

**RESOLUTION OF THE BOARD OF TRUSTEES OF THE UTAH TRANSIT  
AUTHORITY ADOPTING AMENDED BOARD POLICIES**

No. R2022-12-07

December 21, 2022

WHEREAS, the Utah Transit Authority (the “Authority”) is a large public transit district organized under the laws of the State of Utah and was created to transact and exercise all of the powers provided for in the Utah Limited Purpose Local Government Entities- Local Districts Act and the Utah Public Transit District Act; and

WHEREAS, the Board of Trustees (the “Board”) adopts policies to provide leadership and governance to the Authority; and

WHEREAS, on September 7, 2022, the Local Advisory Council reviewed the proposed Amended Board Policies attached as Exhibit A: 1.1 – Process for Establishing Board Policies, 1.2 – Ethics, 2.1 – Financial Management, 2.2 – Contract Authority, Procurement and Grants, 3.2 – Service Planning Implementation; 3.3 – Capital Development Project Implementation; and 4.1 – Fares; and

WHEREAS, the Board previously adopted Board Policies 3.1 – Advertising and Naming; 4.2 – Public Records; 5.1 – Transit-Oriented Development; and 5.2 – Real Property, and those policies remain unchanged by this Resolution; and

WHEREAS, the Board wishes to adopt the Amended Board Policies.

NOW, THEREFORE, BE IT RESOLVED by the Board of Trustees of the Utah Transit Authority:

1. That the following amended Board policies attached hereto as Exhibit A are hereby adopted: 1.1 – Process for Establishing Board Policies, 1.2 – Ethics, 2.1 – Financial Management, 2.2 – Contract Authority, Procurement and Grants, 3.2 – Service Planning Implementation; 3.3 – Capital Development Project Implementation; and 4.1 – Fares.
2. That the Board of Trustees formally ratifies actions taken by the Authority, including those taken by the Executive Director, staff, and counsel that are necessary or appropriate to give effect to this Resolution.

3. That the corporate seal be attached hereto.

Approved and adopted this 21st day of December 2022.

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Carlton Christensen, Chair  
Board of Trustees

ATTEST:

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Secretary of the Authority



(Corporate Seal)

Approved As To Form:

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Legal Counsel

Exhibit A  
(Amended Board Policies)

Index of Amended Board Policies – December 2022

- 1.1 Process for Establishing Board Policies
- 1.2 Ethics
- 2.1 Financial Management
- 2.2 Contract Authority, Procurement and Grants
- 3.2 Service Planning Implementation
- 3.3 Capital Development Project Implementation
- 4.1 Fares



## Process For Establishing Board Policies

### Board of Trustees Policy No. 1.1

#### Application: Board of Trustees and Local Advisory Council

- I. Purpose: The purpose of this policy is to establish the process for the adoption of Board policies and for the approval of UTA policies that fall under the responsibility of the Executive Director.
- II. Policy:
  - A. The Board will adopt Board policies pursuant to the following process.
    1. At the Board's request, the Executive Director or designee will draft a proposed policy.
    2. The Executive Director will present the proposed policy to the Board for discussion and direction.
    3. The Executive Director or Board Trustees will consult with the Local Advisory Council regarding the proposed policy.
    4. The Executive Director will present the proposed policy to the Board for final adoption by resolution.
  - B. The Board will review UTA policies pursuant to the following process.
    1. The Executive Director will submit the proposed UTA policy to the Board for review.
    2. The Board will approve the proposed UTA policy in a meeting of the Board of Trustees or direct the Executive Director to make further revisions to the proposed policy.
  - C. Exceptions to UTA Policies.
    1. Effective upon the approval of this policy, exceptions to UTA Policies will be approved by the Board of Trustees at a Board of Trustees meeting.
    2. The Board of Trustees may delegate authority to approve exceptions to UTA policies.
    3. Any UTA policy exception relating to the Executive Director or a chief officer will be approved by the Board.

IV. Cross References: Utah Code §17B-2a-808.1(2)(b) and (t); UTA Policy 1.1.29 Exceptions to UTA Policies.

Approved this 21st day of December 2022

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Carlton Christensen - Chair, Board of Trustees

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Secretary of the Authority

Approved as to form and content:

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Counsel for the Authority

Revision/Review History:

Date of Local Advisory Council Consultation	Board of Trustees Approval (Resolution Number)	Action
06-12-2019	R2019-06-01 (06-19-2019)	Revised and renumbered from Board Policy No. 4.1.3 – Process for Establishing Board Policies to Board Policy 1.1 – Process for Establishing Board Policies.
09-07-2022	R2022-12-07 (12-21-2022)	Clarified process for UTA Policy review at a Board of Trustees meeting.



