

Advisory Council of the Utah Transit Authority

June 12, 2019



Call to Order and Opening Remarks



Pledge of Allegiance



Safety First Minute



**You don't have eyes on the back of your head,
be aware of your surroundings.**



Public Comment Period



Public Comment Guidelines

- Each comment will be limited to two minutes per citizen or five minutes per group representative
- No handouts allowed



**Approval of
March 20, 2019
Advisory Board Meeting
Minutes**

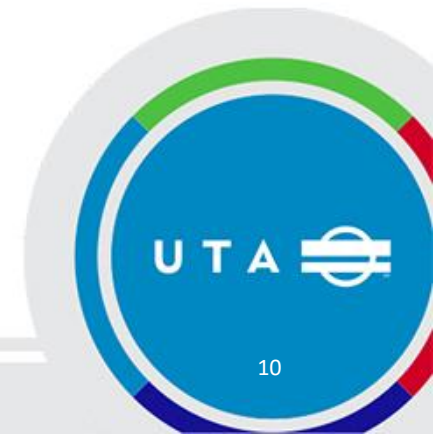


Recommended Action (by acclamation)

Motion to approve



Board of Trustees Report



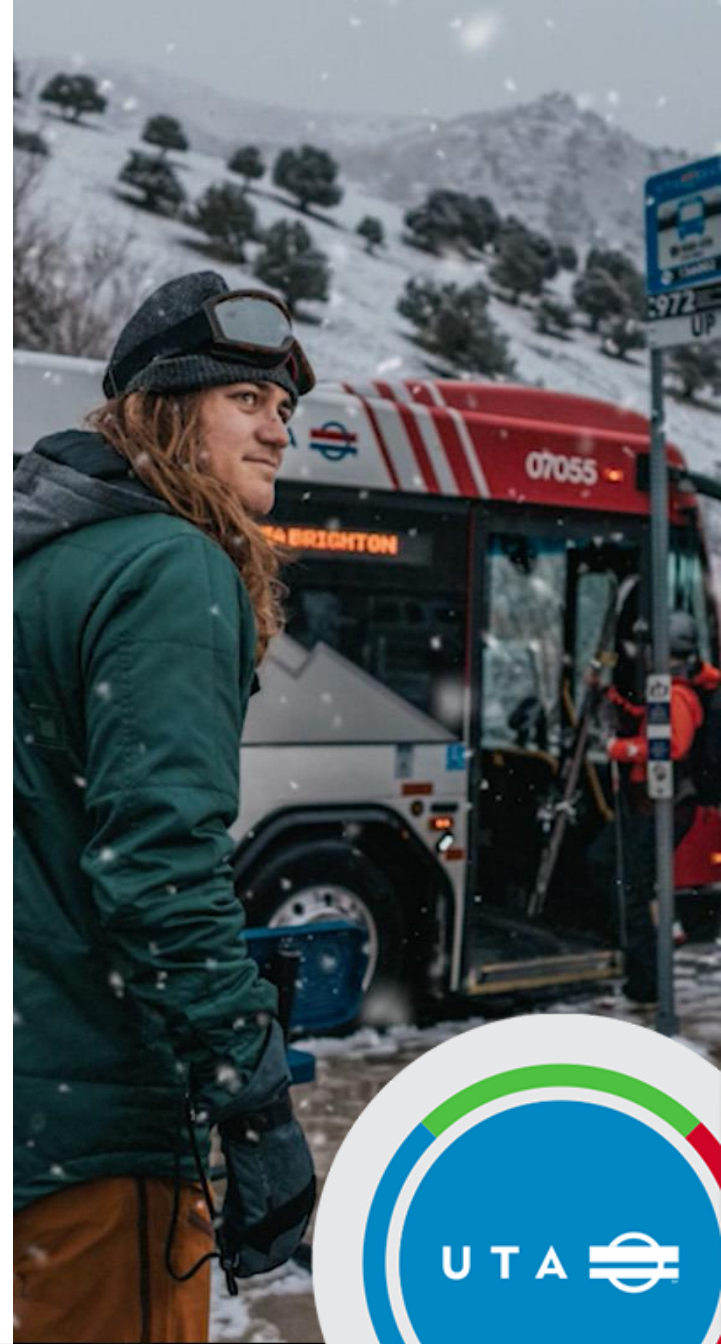
UTA Board of Trustees Priorities



State and Legislative Priorities

Demonstrating strategic and collaborative vision that will enhance the roadmap for transit solutions in the communities we serve

- Implementing new UTA governance model
- Increasing transparency
- Strengthening collaborative stakeholder relationships



Local Priorities

Strengthening collaborative connections with stakeholders to expand our transit community with shared objectives

- Reaching out to cities and counties with communication and collaborative dialogue
- Creating partnerships that promote strategic conversations and shared priorities
- Engaging in dialogue on economic development and strategic growth throughout the region



Public Priorities

Implementing public priorities and allocating resources that manifest community priorities in our service

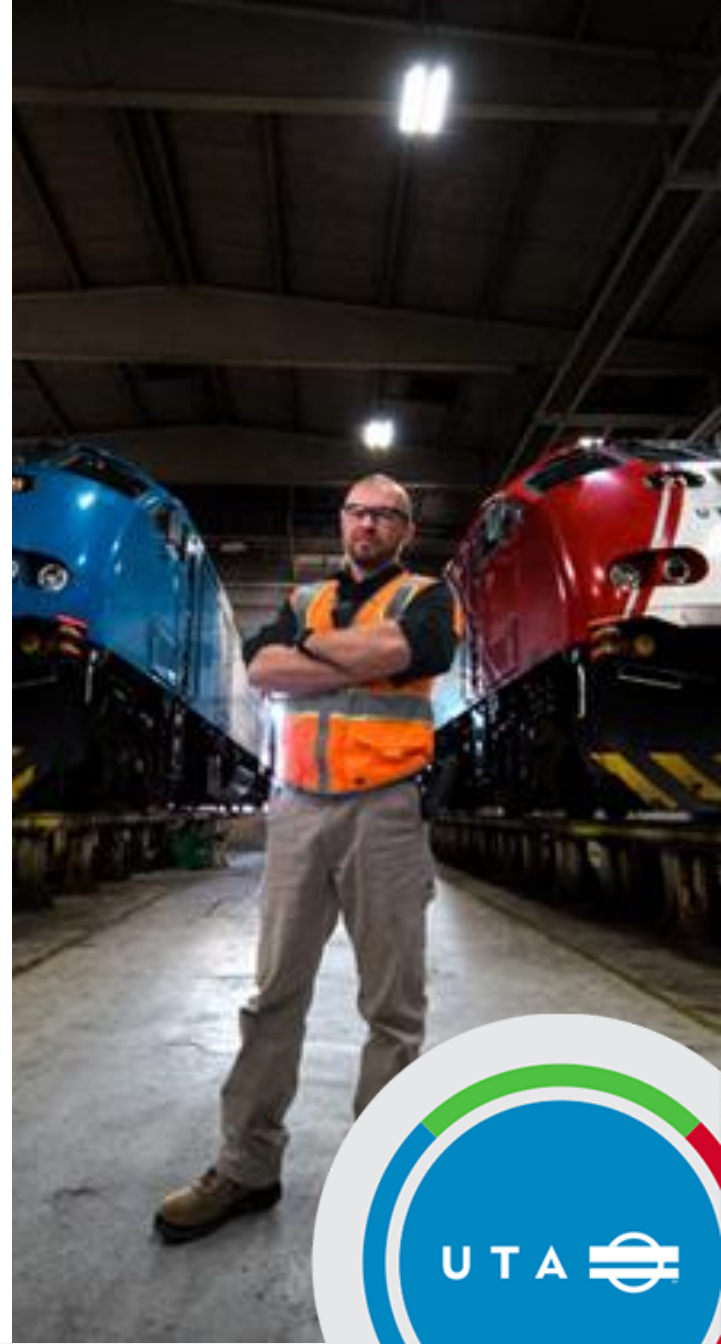
- Completing Service Choices study
- Magnifying the customer's voice
- Expanding public engagement opportunities



