



# 2016 Performance Report

Jerry Benson, President/CEO

# Reforms

## COMPLETE

### Phase One: Foundational

- ✓ Board composition and departmental shifts
- ✓ Compensation and benefits
- ✓ Travel
- ✓ Revised long-term financial plan

## COMPLETE

### Phase Two: Overhaul of Policies, Procedures, and Personnel

- ✓ New ethics policies and goal setting
- ✓ Personnel changes and additions
- ✓ Internal audit
- ✓ Stakeholder engagement
- ✓ Service additions

## NEARLY COMPLETE

### Phase Three: Ongoing Transparency and Agency Culture

- ✓ Organizational restructuring
- Transparency and accountability
- Proactive communications

# 2016 Reforms

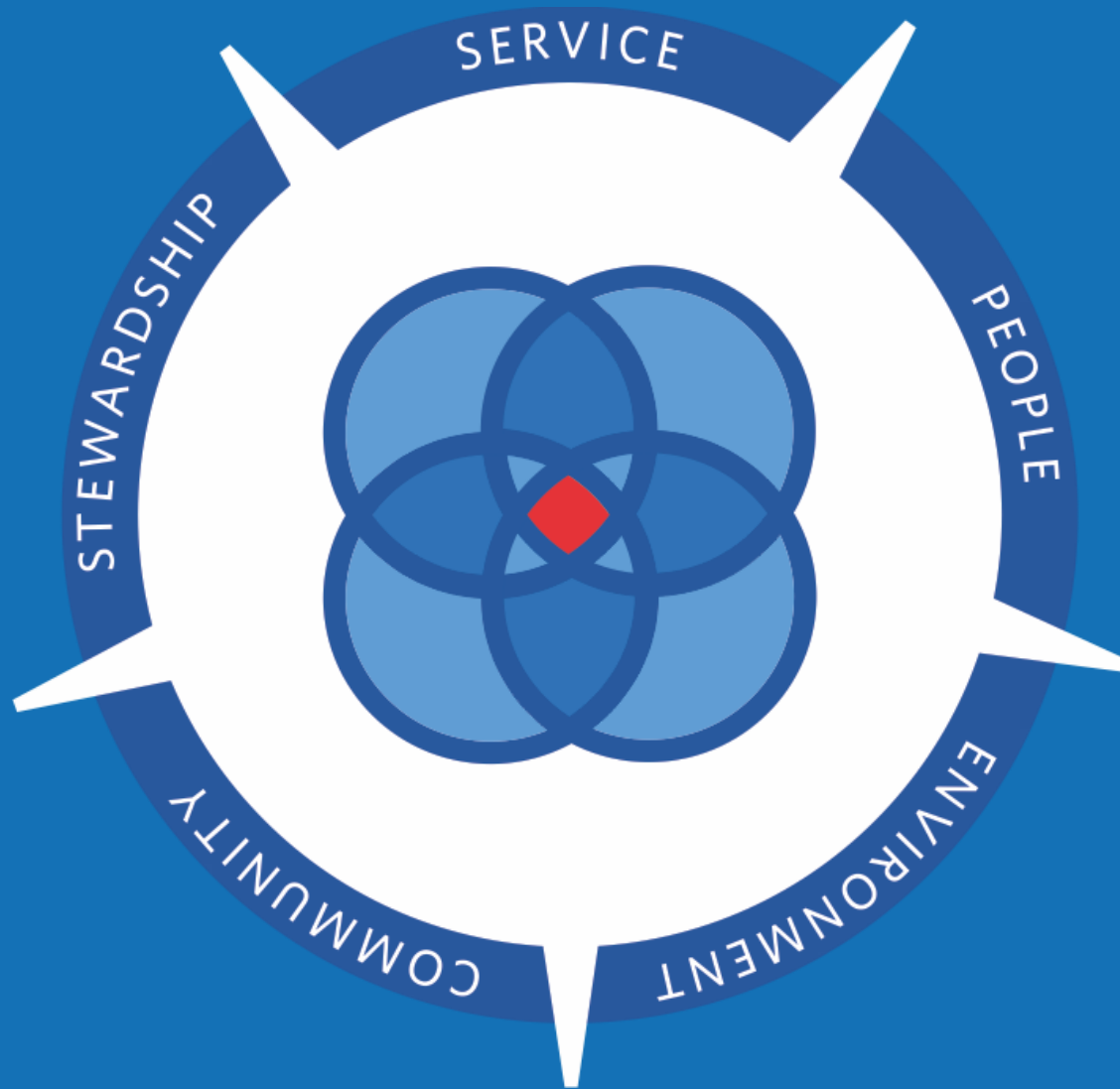
## Completed

- ✓ Baseline measure of public trust established
- ✓ Joint oversight process for major projects implemented
- ✓ Government relations reorganized and strategic approach developed
- ✓ President/CEO selected and engaged
- ✓ Internal audit staff hired
- ✓ Information shared with public increased
- ✓ Public dialog enhanced