## Ethics

### Board of Trustees Policy No. 1.2

#### Application: Board of Trustees and Local Advisory Council

- I. Purpose: The individuals comprising the Authority’s Board of Trustees and the Local Advisory Council commit themselves to observe high professional and ethical standards in order to maintain public confidence in the integrity of the Authority. The purpose of this policy is to set forth standards of ethical conduct for Trustees and Members.
  
- II. Definitions:
  - A. *“Conflict of Interest”* means a personal or economic interest, outside employment, outside interest or other circumstance or relationship that impairs the ability to discharge duties in an ethical manner consistent with the best interests of the Authority.
  
  - B. *“Ethics Officer”* means the individual appointed by the Board of Trustees to act in that capacity on behalf of the Authority.
  
  - C. *“Member”* means an individual appointed to the Local Advisory Council.
  
  - D. *“Relative”* means a father, mother, husband, wife, son, daughter, sister, brother, uncle, aunt, nephew, niece, first cousin, grand parent, and grandchild, including in-laws, step relations and relationships through adoption, as well as individuals in a personal relationship of a romantic or intimate nature.
  
  - E. *“Trustee”* means an individual appointed to the Authority’s Board of Trustees.
  
- III. Policy:
  - A. Ethical Standards
    1. Members, Trustees, the Executive Director, Chief Officers, and employees of the Authority will comply with applicable statutory ethical requirements, including those set forth in the Utah Public Officers’ and Employees’ Ethics Act.
    2. Trustees, as employees of the Authority, will also comply with UTA Policy UTA.01.01 – Ethics.
  
  - B. Conflicts of Interest
    1. Members and Trustees will promptly disclose any Conflicts of Interest in writing to the applicable Chair and to the Authority’s Ethics Officer.
    2. The Ethics Officer will notify the appointing jurisdiction of a Member or Trustee in writing of any Conflicts of Interest disclosed or identified.

3. In the event a Member or Trustee becomes aware of a Conflict of Interest during or immediately prior to a Board of Trustees meeting or Advisory Council meeting, the Member or Trustee will verbally disclose the Conflict of Interest. The disclosure will be reflected in the meeting minutes.
4. A Member or Trustee having a Conflict of Interest will recuse himself or herself from deliberations and votes related to the Conflict of Interest and leave the meeting for the duration of that issue being discussed
5. If a Member or Trustee discloses a Conflict of Interest on an issue being considered and does not voluntarily recuse himself or herself, the Board of Trustees or Advisory Council, as applicable, may, by simple majority vote to:
  - a. Determine if the Member or Trustee with the Conflict of Interest will be recused from voting on the particular issue;
  - b. Determine if the Member or Trustee with the Conflict of Interest will participate in a discussion on the particular issue;
  - c. Determine if the Member or Trustee with the Conflict of Interest will leave the meeting room during discussions on the particular issue; or
  - d. Determine other conditions or actions as appropriate.
6. A Member or Trustee's ownership of investment property within a 0.5 mile radius, as the crow flies, from any FrontRunner, TRAX station, or transit-oriented development will be considered to be a Conflict of Interest requiring disclosure. The ownership of investment property within a 0.5 mile radius of a bus stop is not considered to be a Conflict of Interest.

C. Nepotism

1. The Authority will not hire Relatives of current Trustees and Members.
2. If a Trustee or Member is appointed and has a Relative who currently works for the Authority, the Trustee and Member will disclose the relationship to their appointing authority and take steps to mitigate any Conflict of Interest following their appointment. If the Trustee or Member fails to mitigate the Conflict of Interest regarding the Relative, the Board of Trustees or the Local Advisory Council may take any of the actions described in Section B(5).

D. Code of Conduct

1. As set forth in the Authority's Bylaws, Members and Trustees will complete and submit an Annual Certification of Code of Conduct prior to being seated and at least annually thereafter on October 31. If October 31 falls on a Saturday or Sunday, the Code of Conduct will be due on the Monday following October 31.
2. The Ethics Officer, in consultation with the Director of Board Governance and Legal Counsel, will revise the Annual Certification of Board Member Code of Conduct as needed.

E. Financial Disclosure Report

1. As set forth in the Authority's Bylaws, Members and Trustees will complete and submit a Financial Disclosure Report prior to being seated and at least annually thereafter on October 31. If October 31 falls on a Saturday or Sunday, the Financial Disclosure Report will be due on the Monday following October 31.