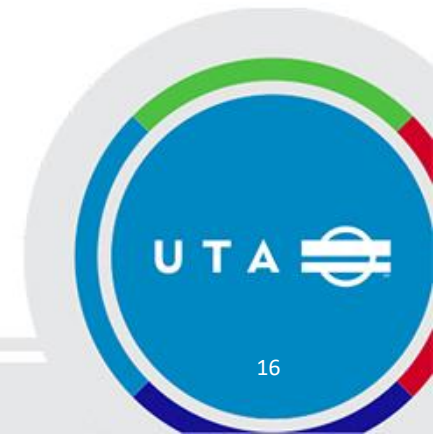
Employee Relations Priorities

Empowering and demonstrating confidence in employees through engagement and recognition

- Aligning goals
- Prioritizing workforce initiatives
- Collaborating with agency leadership
- Recruiting Executive Director



Salt Lake County 4th Quarter Implementation



Phased Approach to Service Implementation

- Mobilization phase, fall 2019- August 2021
 - Completion of Service Choices study
 - Plan route improvements
 - Design and construct support infrastructure
 - Preparation for new bus service:
 - Complete Depot District maintenance facility
 - Procure additional buses
 - Hire operators/support staff
- New bus service, beginning August 2021



Mobilization (2019-2021)

Estimated allocation of funds (proposed):

- Bus service improvement and expansion 19%
- Service related facility improvements 47%
- State of good repair (light rail-TRAX) 28%
- Administrative service support 6%



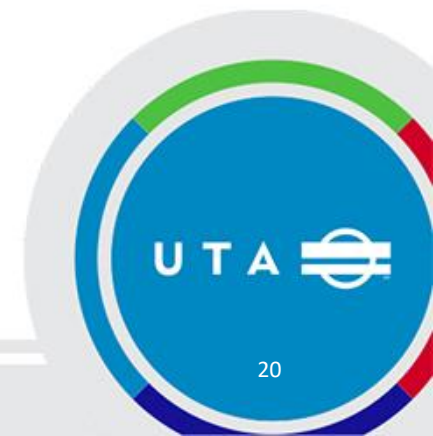
New Bus Service and Ongoing Needs (Starting August 2021)

Estimated allocation of funds (proposed):

- Bus service improvement and expansion: 71%
- Service related facility improvements 5%
- State of good repair (Light Rail-TRAX) 24%
- Administrative service support included above



Agency Report



Audit Committee Report

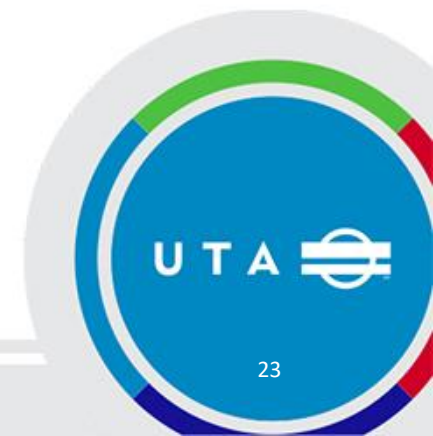


2018 Comprehensive Annual Financial Report (CAFR)



Policy Consultation

- a. Board Policy 1.1 Process for Establishing Board Policies
- b. Board Policy 1.2 Ethics
- c. Board Policy 2.1 Financial Management
- d. Board Policy 2.2 Contract Authority and Procurement
- e. Board Policy 3.1 Advertising and Naming
- f. Board Policy 4.2 Public Records
- g. Board Policy 5.2 Real Property
- h. Revision of Bylaws





Board Policy 1.1

Process for Establishing Board Policies

Process for Establishing Board Policies

- Board Policies:
 - Board of Trustees requests and reviews draft Board Policies
 - Current drafts were reviewed at Board of Trustees meetings April – May
 - Advisory Council consults the Board on draft Board Policies
 - Board of Trustees approves final Board Policies
 - Current policies scheduled for review and adoption June 19, 2019
- UTA (Administration) Policies:
 - Executive Director will present UTA Policies to the Board for review
 - Board of Trustees will review and approve UTA Policies on their Consent Agenda or direct the Executive Director to make revisions

Board Policy 1.2

Ethics

Ethics Policy

- Standards of ethical conduct for Board of Trustees & Advisory Council
- Conflicts of Interest
 - Process for addressing conflicts of interest
 - Investment Property conflicts
- Code of Conduct and Financial Disclosure Reports
 - Annual certification by October 31 for both documents
 - Resolve with Trustees or Members
 - Unable to resolve - discuss with Chair of the Board and Advisory Council
 - Report to appointing jurisdiction

Ethics Complaints

- Ethics complaints filed under the Utah Public Officers' and Employees' Ethics Act
 - Trustees, Members, UTA Officers, Employees
 - Forwarded to the Political Subdivision Ethics Review Commission
- Ethics complaints not filed under Ethics Act
 - Investigation by Ethics Officer or appointed to an independent investigator
 - Report to the Board of Trustees and Chair of the Advisory Council



Board Policy 2.1

Financial Management

Reasons for Financial Policy

- Financial oversight
- Plan for long-term needs
- Maintain and protect assets & infrastructure
- Develop and implement appropriate internal controls

Financial Policy Topics

- Reserves
- Grants
- Investments
- Debt
- Financial Reporting
- Risk Management
- Internal & external controls
- Long-term financial planning
- Budgeting
- Capital

Reserves

Reserve *	Policy	12/31/19 Estimate
General Operating	12% of budgeted operating expense	\$36,660,660
Service Stabilization*	3% of budgeted operating expense	9,166,000
Capital Replacement*	1% of physical assets	10,700,000
Bond*	Per bond covenants	38,564,000
Debt Reduction	Savings from bond refundings	<u>71,341,000</u>
Total		\$166,431,000

* Note there is a new provision requiring restoration of these reserves within 60 months of their first use.