## In Process

- Overhaul and simplify fare structure
- Live streaming board meetings
- Develop transit bill of rights

# 2016 Accomplishments by True North



# 2016 PROGRESS DASHBOARD - WEBER AND DAVIS COUNTIES

Prop. 1 Service Hours Increase    Prop. 1 Service Miles Increase



GOAL: Add 16,000 service hours



GOAL: Add 247,000 service miles

Prop. 1 Bus Stop Improvements



GOAL: 50 improvements  
ACHIEVED: 70 improvements

# 2016 PROGRESS DASHBOARD - TOOELE, GRANTSVILLE AND STANSBURY

Prop. 1 Service Hours Increase on Tooele Shuffle



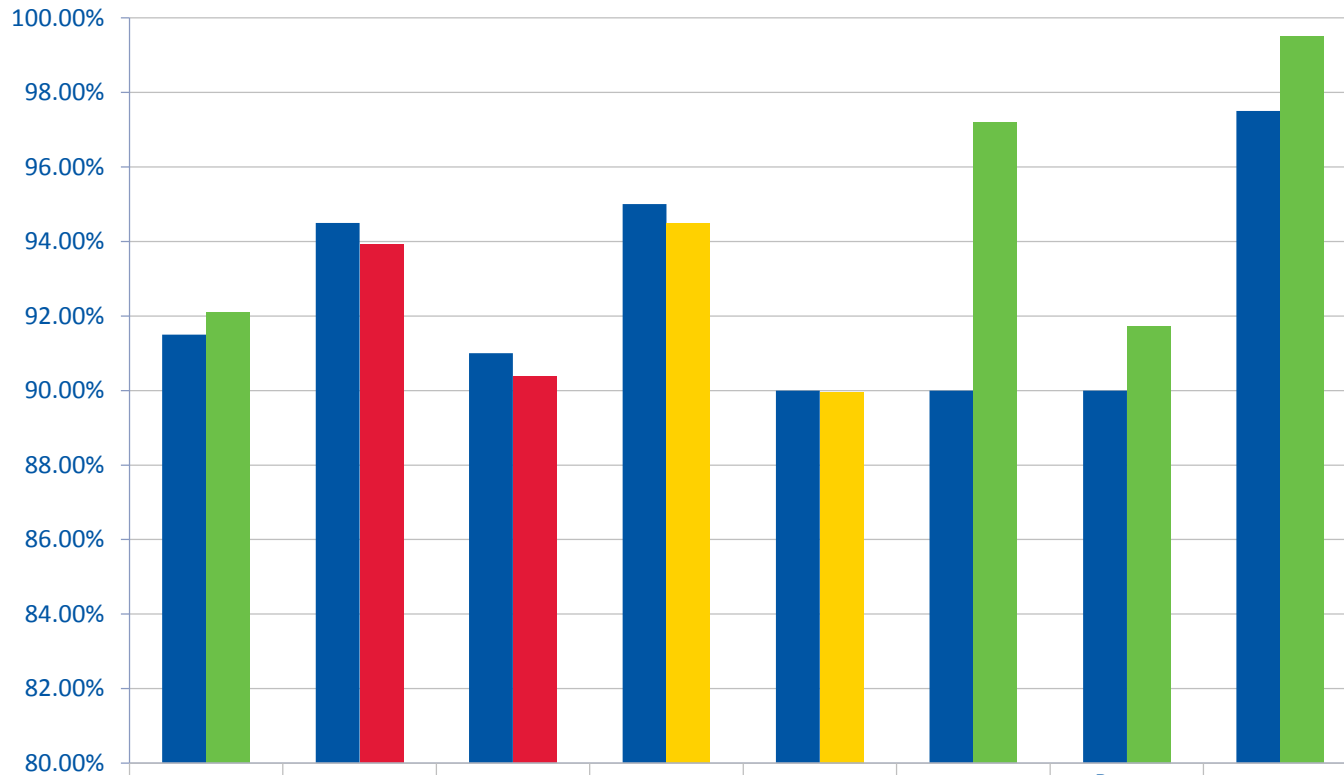
GOAL: Add 500 service hours

# Service: Proposition 1

- Weber and Davis Counties
  - 15% increase in annual bus service
  - New buses on order
  - 70 improved bus stops
  - 2 sidewalk projects
  - 2 bike lane projects (in partnership with North Ogden City)
  - 8 bike amenity improvements at park-and-ride lots
- Tooele County
  - 500 hours added to Tooele Shuffle route
  - 8 improved bus stops planned
  - 2 bike lanes planned and designed
  - Transit Master Plan in process with 2017 planned completion
  - Park-and-ride lot plans in place for 2019/2020

# Service: Reliability

YTD Goal vs. Actual Schedule Reliability (2016)