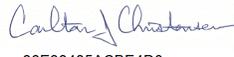
2. Members and Trustees will submit a revised Financial Report within ten business days if there is a material change in the information previously disclosed in the most recently completed Financial Report.
3. The Ethics Officer and Legal Counsel will review Financial Disclosure Reports for Conflicts of Interest. If Conflicts of Interest have been disclosed, the Ethics Officer and Director of Board Governance will attempt to resolve them with the Member or Trustee. If the issue cannot be resolved, the Ethics Officer will submit the disclosure to the Chair of the Board of Trustees and the Chair of the Local Advisory Council. If the issue involves the Chair of the Board of Trustees or the Chair of the Local Advisory Council, the Ethics Officer will submit the disclosure to the Audit Committee.
4. The Ethics Officer will notify the appointing jurisdiction of a Member or Trustee in writing of any Conflicts of Interest disclosed in the Financial Disclosure Report.
5. Financial Disclosure Reports will be classified as public records under the Government Records Access and Management Act.
6. The Authority's Ethics Officer, in consultation with the Director of Board Governance and Legal Counsel, will revise the Financial Disclosure Report as needed.

F. Ethics Complaints

1. Ethics complaints alleging violations of the Utah Public Officers' and Employees' Ethics Act against Trustees, Members, the Executive Director, Chief Officers, and employees will be referred to the Political Subdivision Ethics Review Commission for resolution.
2. Ethics complaints involving Trustees, Members, the Executive Director, Chief Officers, and employees that do not allege violations of the Utah Public Officers' and Employees' Ethics Act or do not meet the requirements for a complaint under the standards of the Political Subdivision Ethics Review Commission will be investigated by the Ethics Officer or an independent investigator appointed by the Ethics Officer, if necessary. The Ethics Officer will submit written findings of investigations involving Trustees and Members to the Chair of the Board of Trustees and the Chair of the Local Advisory Council. If the investigation involves the Chair of the Board of Trustees or the Chair of the Local Advisory Council, the Ethics Officer will submit the written findings of the investigation to the Audit Committee. The Executive Director will designate an investigator to investigate ethics complaints against the Ethics Officer.
3. Following the receipt of written findings of an ethics investigation from the Ethics Officer or the Political Subdivision Ethics Review Commission, the Local Advisory Council or the Board of Trustees may consider the adoption of a resolution of public censure and/or a resolution recommending the removal of a Member or Trustee as determined by a majority vote at a regularly scheduled meeting. If a resolution is adopted, a copy will be forwarded to the appropriate appointing authority.

- IV. Cross References: Utah Public Officers' and Employees' Ethics Act, Utah Code §67-16-101; Political Subdivisions Ethics Review Commission Utah Code §63A-15-103; UTA Policy UTA.01.01 - Ethics.

Approved this 21st day of December 2022

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 Carlton Christensen - Chair, Board of Trustees

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 Secretary of the Authority

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 Counsel for the Authority

Revision/Review History:

Date of Local Advisory Council Consultation	Board of Trustees Approval (Resolution Number)	Action
06-12-2019	R2019-06-01 (06-19-2019)	Combined Board Policy Nos. 4.1.13 – Nepotism, 4.1.10 – Annual Certification of Board Member Code of Conduct, 2.1.9 – Financial Disclosure/Conflict of Interest, 4.4.1 – Actual and Potential Conflicts of Interest, and 4.4.7 – Ethics Review Commission into Board Policy 1.2 – Ethics.
09-07-2022	R2022-12-07 (12-21-2022)	Updated cross references and roles for key staff and counsel.



## Financial Management

### Board of Trustees Policy No. 2.1

#### Application: Board of Trustees and Local Advisory Board

- I. Purpose: The purpose of this policy is to provide financial oversight of the Authority; plan for its long-term financial needs; maintain and protect Authority assets and infrastructure; and develop, communicate, and implement appropriate internal controls regarding financial and risk management.
  
- II. Policy:
  - A. Reserves
    1. The Authority will maintain the following reserves:
      - a. General operating reserves, including the risk reserve, funded at a level equal to at least twelve percent (12%) of the Authority's budgeted operating expense, excluding non-operating expense, to be used as a working capital account throughout the year. The Treasurer will manage the use of the funds in the general operating reserve.
      - b. Service stabilization reserve funded at a level equal to three percent (3%) of the Authority's budgeted operating expense, excluding non-operating expense, to be used to avoid service reductions at such times as the Authority faces a revenue shortfall or cost overrun due to extraordinary circumstances. The Board of Trustees must give its prior approval before funds in the service stabilization reserve are used.
      - c. Bond reserves funded at a level required by bond covenants to be used for the payment of debt service in the event that the Authority fails to make scheduled bond principal and interest payments. The Board of Trustees must give its prior approval before funds in the bond reserve are used.
      - d. Capital replacement reserve to reach a level equal to one percent (1%) of the property, facilities, and equipment cost as reported in the comprehensive annual financial report to be used for capital repair or replacement costs due to extraordinary circumstances. The Board of Trustees must give its prior approval before funds in the capital replacement reserve are used.
      - e. Self-insurance/catastrophic reserve established annually through the budget process to reflect claims outstanding from risk management and estimable and presumed liability on open legal cases in coordination with the Attorney General's office. The amount in this reserve is reported to the Department of Public Safety annually. An element of