New Requirements

- Risk Management
 - Executive Director reports annually to Board on status of risk management program
- Capital
 - Executive Director develops a five-year capital plan and:
 - Updates it yearly
 - Includes in annual budget discussions
 - The five-year capital plan will be fiscally constrained and maintain all assets at a state of good repair to:
 - Protect capital investment
 - Minimize future maintenance and replacement costs



Board Policy 2.2

Contract Authority & Procurement

Contract Authority & Procurement Policy

- Delegation of Authority
 - CFO is designated as the Chief Procurement Officer
- Procurement Protests
 - CFO reviews and decides all protests submitted by a vendor
 - Board reviews and decides protest appeals
- Former Employees
 - Authority may procure goods and services from former employees after one year of separation or, if they meet certain criteria, within the first year of separation
 - Board must approve procurement of goods or services with entities that hire or are represented by former employees within their first year of separation if Chief Procurement Officer determines there's a conflict of interest

Contract Authority & Procurement Policy

- Contracts, change orders, and disbursement approvals
 - Board approves contracts and disbursements over \$200K
 - Approves Change Orders if the Change Order increases the contract's value over \$200K, the change order is 15% or more (on contracts >\$200K), or over \$200,000.
 - Board may preapprove disbursements over \$200K by resolution
- Executive Director may approve contracts, change orders, and disbursements if there is an urgent need and if the Authority will sustain serious injury if not approved immediately. Must report approval at next scheduled Board meeting.



Board Policy 3.1

Advertising and Naming

Advertising and Naming Policy Purpose

- Complies with state and local laws and contractual obligations
- Board approves naming stations, facilities and service brands





Board Policy 4.2 Public Records

Public Records Policy

- Request for Records
 - Written request to an Authority Records Officer via form or GRAMA@rideuta.com
- Appeal Process
 - If records are denied by the Records Officer – may appeal to the Executive Director within 30-days
 - If records appeal to Executive Director denied – may appeal to the State Records Committee within 30-days
- Fees
 - Set by Board of Trustees and available on rideUTA.com

Board Policy 5.2 Real Property

Real Property Policy

- Purpose
 - Guide the acquisition, disposition and encumbrance, or other commitment or contracts for control or use of the Authority's real property
- Definitions
 - Approved Capital Project:
Capital project approved by the Board that includes a budget and a series of deliverables contemplating the purchase, sale, or use of real property
 - Real Property Transaction:
Acquisition, disposition, encumbrance, or other commitment or contract for the control or use of the Authority's real property

Real Property Policy

Board approval required if:

- Greater than \$200,000
- Exceeds Approved Capital Project budget
- Eminent domain
- Exceeds fair market value + administrative settlement
- Interferes with intended use, operations, or continuing control
- 15% change (negative to agency)
- Transit-Oriented Development

Real Property Policy

Board Resolutions for:

- \$1 million+ sale or purchase
- Parameters for Executive Director approval of Approved Capital Project transactions

Real Property Policy

- **Property classifications:**
 - Transit-Critical
 - Transit-Oriented Development
 - Surplus
- **Board-approved reclassifications:**
 - Transit-Critical to Transit-Oriented Development
 - Transit-Critical to Surplus
 - Transit-Oriented Development to Surplus

Revision of Bylaws

Draft Revised Bylaws

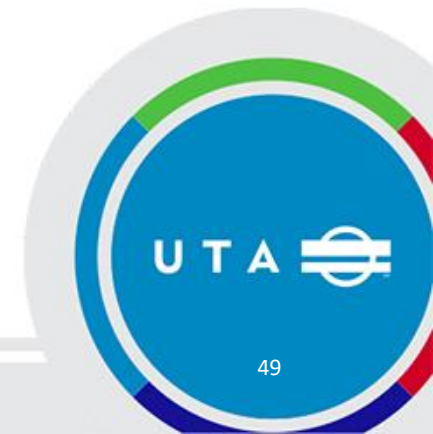
- Revise Advisory Board to Advisory Council
 - SB72
- Committee Responsibilities:
 - Audit Committee – will hear internal and external audits and will approve charters of duties for the Committee & Internal Auditor
 - Pension Committee – added to the duties of the Board Chair to ensure proper administration
- Officers of the Board/Council
 - Authorizes Officers to temporarily delegate responsibilities to another Trustee/Member
 - Authorizes Advisory Council Chair to serve two consecutive 1-year terms
- Reimbursement of Expenses for Advisory Council
 - Mileage @ IRS rate
 - Meals @ State rate

Next Steps

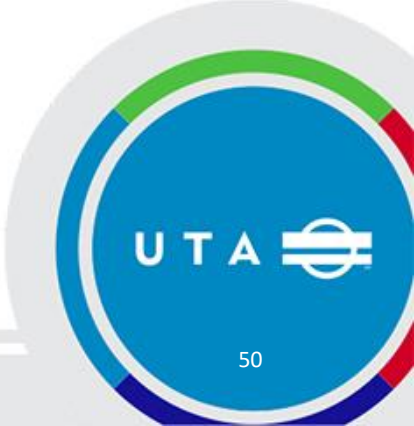
- June 19 Board of Trustees meeting
 - Consider adoption of Board policies presented
 - Consider adoption of amended Bylaws