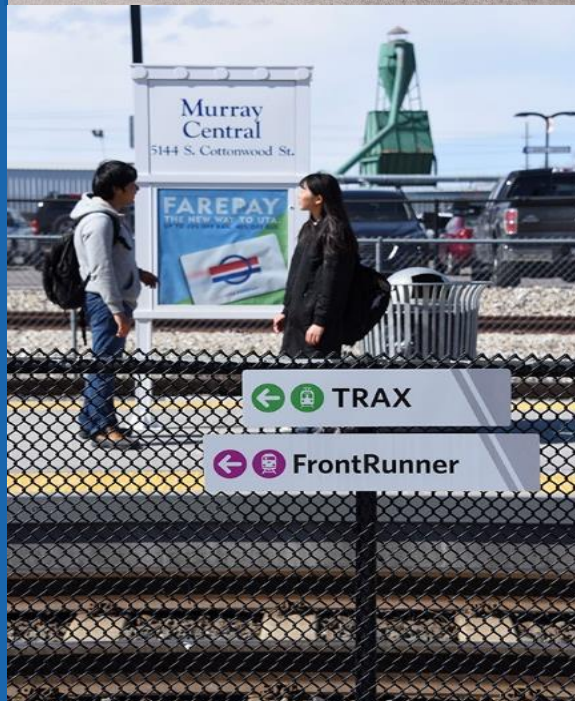
**93.66%**

overall  
reliability



# Service: Customer Information

- Website redesign
- Signage
  - Updated platform signage, strip maps on TRAX and FrontRunner, and destination maps at Airport Station
  - Developed and implemented a wayfinding signage plan for eight key stations



# Service



- Redesigned ski service
- Created new eco pass program
- Provided special event support
  - Warriors over the Wasatch Air Show
  - Veterans Administration Wheelchair Games
- Received 2016 APTA Rail Safety and Security Excellence Merit Award





# People



- Increased employee-generated improvement submissions in FrontRunner by 440% and increased implemented improvements by 211%
- Hired 482 new employees
- Streamlined operations customer comments process



# Environment

**35,212,486 lbs.**

reduced in greenhouse gas emissions from vanpooling

**63,744,032**

commuter mile emissions eliminated with FrontRunner service

**62%**

of bus fleet in clean fuel vehicles  
(clean diesel, clean diesel electric hybrid, or CNG)

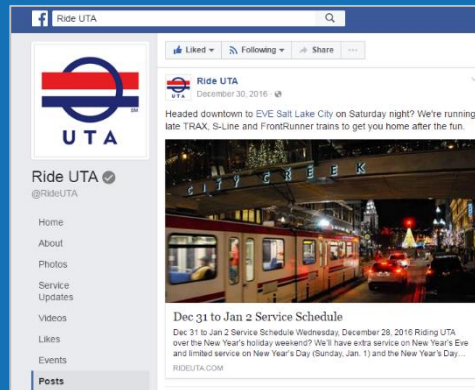
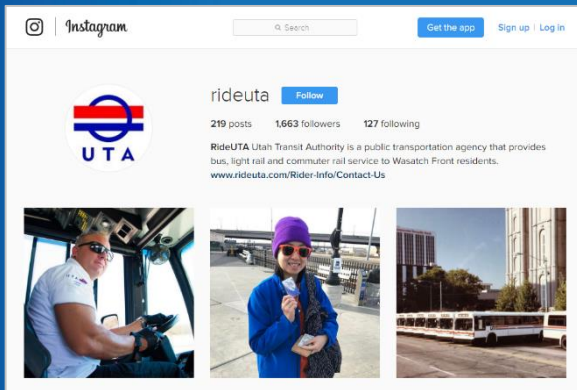
**0**

noncompliance findings in ISO:14001 environmental certification renewal



# Community

- Completed camera installation at all FrontRunner stations and park-and-ride lots
- Presented outline of new transit-oriented development policy
- Increased public communication
  - Engaged in proactive media relations
  - Increased social media posts and interaction
  - Increased public, stakeholder, and employee communications



# Community: Relationships

## 2016 Leadership Meetings with Stakeholders

UTA Leadership	Federal Delegation	Governor and State Legislators	Local Elected Officials	MPOs	Other (e.g., federal and state agencies)	TOTAL BY EMPLOYEE
Jerry Benson	6	47	68	14	36	171
Nichol Bourdeaux	1	5	29	5	9	49
Todd Provost	6		12		15	33
Bob Biles			10		1	11
Dave Goeres		5	24	6	11	46
Steve Meyer	1	1	40	7	9	58
Matt Sibul	3	58	61	11	23	156
Eddy Cumins			122		26	148
Bruce Cardon				4	15	19
Lorin Simpson		1			3	4
Mary DeLaMare-Schaefer		15	9	11	6	41
Cherryl Beveridge (incl. Jaron Robertson and Ryan Taylor)	5		10	33		48
<b>TOTAL BY CATEGORY</b>	<b>22</b>	<b>132</b>	<b>385</b>	<b>91</b>	<b>154</b>	<b>784</b>