the reserve will fund a catastrophic loss reserve for vanpool claims over existing insurance coverage. The funding of the catastrophic loss reserve may be funded by vanpool fees to mitigate large claims.

- f. Debt reduction reserve fund for the purpose of retiring outstanding bonds or long-term obligations, with advance approval by the Board of Trustees, may be used to supplement the general operating reserve.
2. The Board of Trustees may establish other reserves and make additional contributions to existing reserves.
3. Reserve balances will be reported on the Authority's monthly financial statements.
4. Upon the use of any service stabilization, bond or capital replacement reserves, or debt reduction reserve the Board of Trustees will, by resolution, establish a timeline for the full reimbursement of the reserves within 60 months after their first use and begin to restore reserves used no later than 24 months after their first use.

#### B. Investments

1. The Board of Trustees will, after consultation with the Advisory Council, control investment of all Authority funds and funds held as part of the Authority's retirement system, and employee deferred compensation 457 plans.
2. The Authority's Pension Committee will manage the investment of the Authority's retirement system funds pursuant to the Pension Committee's Investment Policy, which shall be reviewed and approved by the Board of Trustees prior to adoption.
3. The Treasurer will manage the investment of all non-retirement Authority funds in compliance with applicable laws.

#### C. Debt

1. The Board of Trustees will, after consultation with the Advisory Council and with the approval of the State Financial Review Commission, approve all bond issuances.
2. The Board of Trustees will approve contracts for bond counsel, financial advisors, and bond underwriters.
3. The Board of Trustees will approve the method of sale and parameters for each bond issuance.
4. The Board of Trustees will, after consultation with the Advisory Council, approve the issuance of all other financial instruments.
5. The Executive Director will manage the debt and other financial instruments issuance processes.

D. Financial Reporting

1. UTA's books and accounts will be maintained with generally accepted accounting principles set by the Governmental Accounting Standards Board for governmental enterprise funds.
2. The Chief Financial Officer will prepare and present to the Board a summary of investments, investment activity, and investment performance compared to benchmarks as soon as practical after the end of each calendar quarter.
3. The Chief Financial Officer will present monthly financial statements stating the Authority's financial position, revenues, and expenses to the Board of Trustees as soon as practical. Monthly and year-to-date budget versus actual reports will be included in the monthly financial report to the Board.
4. Other required financial reports, including the National Transit Database and State Transparency, will be prepared in accordance with federal and state reporting requirements and made on a timely basis.

E. Risk Management

1. The Executive Director will submit an annual report to the Board of Trustees on the status of the Authority's risk management program.
2. The Authority will maintain Public Officials Errors and Omissions Insurance in an amount determined to adequately protect the Authority.
3. The Executive Director will, as necessary, procure other insurance to compensate for losses that would adversely affect the Authority.

F. Internal and External Controls

1. The Authority will maintain a system of internal controls to safeguard its assets against loss, check the accuracy and reliability of its accounting data, and promote operational efficiency.
2. The Director of Internal Auditor will develop an internal audit program that complies with the International Standards for the Professional Practice of Internal Auditing.
3. The Treasurer is responsible for the opening and closing of bank accounts and ensuring that only authorized users are provided access to bank accounts.
4. As provided for in the Authority's Bylaws, the Board of Trustees will select a qualified independent auditing firm to conduct an annual financial audit. The auditing firm will present the results of its annual audit to the Authority's Audit Committee and the Board of Trustees.

G. Long-term Financial Planning

1. The Executive Director will develop a long-term (5 years or longer) financial plan incorporating the Board of Trustees' strategic plan, identifying the Authority's long-term financial challenges and proposed solutions based upon reasonable projections of revenue and expense including operations and maintenance, reasonably anticipated new funding programs, capital expansion, maintenance of a state of good repair of existing assets, asset replacement, and debt issuance. The Executive Director will update the long-term financial plan three times a year.
2. The Board of Trustees will review the long-term financial plan annually and report it to the State Bonding Commission.

