about public transit and safety. In 2019, SMART made 13 safety briefings to 307 students. SMART also works closely with California Operation Lifesaver to promote rail safety awareness throughout the North Bay. To learn more about SMART's Rail Safety Education Program and to request a free presentation for your school or community group, please visit: http://BeTrackSMART.org.



Suicide Prevention is a Community Effort

In July, 2019, SMART partnered with the Counties of Sonoma and Marin, Buckelew Programs of Sonoma County, the National Alliance on Mental Illness and the "Know the Signs Campaign" to send a message to the community that there is HOPE and there is HELP. Over 60 leading north bay companies, nonprofits, law enforcement, and government agencies joined together to continue the outreach effort. If you or someone you know is suffering from emotional pain, call 1-800-273-TALK or text CONNECT to 741741 to talk confidentially to a trained professional. Also visit suicideispreventable.org to learn the signs, start a conversation and how to get help.







Holiday Express Toy Drive



On Saturday, December 5th, 2020 - despite the COVID-19 pandemic, SMART held its 5th Annual Holiday Express Toy Drive to provide toys for families in need in Sonoma and Marin Counties. Even though passengers were not able to board the train and we all had to wear masks and social distance, SMART staff got creative by making this a drive-through event. 1,500 unwrapped toys and gift cards were donated to help make the holidays bright for children in need. Toys were distributed through our community partnerships with local non-profits, including Toys for Tots of Sonoma County, COTS, Novato Fire District, North Marin Community Service, and Petaluma People Services Center.













Welcome Back Campaign

10-Point Plan Celebrating our Service and Reduced Fares





In May of 2021, SMART kicked off its Welcome Back celebration with our 10-Point Plan which includes additional service and reduced fares, as well as an advertising campaign to inform the public about the changes.

Resumption of Service

On Monday, May 24, 2021, SMART added two new morning trips and three new afternoon trips to the weekday schedule. These additional trips addressed SMART commuters' requests for later morning trips and later afternoon trips. Additionally, SMART began offering a later northbound train departing the Larkspur Station at 8:29 PM to enable riders visiting Marin County to enjoy dinner and travel back by train.

On Saturday, May 29, 2021 SMART celebrated the return of Saturday weekend service. SMART now offers six southbound trips and six northbound trips on Saturdays, which is more trips than pre-pandemic service.



On the first day of Saturday service, a live Mariachi band performed at the San Rafael and Santa Rosa Downtown stations to welcome our Saturday riders back on board. On Monday, May 31, members of the San Marin High School Concert band performed at the Petaluma Station in celebration of Memorial Day.







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Reduced Fares

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In May of 2021, SMART reduced its fares by 40%! Weekday fares are now \$1.50 for travel within one zone and \$1.50 for each additional zone traveled. Seniors, youth, low-income, and passengers with disabilities will receive a 50% discount rate of \$0.75 for the first zone and \$0.75 for each additional zone.

SMART also started offering a Weekend Day Pass to our weekend travelers - a fantastic deal for families with children or grandparents. The Weekend Day Pass is \$10.00 for adults & 5.00 for seniors, youth, passengers with disabilities, and low-income passengers.



The Weekend Day Pass offers unlimited rides for the entire day. This promotional pass is available on the SMART e-Tickets app which is available for download in the Apple App Store and Google Play Store. Promotional fares are currently scheduled to run through May 31, 2022.

In November of 2020, SMART began participating in the Clipper

START program joining the collection of ten Bay Area Transit agencies offering discounts to low-income riders. Bay Area residents ages 19-64 who meet means-based income requirements that are 200% of the federal poverty level or less are eligible to participate in the program. Eligible riders can apply to participate in the program online at www. clipperstartcard.com. Once approved by Clipper, they will receive a personalized Clipper card that must be loaded with cash value before use. Clipper START participants receive a



50% discount on single ride fares on SMART. The discount will automatically be applied to participating transit agency fares with the Clipper START card.