Increased and improved relationships with key stakeholders, legislators, and local officials



# Stewardship

**\$146 million**

in long-term,  
fixed-rate debt  
replaced  
\$156 million in  
short-term  
notes

**\$1.3 million**

in net cost  
savings on  
rebuilt  
components

**\$400,000**

in fuel savings  
from CNG  
fueling station



# Stewardship: Grants

**\$71 million**

awarded in small starts funds for Provo-Orem bus rapid transit

**\$20 million**

announced in TIGER funds for first/last mile solutions

**\$2.4 million**

awarded in discretionary funds



# Stewardship: State of Good Repair

**100**

bus stops improved or upgraded

**4**

tactile replacement projects completed at TRAX stations

**17**

pedestrian rail crossings upgraded

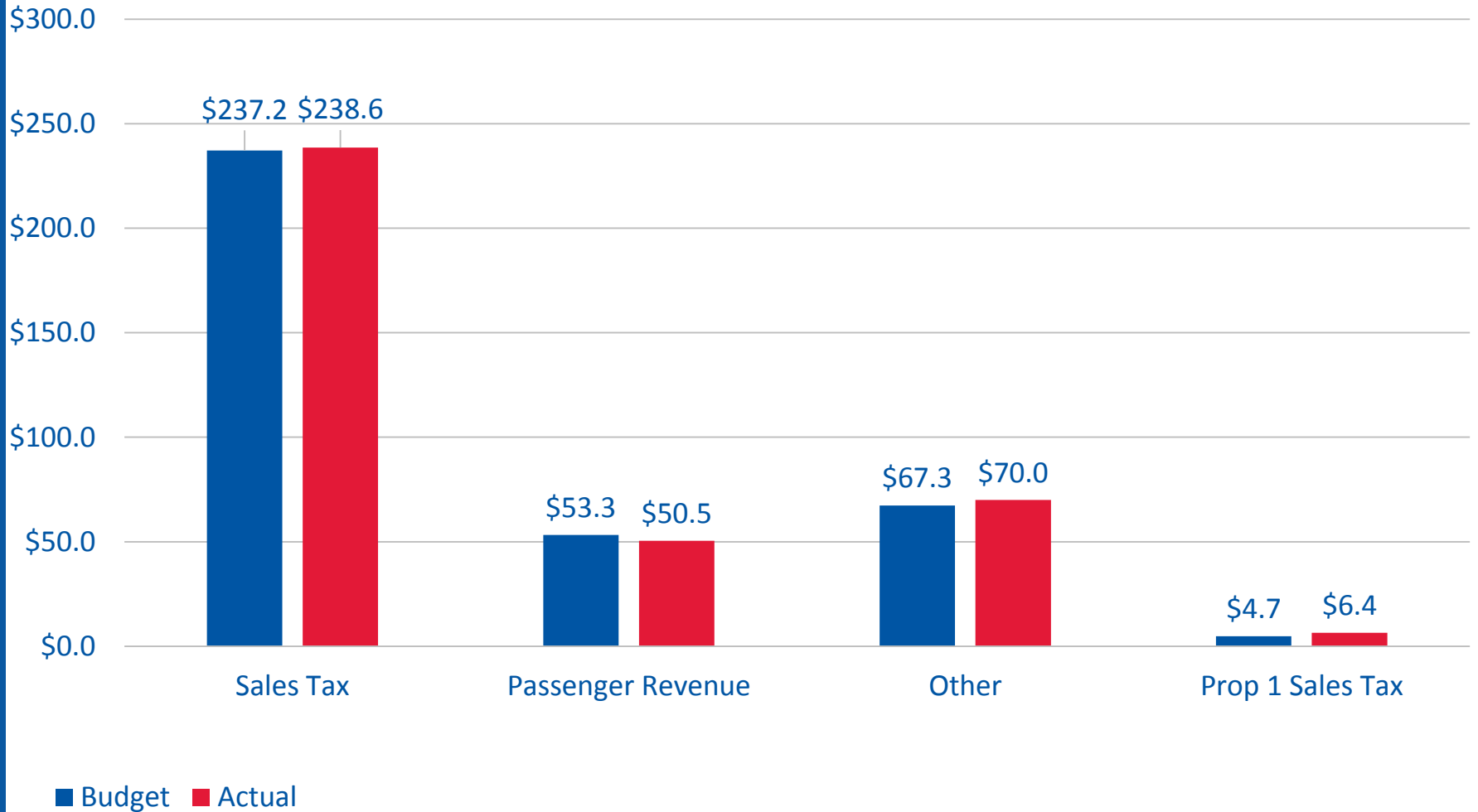
**5**

grade crossings refurbished



# 2016 Operating Revenues

Budget vs. Actual (in millions)