H. Budgeting

1. As provided for in the Authority's Bylaws, the Authority will prepare an annual budget and the Board of Trustees, after consultation with the Advisory Council, will approve the budget.
2. The Board of Trustees may amend or supplement the budget at any time after its adoption.
3. The Executive Director may make administrative adjustments to an adopted budget without Board of Trustee approval as long as those changes will not have a significant policy impact or affect budgeted year-end fund balances.

I. Capital

1. The Executive Director will develop a Five-Year Capital Plan to be approved by the Board of Trustees annually after consultation with the Local Advisory Council where they approve and recommended adoption by the Board of Trustees. The plan will be updated every year for inclusion in the annual budget process discussions and approvals. The Five-Year Capital Plan will be fiscally constrained and will maintain all assets at a state of good repair to protect the Authority's capital investment and minimize future maintenance and replacement costs.

J. Travel

1. The Board of Trustees will approve work-related international travel for the Authority's employees in a public meeting.

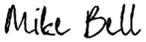
III. Cross Reference: Utah Public District Transit Act, Utah Code §17B-2a-804 and 808.1; Utah State Money Management Act, Utah Code §51-7-1 et. seq.; Audit Committee Charter.

Approved this 21st day of December 2022

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 Carlton Christensen - Chair, Board of Trustees

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 Secretary of the Authority

Approved as to form and content:

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 Counsel for the Authority

Revision/Review History:

Date of Local Advisory Council Consultation	Board of Trustees Approval (Resolution Number)	Action
6-12-2019	R2019-06-01 (6-19-2019)	Combined Board Policy Nos. 1.26 – Debt Service Reserve and Rate Stabilization Fund, 2.1.8 – Service Stabilization Fund, 2.2.1 – Asset Protection, 2.2.3 – Insurance and Indemnification, 2.3.2 – Financial Conditions and Activities, and 2.3.3 - Budgeting into Board Policy 2.1 – Financial Management.
09-07-2022	R2022-12-07 (12-21-2022)	Added Self-insurance/catastrophic reserve and Debt reduction reserve; moved Grants section to Board Policy 2.2; removed Pension Committee from managing the investments of 457 plan (retaining oversight by the Board); updated 2022 statutory changes for State Financial Review Commission functions; clarified role of Advisory Council in approving and recommending Five-Year Capital Plan to the Board for adoption.



## Contract Authority, Procurement and Grants

Board of Trustees Policy No. 2.2

Application: Board of Trustees and Local Advisory Council

I. Purpose: The purpose of this policy is to establish the authority, duties, and responsibilities of the Board of Trustees and Chief Procurement Officer related to the Authority's procurement activities. It also establishes contracts, change orders, and disbursements that must be approved by the Board of Trustees.

II. Definitions:

A. *"Chief Procurement Officer"* means the individual designated by the Board to oversee the Authority's procurement related activity.

B. *"Former Employee"* means a company regardless of the business formation (e.g. sole proprietorship, partnership or corporation) where at least 50% of the ownership is held by a former employee; or a company where a former employee serves in an executive or managerial role

III. Policy:

A. Delegation of Authority

1. The Board of Trustees designates the Chief Financial Officer as the Authority's Chief Procurement Officer.
2. The Chief Procurement Officer will establish policies and procedures to ensure the Authority's procurements are carried out in compliance with applicable state and federal laws and the Authority's policies.
3. The Chief Procurement Officer will establish a Code of Conduct to govern the actions and performance of all Authority employees and designated agents of the Authority engaged in procurement activities.

B. Procurement Protest Appeals

1. The Chief Procurement Officer will review and decide procurement protests submitted by vendors.
2. An appeal of the Chief Procurement Officer's decision on a procurement protest must be submitted in writing to the Board of Trustees within five business days following the date of the decision.
3. The Board of Trustees will review the appeal and the decision of the Chief Procurement Officer, hear information from the appellant and the Chief Procurement Officer, and issue a final determination in writing to the Chief Procurement Officer and the appellant.

C. Former Employees

1. The Authority may procure goods and services from former employees after one year of separation. The Authority may procure goods and services from former employees within the first year of separation under the following conditions:
  - a. There is no personal or organizational conflict of interest
  - b. The term of the contract does not exceed six months
  - c. The amount obligated does not exceed \$25,000
  - d. The procurement conforms to applicable laws
  - e. The Executive Director provides written notification to the Board of Trustees in advance.
2. The Board of Trustees must approve procurement of any goods or services with entities that hire former employees or who are represented by former employees within the twelve months following the employee's separation from UTA if the situation creates a Conflict of Interest as determined by the Chief Procurement Officer.