Budget Consultation

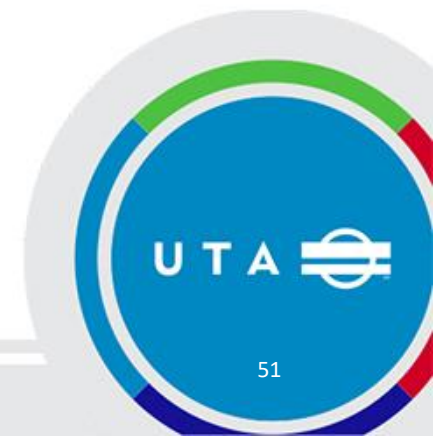
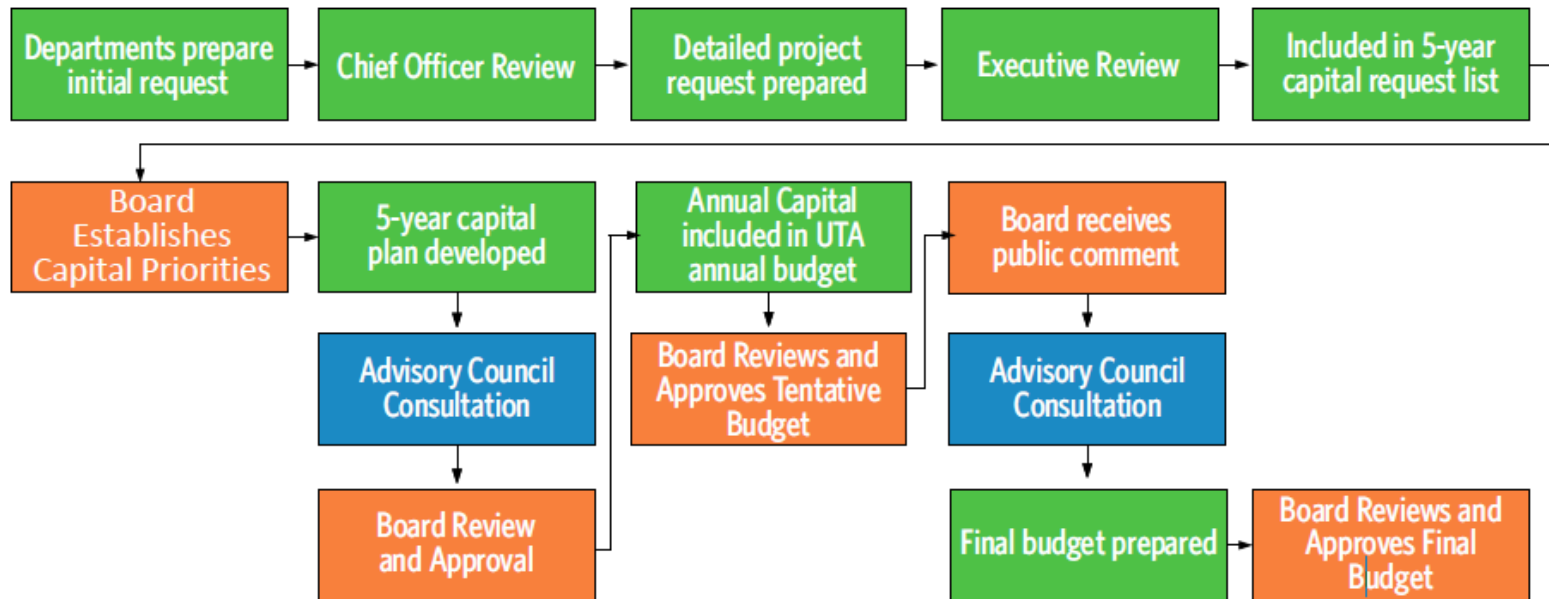
- a. Budget Process Overview
- b. 2019 Amended Budget



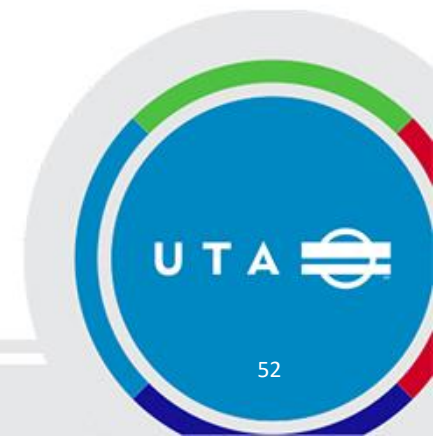
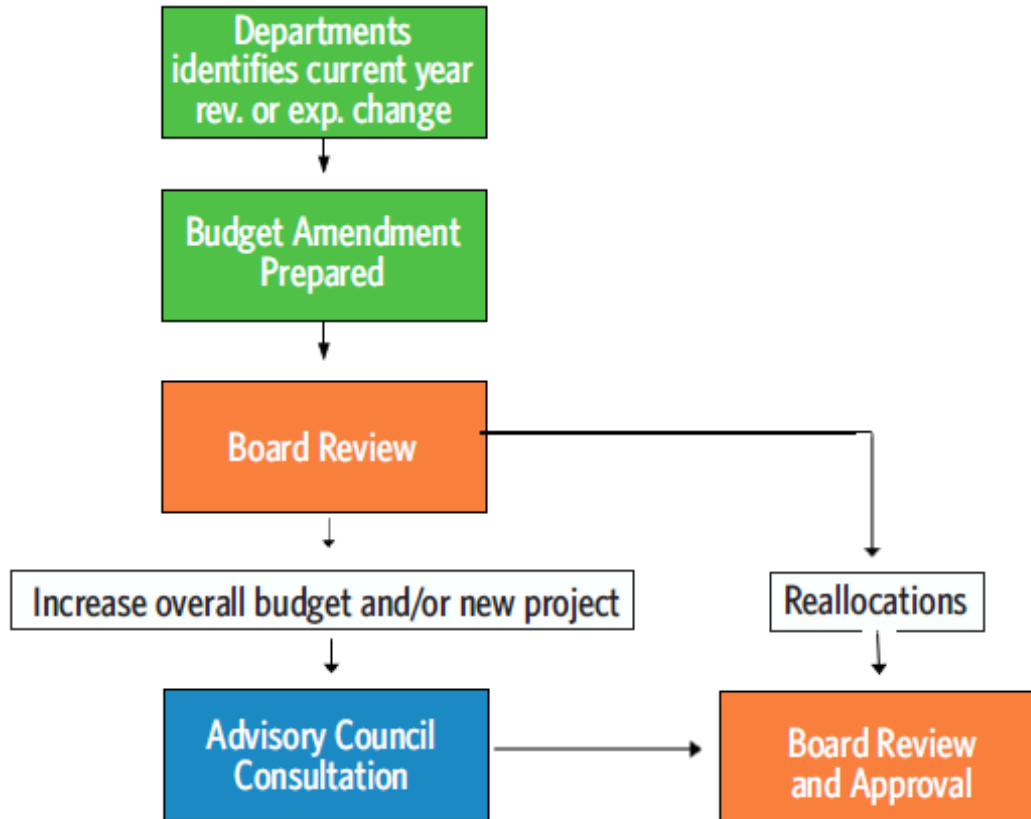
Budget Process Overview