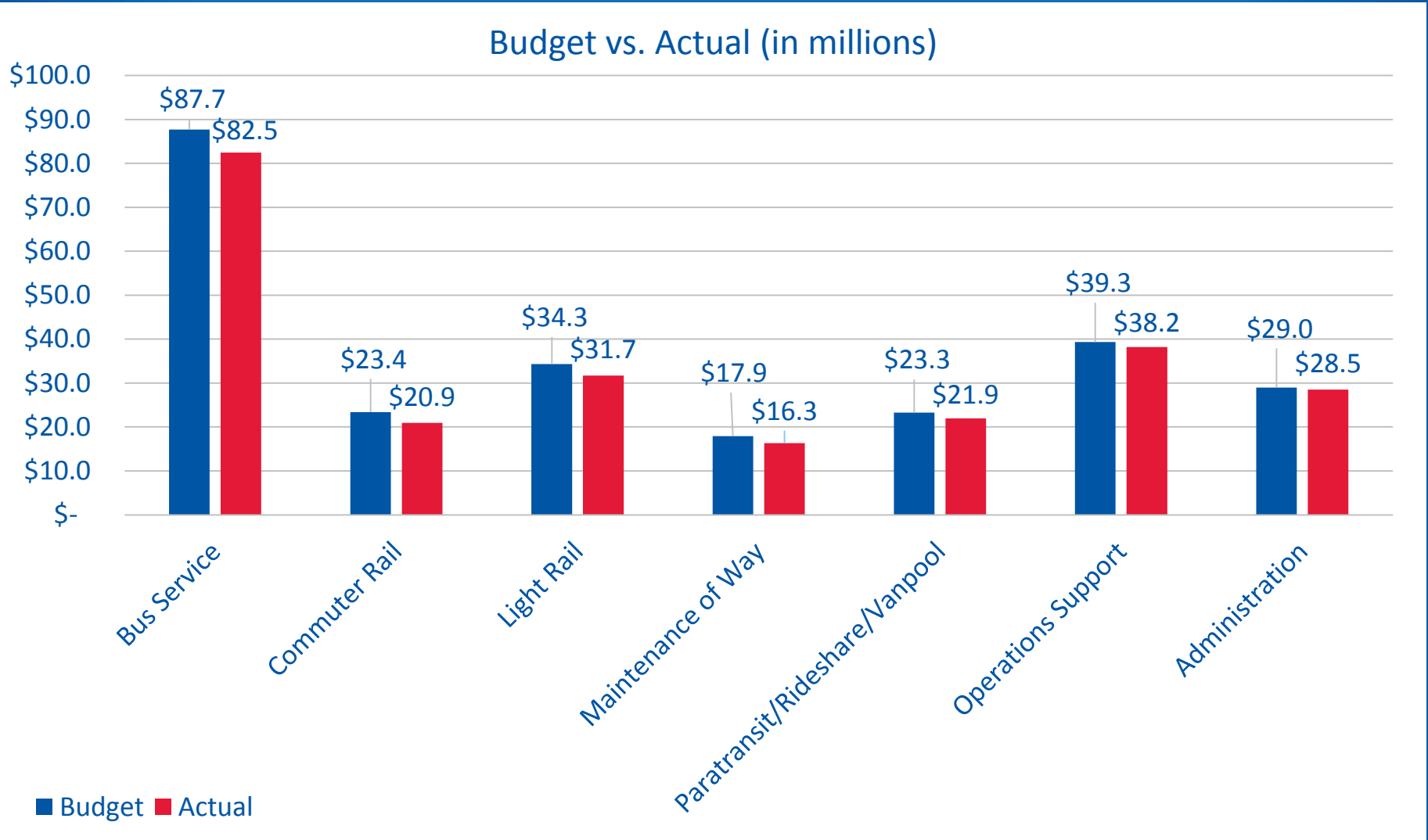
# 2016 Operating Expenses

Budget vs. Actual (in millions)