D. Contract, Change Order, and Disbursement Authority

1. The Board of Trustees will review and approve contracts that exceed a total value of \$200,000 over the life of the contract, including any option years.
2. The Board of Trustees will review and approve the following contract change-orders:
  - a. change orders that increase the total contract value to \$200,000 or more
  - b. change orders for contracts with a total value over \$200,000 that increase the total contract by 15% or more
  - c. all change orders over \$200,000
3. The Board of Trustees will review and approve payment disbursements with a value of \$200,000 or more. The Board may preapprove disbursements equal to or great than \$200,000 by resolution.
4. The Executive Director may approve change orders, contracts, and disbursements described above in order to meet an urgent need for goods and services prior to approval by the Board of Trustees if the Authority will sustain serious injury if the change order, contract, or disbursement is not approved immediately. The Executive Director will report the approval of any change order, contract, or disbursement resulting from an urgent need to the Board of Trustees at its next scheduled meeting.

E. Grants

1. The allocation of anticipated federal formula fund grants will be determined during the annual budget process and approved by the Board of Trustees in its annual operating and capital budget.
2. Any discretionary grant pursued by the Authority will be consistent with the Authority's mission and strategic priorities.

- a. The Executive Director will notify the Board of Trustees if a discretionary grant of \$200,000 or more is being sought.
- b. A discretionary grant award of \$200,000 or more will be presented to the UTA Board for approval at the time of the notice of award.
- c. A discretionary grant project must be approved in the agency budget prior to the Board's approval defined in paragraph III(E)(2)(b) above.
- d. The Executive Director, after receiving the Board's approval defined in paragraph III(E)(2)(b) above will be authorized to execute the grant agreement.

IV. Cross References: Utah Public Transit District Act, , Utah Code §17B-2a-804; Utah Procurement Code§63G-6a-101 et .seq. ; UTA Policy UTA.01.01 – Ethics; UTA Policy UTA.02.02 Contracting Authority; UTA Policy UTA.02.25 Procurement; UTA Policy UTA.02.01 Spending Authority; UTA Corporate Policies 1.2.2 – Technology Hardware and Software Procurement Policy; Corporate Policy 1.2.3 – Purchase Card Policy; Corporate Policy 1.2.4 – Health Insurance Requirements in UTA Design and Construction Contracts; Corporate Policy 1.1.7 – Procurement and Contracting Code of Conduct; Corporate Policy 1.2.2 – UTA Procurement Desk Reference; FTA Master Agreement v30-2022-1102.0; FTA Third Party Contracting Circular 4220.1F, Board Resolution R2020-01-03 Authorizing the Filing of Grant Applications with the FTA.

Approved this 21st day of December 2022

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Carlton Christensen - Chair, Board of Trustees

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Secretary of the Authority

Approved as to form and content:

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COUNSEL FOR THE AUTHORITY

Revision/Review History:

Date of Local Advisory Council Consultation	Board of Trustees Approval (Resolution Number)	Action
06-12-2019	R2019-06-01 (06-19-2019)	Combined Board Policy Nos. 1.2.4 – Procurement, 2.1.5 – Procurement, 3.3.2 – Procurement, and 4.5.1 – Procurement Appeal into Board Policy 2.2 – Contract Authority and Procurement.
09-07-2022	R2022-12-07 (12-21-2022)	Added definition of “Former Employee”; added Grants section.



## Service Planning Implementation

Board of Trustees Policy No. 3.2

Application: Board of Trustees and Local Advisory Council

- I. Purpose: The purpose of this policy is to establish a uniform process for planning, implementing, and managing the Authority's transit service planning to ensure transparency and collaboration with communities, regional partners, and stakeholders.
- II. Definitions:
  - A. *"Transit Service Planning"* means the act of identifying, evaluating and implementing public transit services on all modes including bus, demand-response, paratransit and rail.
  - B. *"Change Day"* means the three regularly scheduled dates in April, August and December of each year, at which time the Authority implements changes in transit service.
  - C. *"Metropolitan Planning Organization"* ("MPO") means an organization designated to carry out the metropolitan transportation planning process.
- III. Policy: The approval and implementation of the Authority's Service Planning process will proceed as described below and on Exhibit A.
  - A. Regional Transportation Plans ("RTPs")
    1. RTPs are the plans developed by each of the Wasatch Front MPOs (Wasatch Front Regional Council and Mountainland Association of Governments) that set the direction and long-term vision for the Wasatch Front's transportation system, in coordination with future growth assumptions. Their primary purpose is to phase the implementation of major transportation investments and to guide federal funding priorities.
    2. The RTPs are developed through collaborative processes with input from state, regional, and local leaders. The Authority will participate in the development of the RTPs by identifying transit needs and providing technical expertise and scenario planning tools.
    3. The RTPs include major roadway, transit, and active transportation projects. Transit projects identified in the RTPs include both rail-based (commuter, light rail) and significant bus enhancements (bus rapid transit, core route). The RTPs do not include local bus, demand-response transit, or paratransit modes, although ongoing funding of capital and operating expenses of these services is assumed and accounted for in the RTP as programmatic elements.