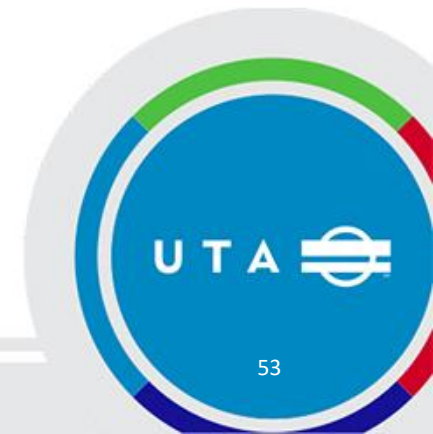
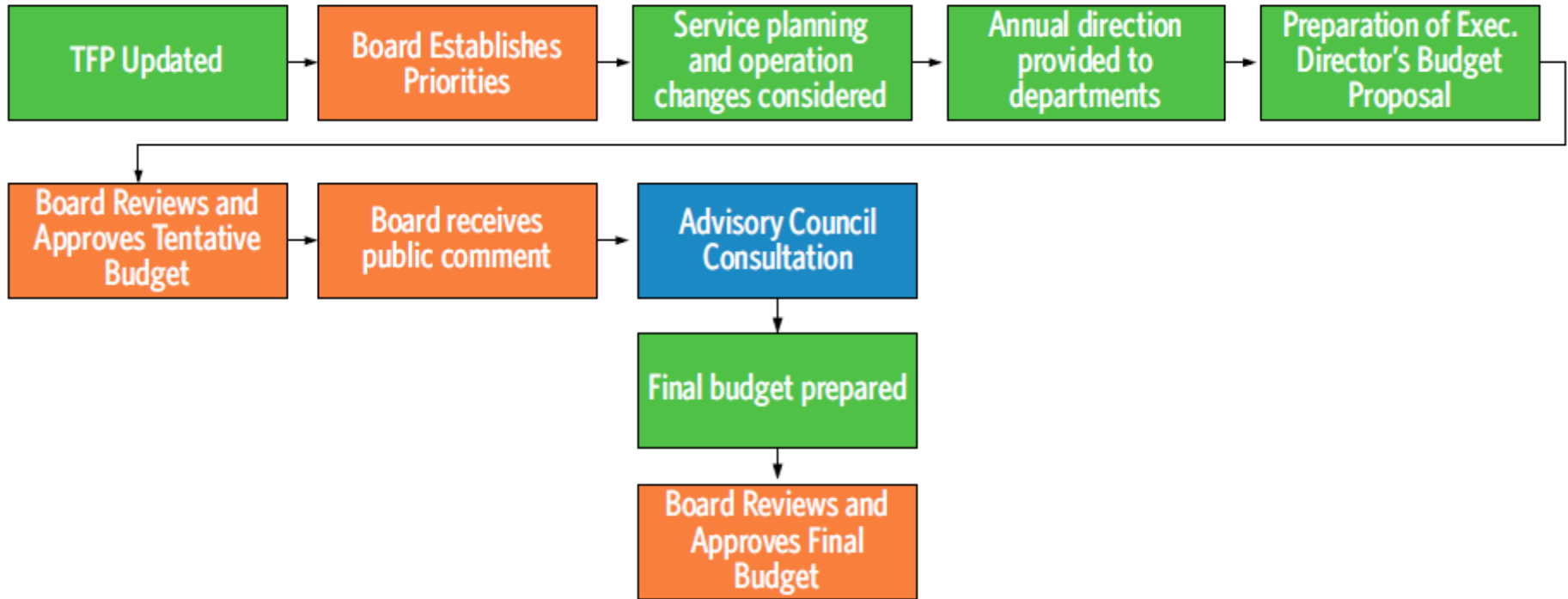
Capital Budget Preparation and Approval Process



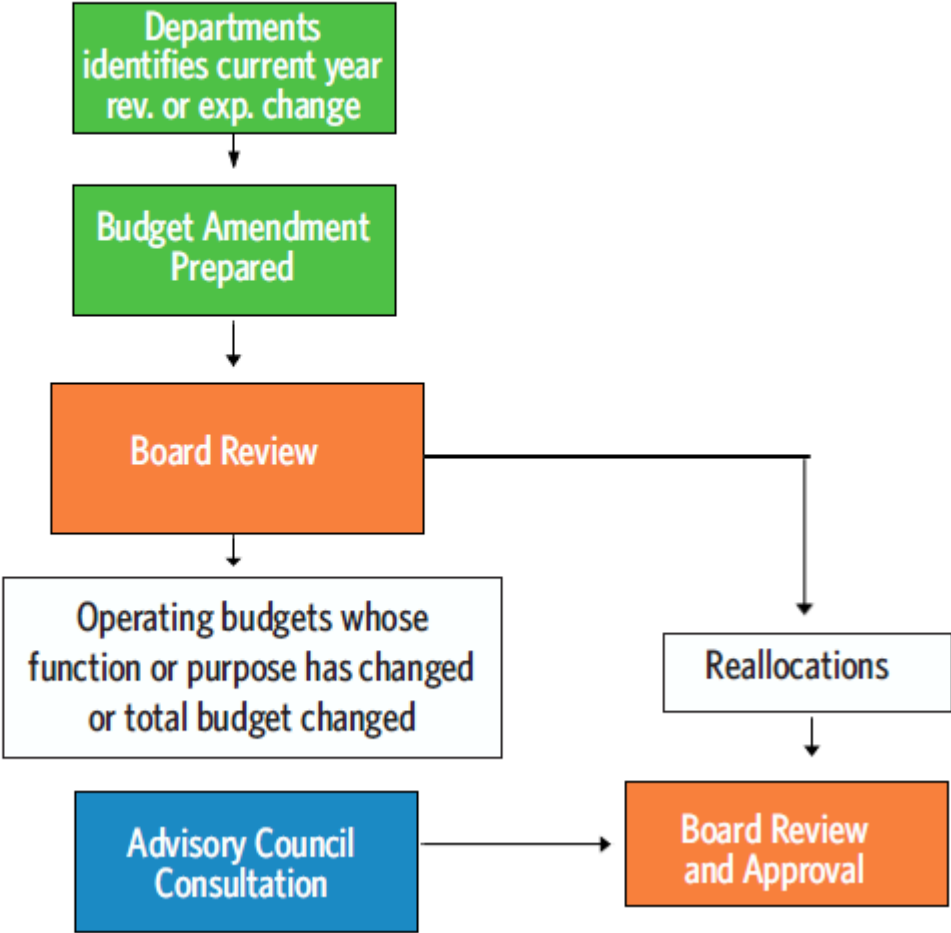
Capital Budget Amendments Approval Process



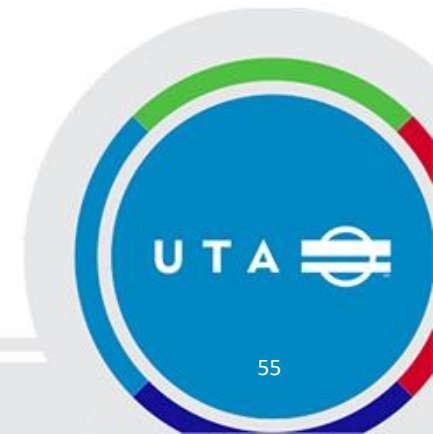
Operating Budget Preparation and Approval Process