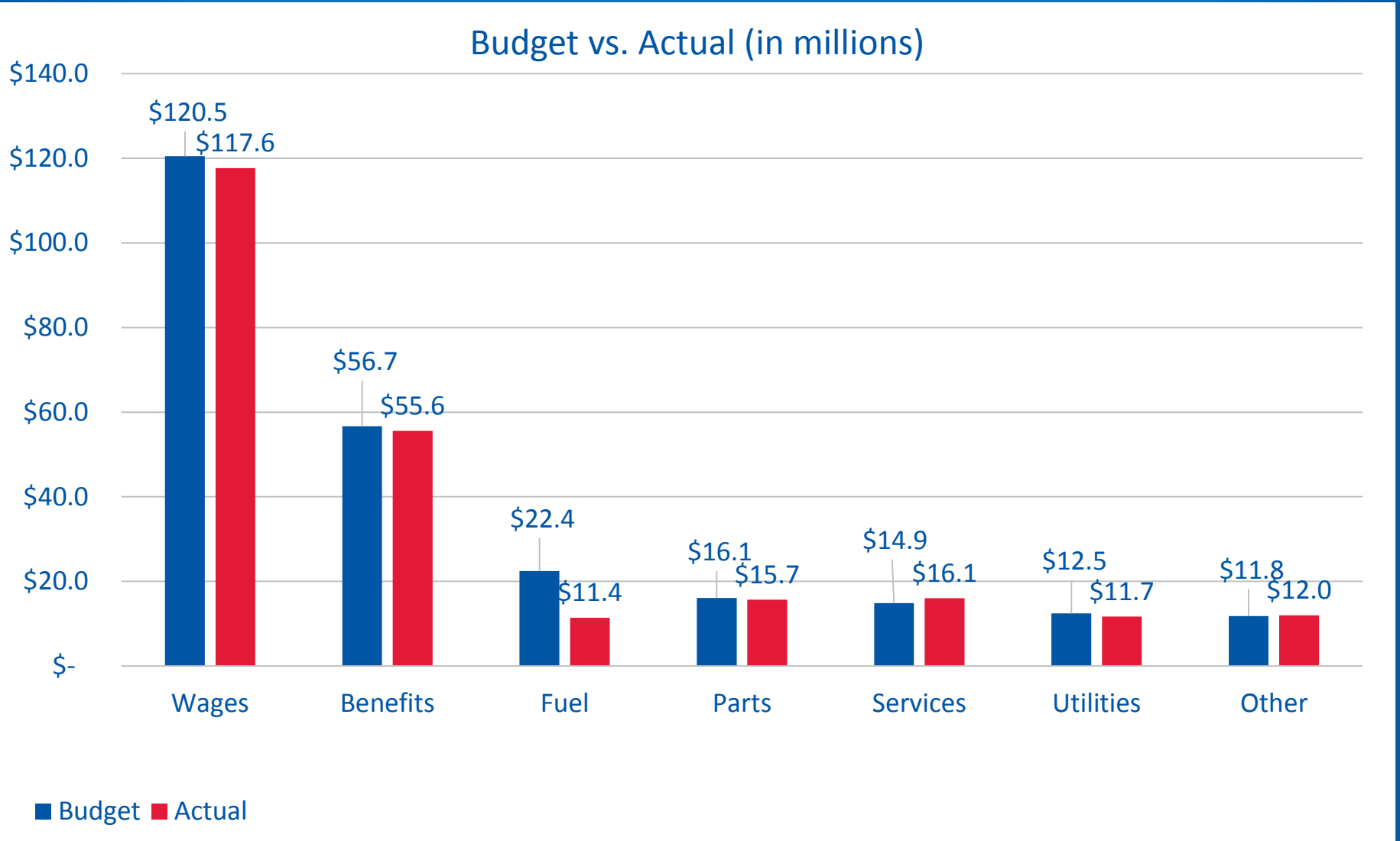


■ Budget ■ Actual


# 2016 Operating Expense by Mode



# 2016 Operating Expense by Category




# UTA Board Goals & Results

<b>Core Goal #1</b>	<b>PUBLIC TRUST &amp; ACCOUNTABILITY</b>	<i>Executive</i>
	CREATE & CONDUCT A STATE-OF-THE-ART SURVEY PROCESS, COMBINING QUALITATIVE & QUANTITATIVE COMPONENTS DESIGNED TO GAUGE SENTIMENT REGARDING TRUST, ACCOUNTABILITY, AND CONFIDENCE IN UTA.	NICHOL BOURDEAUX
	<i>Current Issues</i>	<i>Rating</i>
	The annual Benchmark Survey was completed with the addition of new questions pertaining to stewardship, accountability, and trust. UTA staff developed and implemented a comprehensive, proactive communications and outreach plan for 2016. Under the new organizational structure, the external affairs division is preparing to conduct the Benchmark Survey again and is developing communication plans and strategies for 2017.	




# UTA Board Goals & Results

RIDERSHIP		Executive
LONG-TERM POSITIVE GROWTH USING A 60 MONTH MOVING AVERAGE. INCREASE RIDERSHIP TO 47,741,595 - 2.5% OVER 2015 ACTUAL.		TODD PROVOST
Current Issues		Rating
Core Goal #2	Ridership in 2016 decreased by 2.16% compared to 2015. Transit ridership nationwide is down due to low gasoline prices and an increase in private automobile sales. However, Weber and Davis counties gained nearly 86,844 riders on routes improved with Proposition 1 funds.	
	In December 2016, ridership on Salt Lake County ski bus routes increased by 23% on weekdays, 24% on Saturdays, and 50% on Sundays over that of December 2015. The comparison includes only the days when ski bus service operated, as the service started on different dates in December 2015 and 2016.	
	In January 2017, ski bus ridership increased by 33% on weekdays, 31% on Saturdays, and 48% on Sundays over January of last year. In February, ridership on these ski bus routes saw even more dramatic growth, increasing by nearly 50% on weekdays, 76% on Saturdays, and 88% on Sundays over February 2016.	