4. Projects in the RTPs are categorized into funding phases and anticipated timelines. The RTPs rely on assumed new revenues that create a fiscal constraint of what projects can be implemented in each phase. If a project is in the first phase of an RTP, the Authority will begin working with stakeholders to further evaluate and determine whether the project should move towards funding and implementation.
5. The RTPs are updated every four years and approval authority resides with the MPO technical and policy committees.

B. Five-Year Service Plan

1. The Authority will collaborate with counties and local municipalities on a two-year cycle to prepare and update a Five-Year Service Plan.
2. The Five-Year Service Plan will serve as a rolling, annual work plan that guides the Authority's service planning decisions.
3. The Five-Year Service Plan will include all modes within the Authority's portfolio, as well as active transportation initiatives, and will be financially constrained by available funding levels or planned use of committed new revenues.
4. During the Five-Year Service Plan phase, the Authority will facilitate a collaborative process in which the counties, local municipalities, and members of the community participate in workshops to establish transit service goals, explore various service network design scenarios, and coalesce around a vision for the Authority's service. This direction will be captured and presented in a Draft Five-Year Service Plan.
5. The Authority will conduct a second round of outreach to solicit community feedback on the draft Five-Year Service Plan. This step will include consultation with each County within the Authority's service area.
6. Feedback received on the draft Five-Year Service Plan will be considered and incorporated, as appropriate, into a final Five-Year Service Plan.
7. The Authority's Local Advisory Council will review the Five-Year Service Plan and make a recommendation to the Board of Trustees for approval of the Plan with any suggested revisions.
8. Final approval authority of the Five-Year Service Plan lies with the Authority's Board of Trustees.

C. Annual Service Changes

1. The Authority will review the Five-Year Service Plan annually to develop implementation plans for changes to its service.

2. Prior to moving forward with any recommended service changes, the Authority will consult with any affected local governments to discuss the Five-Year Service Plan and the associated implementation measures being considered. If substantial concerns or questions are raised, the recommended service changes will be postponed and reconsidered in the next update to the Five-Year Service Plan.
  3. The Authority will conduct a public hearing on any major service changes in compliance with its policies and federal requirements. If substantial concerns are raised during this phase, the proposed service changes may be modified to address the concerns or may be postponed and reconsidered in the next update to the Five-Year Service Plan.
  4. The Authority will conduct a Title VI Service and Fare Equity analysis in compliance with its policies and federal requirements to determine if the proposed service changes pose disproportionate impacts to protected classes. The Board of Trustees will approve the Title VI analysis and determine if the implementation of the proposed service changes should proceed.
  5. If no substantial concerns are raised, the Authority will proceed with a comprehensive production process which includes schedule creation, bus and operator assignments, run-cutting and compliance with collective bargaining agreements, marketing and promotions, bus stop and on-street changes, printed and electronic information.
- D. Service Implementation. Transit service implementation occurs at the designated service Change Days. These Change Days occur three times per year: in April, August, and December. The April and December Change Days are reserved for seasonal ski service. The August Change Day is targeted for all other changes to timing, routing, as well as addition or reductions of service as outlined in the Five-Year Service Plan.
- E. Comprehensive System Analysis
1. The Authority will conduct a comprehensive analysis of the entire service network associated with each update to the Five-Year Service Plan. This includes evaluation of existing services against the Authority's established Service Design Guidelines to determine if a service is meeting minimum performance thresholds.
  2. At the conclusion of this analysis, the Authority will determine whether a service not meeting minimum standards should be modified, discontinued, or receive additional marketing promotion. Similarly, services meeting or exceeding performance standards will be evaluated to determine if they warrant additional resources, frequency, or span.
  3. Recommendations from the Comprehensive System Analysis will be incorporated into the next update to the Five-Year Service Plan.

- IV. Cross References: Utah Public Transit District Act 17B-2a-804, 808.1, and 808.2; Civil Rights Act of 1964, 42 United States Code § 2000d Title VI; Title VI Requirements and Guidelines for Federal Transit Administration Recipients, FTA C 4702.1B.

