Date: June 5, 2026
To: Peter Jager, State Safety Oversight Program Manager
Cc: Travis King, Director Safety & Security; Audit Committee for the Utah Transit Authority
From: Luke Barber and Johanna Goss, Senior Internal Auditors
Subject: 2026 Light Rail Safety Audit Results

Background

Utah Transit Authority ("UTA") Internal Audit ("IA") annually completes a Light Rail Safety audit required by State Safety Oversight ("SSO"). The audit is listed on the 2026 Audit Plan approved by the UTA Audit Committee on March 9, 2026.

The audit procedures are based on checklists published by the Federal Transit Administration ("FTA") and topics are covered on a three-year rotating basis. The audit results are owned by SSO, who coordinates with UTA Safety management to determine if corrective action plans are needed to address any Findings of Non-compliance or Compliance with Recommendations.

Scope

The 2026 Light Rail Audit was completed by Mike Hurst, Director Internal Audit for UTA, and Johanna Goss, Senior Internal Auditor who both hold the certification Public Transportation Safety Certification Program – Rail certification that is required to be assigned the audit, and the Transit Safety and Security Program – Rail certification, as well as Luke Barber, Senior Internal Auditor who holds the certification Public Transportation Safety Certification Program – Bus certification that is required to be assigned the audit, and the Transit Safety and Security Program – Rail certification.

The audit period of review was January 1, 2025 – December 31, 2025, with information from other periods considered as necessary.

The following TASP topics were covered:

1. TASP Element #1 Authority and policy Statement
2. TASP Element #3 Overview of Management Structure
3. TASP Element #6 Hazardous Materials Program
4. TASP Element #7 Internal Safety Audit/Review Program
5. TASP Element #9 Safety Data Collection and Analysis
6. TASP Element #14 Facilities, Structures, and Equipment Inspections
7. TASP Element #15 Maintenance Audits and Inspection Program
8. TASP Element #18 TASP Implementation Activities and Responsibilities
9. TASP Element #20 Local, State, and Federal Requirements

The following System Security ("SSP") topics were covered:

1. SSP Element #5 Threat and Vulnerability Identification, Assessment and Resolution
2. SSP Element #6 Implementation and Evolution of the System Security Plan (SSP)
3. SSP Element #7 Modification of the SSP

Results

The following summarize each element of the audit, divided into Findings of Non-compliance and Compliance with Recommendations. IA was conservative in judging something Non-compliance. SSO and Management will want to carefully review the language of this report to determine what action plans are appropriate.

1. **TASP Element #1 Authority and policy Statement**

   Findings of Non-compliance:
   No issues that the auditor considers non-compliance.

   Compliance with Recommendations:
   IA found that a number of operations and maintenance personnel were not aware of who the Light Rail Safety Administrator is. IA recommends that the Safety Department identify ways to make the Light Rail staff aware of who the Safety Administrator is through regular contact.

2. **TASP Element #3 Overview of Management Structure**

   Findings of Non-compliance:
   No issues that the auditor considers non-compliance.

   Compliance with Recommendations:
   IA reviewed the TASP noting that there are currently two versions, one adopted in 2024 and a 2026 version awaiting approval from the JLMSC at which point it will be adopted. IA recommends that the 2026 TASP be approved by the JLMSC and adopted.

3. **TASP Element #6 Hazardous Materials Program**

   Findings of Non-compliance:
   No issues that the auditor considers non-compliance.

   Compliance with Recommendations:
   IA discovered that some employees were not confident they knew appropriate measures to cleanup if a chemical were spilled. IA recommends that the Safety Department find ways to make the Light Rail staff aware of where to locate hazardous material information within the UTA SharePoint website.

4. **TASP Element #7 Internal Safety Audit/Review Program**

   Findings of Non-compliance:
   No issues that the auditor considers non-compliance.

   Compliance with Recommendations:
   Auditor has no recommendations.

5. **TASP Element #9 Safety Data Collection and Analysis**

   Findings of Non-compliance:
   No issues that the auditor considers non-compliance.

   Compliance with Recommendations:
   Auditor has no recommendations.

6. **TASP Element #14 Facilities, Structures, and Equipment Inspections**

   Findings of Non-compliance:
   No issues that the auditor considers non-compliance.

   Compliance with Recommendations:
   Auditor observed the electronic OSHA injury/illness log. Management has concerns about the form because there is no centralized list and it does not go to everyone in management. IA recommends that Safety identify ways to make the form readily available to all members of management, and/or create a centralized distribution list.

7. **TASP Element #15 Maintenance Audits and Inspection Program**

   Findings of Non-compliance:
   No issues that the auditor considers non-compliance.

   Compliance with Recommendations:
   Auditor has no recommendations.

8. **TASP Element #18 TASP Implementation Activities and Responsibilities**

   Findings of Non-compliance:
   No issues that the auditor considers non-compliance.

   Compliance with Recommendations:
   Auditor has no recommendations.

9. **TASP Element #20 Local, State, and Federal Requirements**

   Findings of Non-compliance:
   No issues that the auditor considers non-compliance.

   Compliance with Recommendations:
   Auditor has no recommendations.

1. **SSP Element #5 Threat and Vulnerability Identification, Assessment and Resolution**

   Findings of Non-compliance:
   No issues that the auditor considers non-compliance.

   Compliance with Recommendations:
   Auditor has no recommendations.

2. **SSP Element #6 Implementation and Evolution of the System Security Plan (SSP)**

   Findings of Non-compliance:
   No issues that the auditor considers non-compliance.

   Compliance with Recommendations:
   The auditor noted that the SSP could be improved by adding more specific instructions on how to evaluate the severity of issues in determining whether a CAP is necessary and recommends that Security take steps to develop and include these instructions in the SSP.

3. **SSP Element #7 Modification of the SSP**

   Findings of Non-compliance:
   No issues that the auditor considers non-compliance.

   Compliance with Recommendations:
   Auditor has no recommendations.