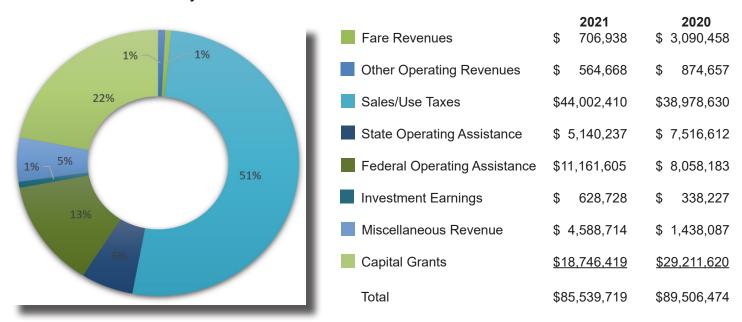


Funding and Financing

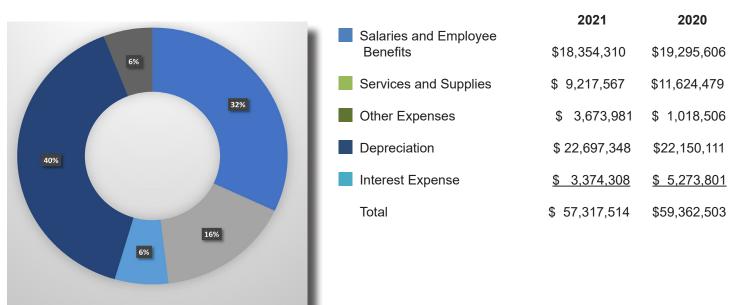
SMART is funded with a suite of federal, state, and a dedicated local sales tax. SMART's local sales tax was established in 2008 by Measure Q which is ¼ of 1% retail sales tax. Due to the uncertainties in sales tax and fare revenues from COVID-19, SMART took action to reduce costs and service levels to protect SMART from potential long-term impacts on revenue from the pandemic.

The federal government provided aid in the form of the Coronavirus Aid, Relief, and Economic Security Act (CARES) and Coronavirus Response and Relief Supplemental Appropriations Act (CRRSAA) which provided \$14,952,173 and \$1,789,716 respectively in FY 2020 and FY 2021.

Revenue Analysis



Allocation of Revenues



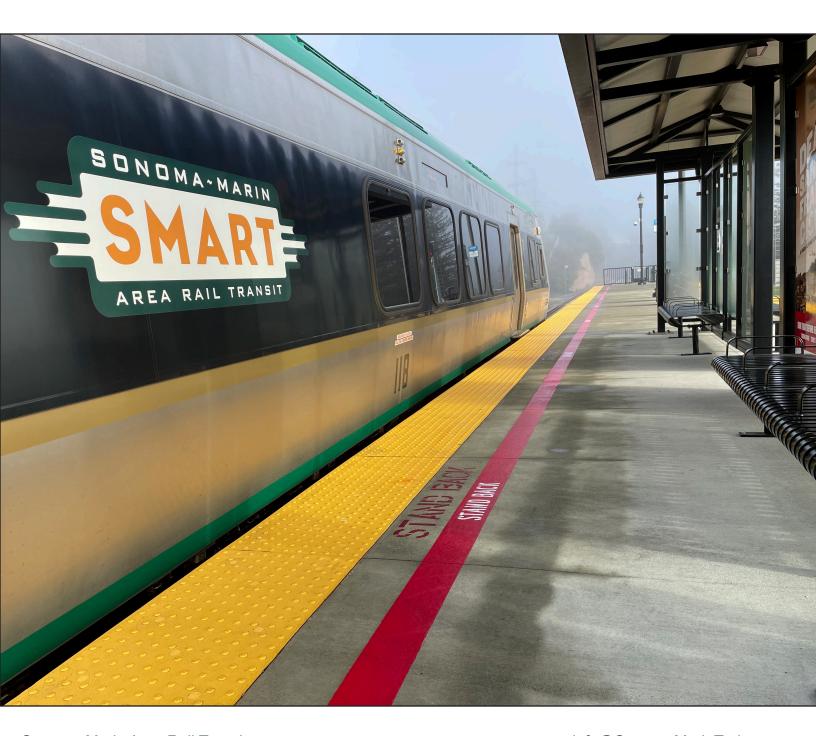
Two Millionth Customer

On June 23, 2021, SMART reached a major milestone, when the transportation agency reached the 2 million passenger mark. Conductors and staff members gave out passes good for a free trip to say 'thank you' to our riders.









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707.794.3330 tel 707.794.3037 fax 2020 & 2021 Annual Report For Fiscal Years 2020 & 2021 Published February 2, 2022 info@SonomaMarinTrain.org www.SonomaMarinTrain.org @SonomaMarinTrain #SMARTtrain | #WelcomeBack Graphic Design & Production Veda Florez