Operating Budget Amendments Approval Process



2019 Amended Budget



Proposed Budget Amendments

- Operating
 - Utah County 4th Quarter
 - TOD Manager position
 - Coordinated Mobility
- Capital
 - New projects
 - 2018 Carryover

SM

Utah County 4th Quarter

Category	Adopted Budget	Proposed Amendment	Amended Budget
Sales Tax	\$311,796,000	\$3,065,000	\$314,861,000
Operating Support	2,500,000	<u>(830,000)</u>	1,670,000
Revenue Net Increase		<u>\$2,235,000</u>	
Debt Service	\$119,584,000	\$2,235,000	\$121,819,000

TOD Project Manager

Category	Adopted Budget	Proposed Amendment	Amended Budget
Other Revenue (TOD)	\$3,545,000	\$68,000	\$3,613,000
Non-operating Expense	\$6,083,000	\$68,000	\$6,151,000

SM

Coordinated Mobility

(New Request After May 8 Board Presentation)

Category	Adopted Budget	Proposed Amendment	Amended Budget
Other Revenue (SB003)	\$3,613,000	\$320,000	\$3,933,000
Rideshare/Vanpool Expense	\$3,221,000	\$320,000	\$3,541,000

SM

2019 Capital Budget Amendment Summary of Changes

Description	Amount
2019 Capital Budget Detail	\$141,378,556
New Projects (4 projects)	3,807,267
2018 Carryover projects:	
Reallocation of budget (40 projects)	0
Change in project estimate (16 projects)	3,918,148
Change in carryover amount only (93 projects)	<u>15,906,251</u>
Total Capital Budget Detail – Amended Budget	\$165,010,222

2019 Capital Budget Amendment

New Projects

Project	Amount
Park City Electric Bus	\$2,897,267
ADA Bus Stop Improvements – Utah County	675,000
Vanpool Vineyard Expansion	135,000
OCS Wire Survey	<u>100,000</u>
Total New Projects	\$3,807,267

2019 Capital Budget Amendment

Capital Carryover Changes

Project	Change in Project Estimate (16 projects total)	Change in Carryover Amount (93 projects total)
Sharp/Tintic Rail Project	6,029,856	
Sugar House Double Tracking	(998,725)	
SW SLCo ROW Preservation	(600,000)	
Provo-Orem TRIP		8,091,896
Electric Buses – Lo/No Grant		5,846,532
Ogden/WSU BRT Design		2,408,924
Delta and 150 Interlocking		2,110,458
Sandy Parking Structure		1,804,256
All Other projects	<u>(512,983)</u>	<u>(4,355,815)</u>
Total Capital Changes	\$3,918,148	\$15,906,251

2019 Capital Budget Amendment

Changes from May 8 Board Presentation

Row	Project	UTA Funded
108	Other	(\$171,443)
109	OCS Wire Survey	200,000
110	Grounding for SoJo CR Signal House	71,443
92	Bus/Engine/Transmission Replacements	(130,000)
104	Paint Room Bldg. 8	<u>130,000</u>
	Net Increase	\$100,000

Proposed 2019 Capital Budget

Amended Revenues

Category	Adopted Budget	Proposed Amendment	Amended Budget
UTA Funding	\$46,552,000	(2,200,562)	\$44,351,438
Grants	50,031,000	12,367,278	62,398,278
Local Partner Contributions	11,009,000	6,004,733	17,013,733
State Contributions	4,677,000	388,699	5,065,699
2018 Bond Proceeds	19,020,000	6,057,792	25,077,792
Leasing	<u>10,090,000</u>	<u>1,013,282</u>	<u>11,103,282</u>
Total Revenue	\$141,379,000	\$23,631,222	\$165,010,222

Proposed 2019 Capital Budget Amended Expense

Category	Adopted Budget	Proposed Amendment	Amended Budget
Provo/Orem TRIP	\$2,500,000	\$8,091,896	\$10,591,896
Airport TRAX Station Relocation	2,650,000	0	2,650,000
State of Good Repair	46,754,000	390,243	47,044,243
Other Capital Projects	<u>89,475,000</u>	<u>15,149,083</u>	<u>104,624,083</u>
Total Capital Expense	\$141,379,000	\$23,631,222	\$165,010,222

Next Steps

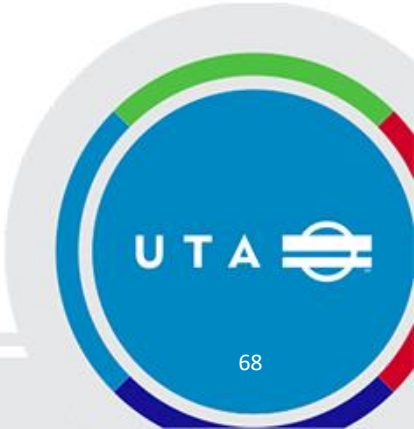
- June 19 Board of Trustees meeting
 - Consider budget amendment resolution

SM

Discussion Items



Introduction to Capital Projects Five-Year Plan



5-Year Capital Plan - Overview

- Capital projects include all construction, capital improvements, capital maintenance and major equipment purchases
 - New construction
 - State of good repair
 - Facilities maintenance
 - Vehicles
 - Information technology
 - Safety/security
 - Equipment (over \$25,000)



5-Year Capital Plan - Overview

- Expanding the annual budget planning to include a 5-year capital plan during 2020 budget process
- 5-year forecast helps mitigate challenges of applying a 1-year budget to multi-year projects
- Annual submissions are required for inclusion in following fiscal year budget, and subsequent year planning
- Unforeseen items will be considered for annual budget amendments as required



5-Year Capital Plan - Process

- Project managers submit requests to department manager for review/approval
- If approved, request gets submitted to Capital Project Director
- Requests include:
 - Project scope
 - Business need
 - Costs/year(s) of expenditure
 - Potential funding
 - Annual O&M Costs



5-Year Capital Plan - Process

- Requests are compiled into a five-year budget spreadsheet
- Funding sources are identified:
 - Grants
 - State
 - Local partners
 - Bond/lease
 - UTA funds
- Once compiled, department managers meet to prioritize requests



5-Year Capital Plan - Process

- Prioritization considerations:
 - Assure a safe system
 - Take care of or replace what we have
 - Leverage grants and partner funds
 - System improvements
- Projects with lower priority may be reduced in scope or moved to subsequent years
- Prioritized list of projects for 5-year plan is submitted to the Executive Team for review



5-Year Capital Plan - Process

- Executive Team reviews prioritized 5-year project list
- Revisions are made as necessary based on funding limitations
- Draft 5-Year Capital Plan is presented to the Advisory Council for consultation
- Subsequently, Plan is presented to the UTA Board for review and approval
- First year of the 5-Year Capital Plan is incorporated into UTA's proposed annual budget