# UTA Board Goals & Results

Core Goal #3	INVESTMENT PER RIDER (IPR)	<i>Executive</i>
	INVESTMENT PER RIDER (IPR) OF \$4.23.	BOB BILES
	<i>Current Issues</i>	<i>Rating</i>
	IPR as of December 31, 2016 = \$4.16 (without fuel savings = \$4.38).	




# UTA Board Goals & Results

Strategic Goal #1	<b>TRANSIT-ORIENTED DEVELOPMENT</b>	<i>Executive</i>
	<b>COMPLETION OF TWO (2) STATION AREA PLANS IN COORDINATION W/THE METROPOLITAN PLANNING ORGANIZATIONS.</b>	BOB BILES
	<i>Current Issues</i>	<i>Rating</i>
	UTA coordinated with the Wasatch Front Regional Council (WFRC) and local municipalities to complete two station area plans in 2016. The plans were completed for the Pleasant View Frontrunner Station area and in South Salt Lake for the area around the 2100 South Central Point TRAX Station. Both plans received support from WFRC's new Transportation and Land Use Connections grant program.	




# UTA Board Goals & Results

Strategic Goal #2	<b>LEVERAGE TECHNOLOGY IN FARES</b>	<i>Executive</i>
	<b>DEVELOP &amp; IMPLEMENT A BLUEPRINT FOR A COMPREHENSIVE FARE POLICY &amp; PRODUCTS FOCUSED ON ELECTRONIC FARE COLLECTION.</b>	NICHOL BOURDEAUX
	<i>Current Issues</i>	<i>Rating</i>
	An extensive outreach and research effort was conducted in 2015 and 2016 as part of the Fare Analysis Study. A working group developed a new fare proposal which was vetted internally. Based on internal review, additional analysis of impacts on minority and low income populations, additional ridership modeling, and incorporation of the results of the latest on-board survey are being completed.	






# UTA Board Goals & Results

Strategic Goal #3	<b>IMPROVE FIRST/ LAST MILE ACCESS TO UTA'S SYSTEM</b>	<i>Executive</i>
	<b>COMPLETE THREE(3) PROJECTS IDENTIFIED IN UTA'S FIRST/LAST MILE STUDY.</b>	TODD PROVOST
	<i>Current Issues</i>	<i>Rating</i>
	First/Last Mile Study Phase II work has been completed. UTA continues to implement recommendations from the First/Last Mile Study including new bike racks (testing on one car) on Frontrunner, a new bike share station at North Temple, and several new bus shelters and amenities. UTA will continue to complete projects throughout the year, including Proposition 1 projects. UTA is currently working with its partners to lay out an implementation plan for the first/last mile projects identified in the TIGER grant award and hope to begin that work in 2017.	



# UTA Board Goals & Results

<b>Core Goal # 4</b>	<b>REVENUE DEVELOPMENT</b>	<i>Executive</i>
	<b>\$15.2 MILLION IN NON-SMALL STARTS REVENUE DEVELOPMENT.</b>	BOB BILES
	<i>Current Issues</i>	<i>Rating</i>
	Revenue developed as of December 31, 2016 was \$10,161,767. In addition, UTA was awarded a small starts grant for the Provo Orem BRT project in the amount of \$71 million. In addition, UTA received notice of award of at \$20 million TIGER grant in July, 2016. The final grant scope and agreement are being reconciled with the project partners.	



# Goal Results by Percentage

Strategic Objective Type	Topic	Achieved?	% Awarded	Possible Points (Weighting)	Points Awarded
Core	Public Trust & Accountability	Yes	100%	30	30.00
Core	Ridership	No	0%	15	0.00
Core	Investment per Rider (IPR)	Yes	100%	15	15.00
Core	Revenue Development	Partial	80%	10	8.00
<b>Subtotal Core Measures</b>				<b>70</b>	<b>53.00</b>
Strategic	Transit-Oriented Development	Yes	100%	10	10.00
Strategic	Leverage Technology in Fares	Partial	60%	10	6.00
Strategic	Improve First/Last Mile Access to UTA's System	Yes	100%	10	10.00
<b>Subtotal Strategic Measures</b>				<b>30.00</b>	<b>26.00</b>
<b>Total Possible Points and Awarded Points</b>				<b>100.00</b>	<b>79.00</b>