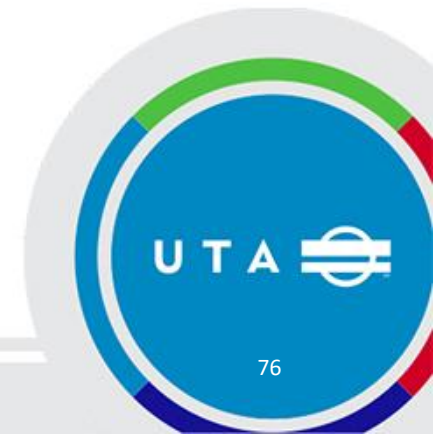


5-Year Capital Plan - Status

- 2020-2024 capital requests have been compiled and prioritized
- Total requests over the 5-year period exceed available budget projections
- Seeking additional grant and partnering opportunities
- Considering which projects can be delayed or reduced in scope
- Draft 5-year plan will be presented to the Advisory Council in September



Safety and Security Report and FTA State Safety Oversight Certification Report





Utah Department of Transportation

Rail Transit State Safety Oversight Program

Report to UTA Board of Trustees

June 12, 2019

Jim Golden, State Safety Oversight Program Manager

Overview

1. Utah SSO Program
2. Key Program Activities
3. Compliance with SSOA Requirements



Utah SSO Program

- Required by Federal Transit Administration (FTA) as of 1995
 - Oversight for system safety, security, and emergency preparedness
- States must designate a State Safety Oversight Agency (SSOA)
 - In Utah, the SSOA is UDOT
- UDOT must report at least annually to UTA Board and the Governor



UDOT oversees UTA TRAX and S-Line



UDOT does not oversee UTA FrontRunner

Utah SSO Program

- UDOT is compliant with 49 CFR Part 674, which requires:
 - Legal independence
 - Enhanced enforcement authority
 - Accident notification thresholds
 - SSOA training plan
 - Involvement in capital projects beginning with design



Key Program Activities



- Meet regularly with UTA Safety, Security, Operations, Maintenance personnel
- Conduct required audits and as-needed special studies
- Approve annual revisions to UTA safety and security plans and procedures
- Approve UTA's annual internal audit report & CEO certification
- Investigate accidents, incidents, hazards
- Approve and verify completion of Corrective Action Plans

Key Program Activities (Since June 2018)

- Annual hours of service audit (last conducted August 2018)
- UDOT triennial audit of UTA (February 2018) approval and closure of corrective actions
- Ongoing involvement in planning and design for UTA TRAX airport extension
- Preparation for FTA audit of UDOT SSOA



Compliance with SSOA Requirements

- 49 CFR Part 673 (released July 2018)
 - System Safety Program Plan (SSPP) must be replaced by a Public Transportation Agency Safety Plan (PTASP)
 - Emphasis on risks, hazards, and safety performance measurement
 - Agencies must have a compliant PTASP by July 2020
 - UDOT is nearly ready to approve UTA's PTASP



Compliance with SSOA Requirements

- 49 CFR Part 673 Chief Safety Officer (CSO) Requirements:
 - Responsible only for safety and no other functions
 - Has responsibility and authority for implementation of Safety Management Systems (SMS)
 - Reports directly to CEO/General Manager
 - Agency executives must be familiar with this rule



Thank You



Questions or comments?

jimgolden@utah.gov

801-964-4521

Utah Transit Authority

SAFETY UPDATE

Report to UTA Advisory Board

June 12, 2019

Sheldon Shaw, CSS, TSSP Acting Safety & Security Manager



Safety Focus

■ Safety Culture

- Safety First Moment
- Safety Committees
- Weekly Safety message
- Monthly Poster
- Safety Blitzes

UTA  **Safety Suggestion/Hazard Report** 

Use this form for safety questions, suggestions and reporting hazards. Your Supervisor will respond to your suggestions or forward it to your UTA Safety Committee. The Safety Committee will meet monthly to address these issues and provide feedback as soon as possible. Please be as specific as possible when describing the safety concern and making recommendations.

Name: _____ Date: _____
(Not mandatory unless you want feedback)

Bus/Rail route or Facility: _____ Direction: _____

Time: _____

Safety Question, Suggestion, or Hazard: *(Be as specific as possible)*

Proposed Solution: *(Be as specific as possible)*

Response:

Would you like a response? Yes: _____ No: _____

Supervisor's Initials: _____ Date Received: _____ Response Date: _____

Suggestion forwarded to: _____ Forward Date: _____

Person or Committee responding: _____ Response Date: _____

Reviewed by RGM: _____ Date Reviewed: _____ Date Closed: _____

\\users\department\SAFETY Department\ADMIN\FORMS BLANK



**You don't have eyes on the back of your head,
be aware of your surroundings.**



UTA 
SAFETY & SECURITY

June 2019



Rail Safety Week Video



Senior Management Commitment



Accountable Executive – Champion for Safety

- Role – Serves as the Champion for Safety with ultimate accountability for SMS implementation
- Responsibilities:
 - Designate a Chief Safety Officer/SMS Executive
 - Allocate resources to develop and maintain the Agency Safety Plan and TAM plan
 - Approve the SMS implementation strategy
 - Support communication of SMS information
 - Present the Agency Safety Plan for Board approval



To: All UTA Employees

Utah Transit Authority (UTA) is committed to a positive safety culture and creating a workplace that is safe, healthy, and injury free. Our employees are our most valuable assets and their safety and health is our first priority. This policy statement applies to all personnel and every aspect of the company's activities. A positive safety culture includes ownership by all employees, effort to identify and correct deficiencies at all levels and effective communications.

UTA utilizes a Safety Management System (SMS) to prevent accidents, to reduce risk of injury and minimize damage to property and equipment. We work proactively towards identifying and reducing the existence of hazards and risks in the workplace and in our system. As the Accountable Executive for all operations and activities, I will ensure that resources are available to ensure our SMS is robust and successful. The SMS Program is managed under my authority by the Chief Safety and Security Officer.

UTA management will take steps to prevent workplace incidents, injuries and illnesses and will provide support of safety program initiatives. They will consider employee suggestions for achieving a safer, healthier workplace; keep informed about workplace safety and health hazards; and regularly review the company safety and health program.

UTA supervisors are responsible for supervising and training workers in safe work practices. They are expected to enforce company safety rules and work to eliminate hazardous conditions. Supervisors will lead safety efforts by example.

All UTA employees are expected and encouraged to participate in safety and health program activities including reporting hazards, reporting unsafe work practices, near misses and accidents immediately to their supervisor or a safety committee representative. All employees will wear required personal protective equipment (PPE) and participate in and support safety activities. Employees will serve as Safety Ambassadors by working safely, complying with requirements and serving as an example to others.

Disciplinary action will not be taken against an employee who acts to prevent an injury or who reports any accident, incident, or hazard. All employees are required to abide by the standards and procedures set forth in the SMS policy and the TASP. Elements such as illegal activity, negligence, acts of willful misconduct, or undue care and attention shall be considered outside the scope of this policy.


Steve Meyer
Interim Executive Director
Utah Transit Authority

12/14/18
Date

ISO 9001:2000, ISO 14001:2004 and OSHA 19001:2007



UTAH TRANSIT AUTHORITY

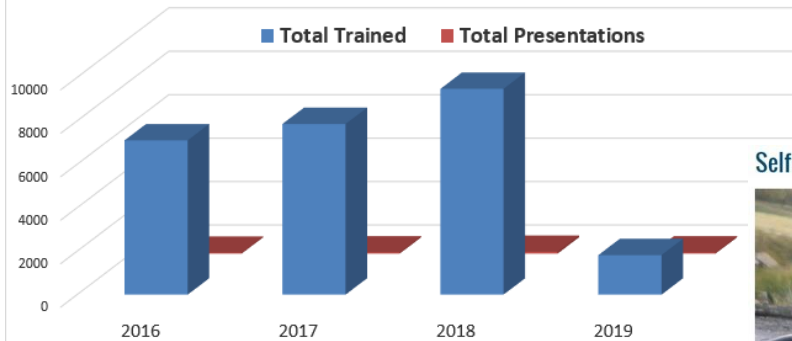
UTA's SMS Progression

- ISO 9001 QMS, 14001 EMS (Apr 2006)
- OHSAS 18001 SMS (June 2013/2015/2018)
- Recertification \$61K, Surveillance \$28K
- ISO 45001 Published March 2018
- SSPP 21 elements to TASP in 2015
- UTAH 3rd State 49 CFR Part 674 Certified
- Working to be Certified under 49 CFR Part 673



Operation Lifesaver Utah

Safety Department Operation Lifesaver Outreach



Selfie Tragedy Forever Impacts Those Left Behind



Essa Ricker and Kelsea Webster, both 15, and Kelsea's little sister, Savannah, waved at a westbound train crew and squeezed in for a selfie as it rolled through Utah's scenic Spanish Fork Canyon October 2011.

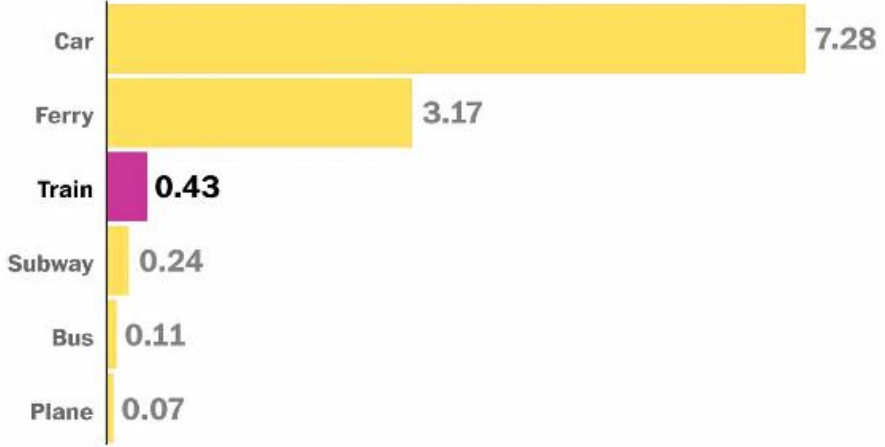
- Sheldon Shaw, Safety Manger
 - Board of Directors Utah OLI
 - Area Two Coordinator Utah OLI
 - Weber High School
 - Ogden High School
- Jim Golden, Sate Safety Oversight
 - Board of Directors Utah OLI
 - West Lake High School
 - Pleasant Grove High School
- Ed Buchanan, Safety Administrator
 - Olympus High School
 - Brighton high School
- Lamount Worthy, Video Administrator
 - Clearfield Job Corps
- Dan Riley, Security Manger
 - Alta High School
 - Hillcrest High School
- Kent Muhlestein, Safety Administrator
 - Clearfield High School
- Martin Cocker, Safety Administrator
 - Corner Canyon High School



Transit is Safe

It's really safe to take the train.

Passenger deaths per 1 billion passenger miles, 2000 to 2009



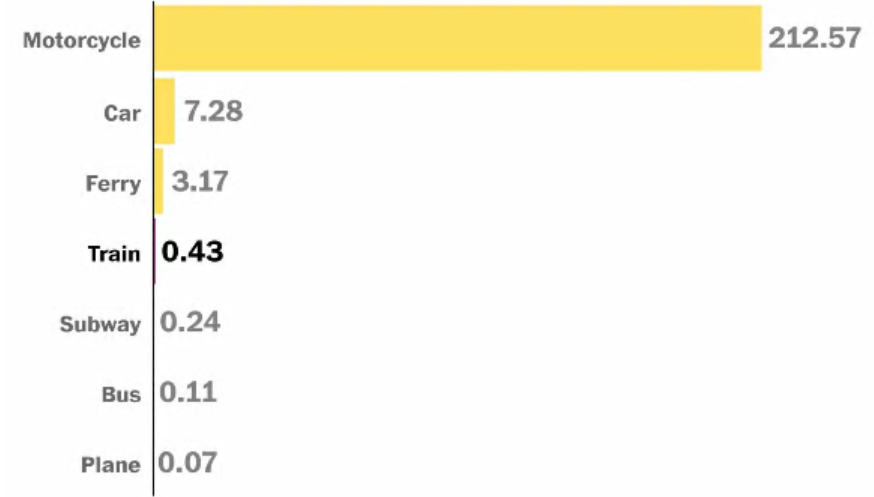
WAPO.ST/WONKBLOG

Source: Ian Savage, Northwestern University



Motorcycles are the deadliest.

Passenger deaths per 1 billion passenger miles, 2000 to 2009



WAPO.ST/WONKBLOG

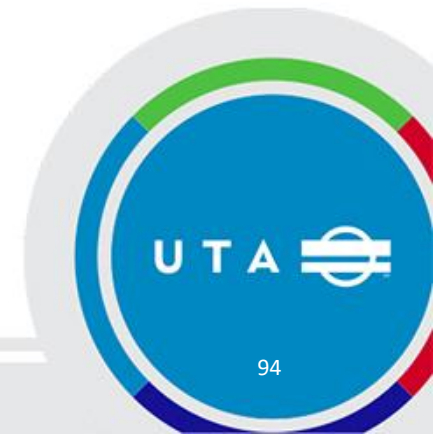
Source: Ian Savage, Northwestern University

Questions ?



Other Business

- a. Next Meeting: Wednesday, July 17, 2019 at 1:00 p.m.



Adjourn