**UTAH TRANSIT AUTHORITY BOARD OF TRUSTEES**  
**Agenda Item Coversheet**

<b>DATE:</b>	<b>March 22, 2017</b>
<b>TITLE:</b>	<b>2017 Risk Assessment Process</b>
<b>UTA EXECUTIVE/RESPONSIBLE STAFF MEMBER:</b>	<b>Riana De Villiers</b>
<b>SUBJECT:</b>	<b>Risk Assessment Process</b>
<b>BACKGROUND:</b>	<p>The International Standards for the Professional Practice of Internal Auditing require that the Internal Audit Plan be based on a risk assessment, undertaken at least annually, with consideration from senior management and the board as part of the process.</p> <p>The Chief of Internal Audit would like to provide you with information on the process followed to create a risk based audit plan.</p>
<b>ALTERNATIVES:</b>	N/A
<b>PREFERRED ALTERNATIVE:</b>	N/A
<b>STRATEGIC GOAL ALIGNMENT:</b>	Accountability
<b>FINANCIAL IMPACT:</b>	None
<b>LEGAL REVIEW:</b>	N/A
<b>EXHIBITS:</b>	a. Ppt: 2017 Risk Assessment process, 03.22.17



# 2017 Risk Assessment Process

March 22, 2017

Riana de Villiers, Chief of Internal Audit

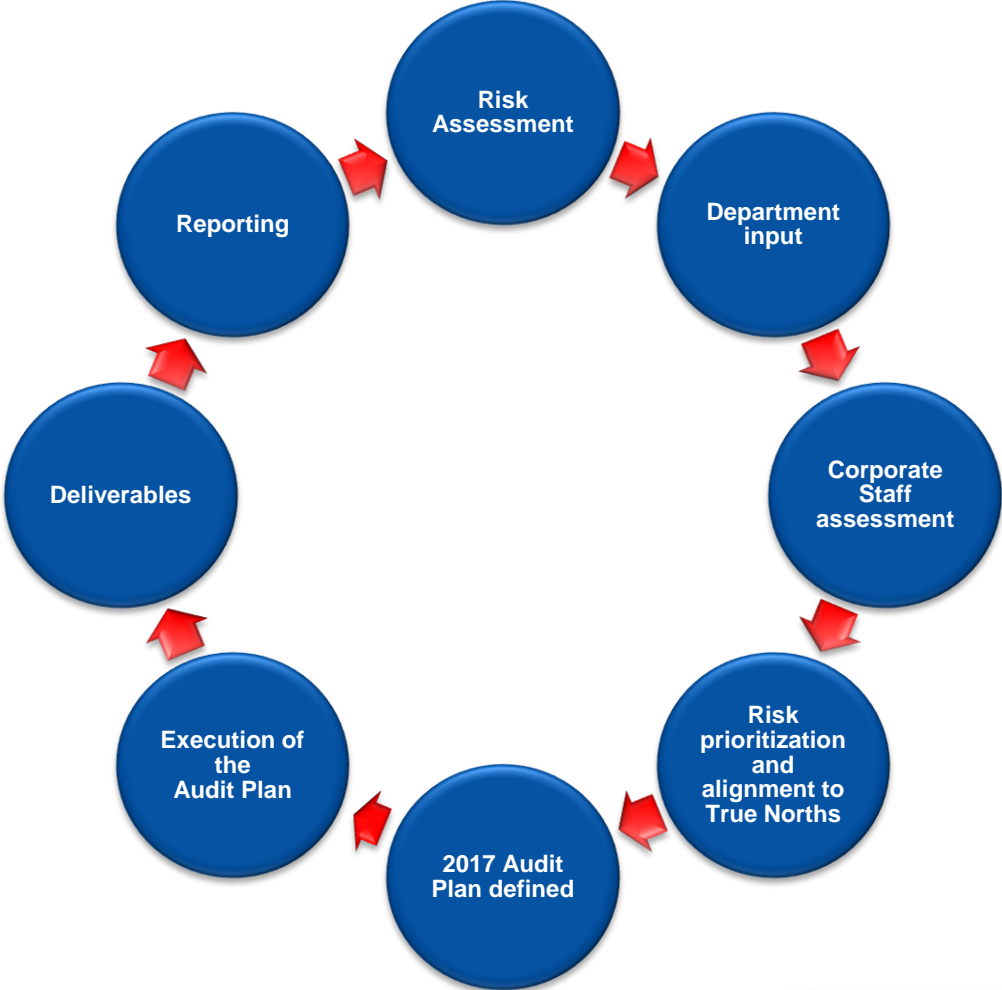
# Internal Audit Mission Statement

The mission of Internal Audit is to improve UTA's operations and systems of internal controls and add value through independent, objective assurance, and consultative support. Internal Audit helps UTA accomplish its objectives through a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

# Internal Audit Responsibilities

- The scope of audit coverage is agency-wide including all departments and business units of UTA
- Provide independent and objective assessments of the following to the Board of Trustees and UTA leadership:
  - The design and operational effectiveness of UTA's internal control environment in areas that present the greatest risk to the achievement of UTA goals
  - Compliance with select regulations and contractual obligations
  - Organizational and operational performance

# Internal Audit Plan Development





# Internal Audit Plan Development

- Risk assessment completed
  - Business unit and department risk assessments – November 18
  - UTA risk assessment – December 6
- Draft Audit Plan prepared – December 19
- Audit Plan approved by the Chairman of the Board and the President/CEO – January 9