Approved this 21st day of December 2022

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 Carlton Christensen - Chair, Board of Trustees

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 Secretary of the Authority

Approved as to form and content:

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 Counsel for the Authority

Revision/Review History:

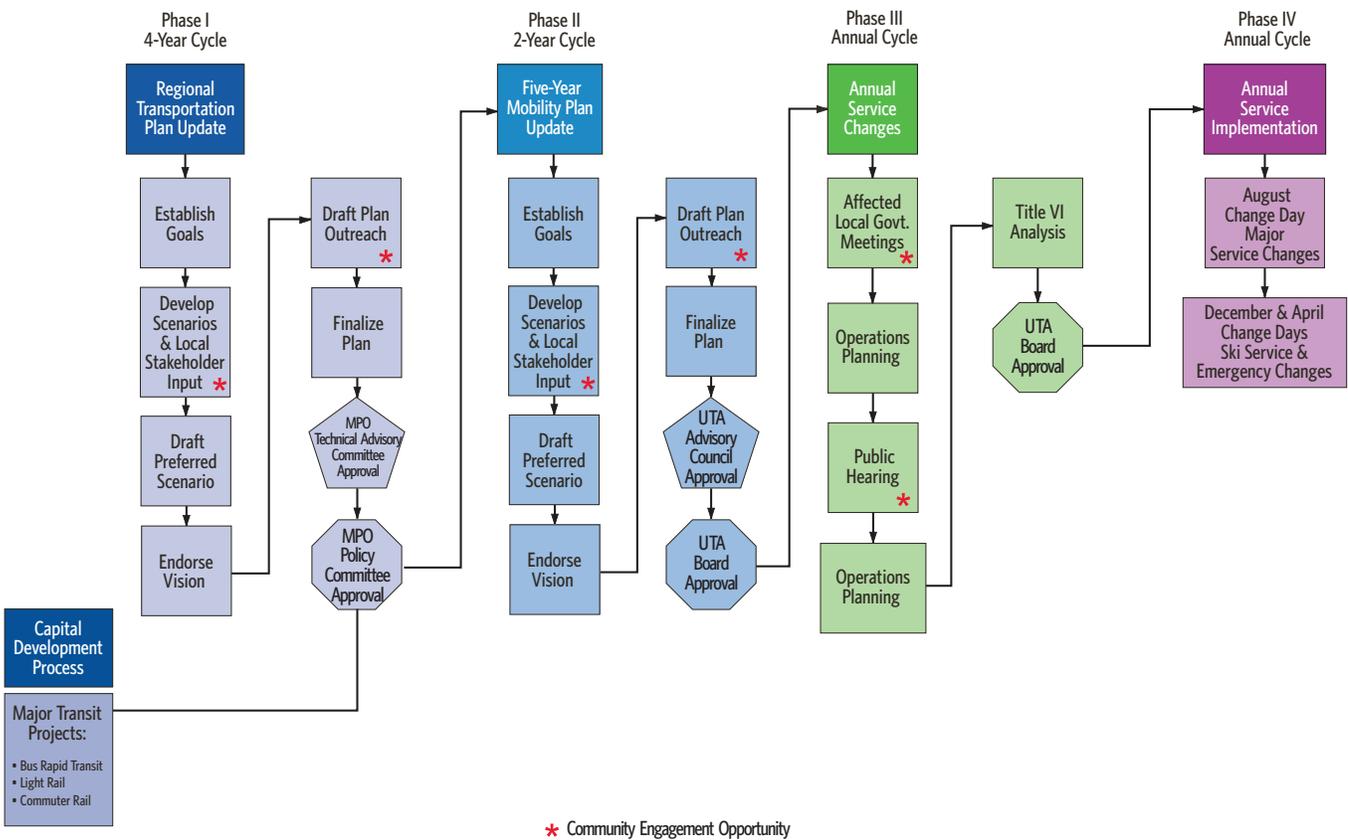
Date of Local Advisory Council Consultation	Board of Trustees Approval (Resolution Number)	Action
02-20-2019	R2019-02-03	Revised to reflect process changed, renamed, and renumbered from Executive Limitations Policy No. 2.1.4 – Changes to Levels of Service and Routing to Executive Limitations Policy No. 1.4.2 – Service Planning Implementation.
06-12-2019	R2019-06-01	Renumbered and renamed from Executive Limitations Policy No. 1.4.2 – Service Planning Implementation to Board Policy No. 3.2 – Service Planning Implementation; reformatted and revised to reflect name change from Local Advisory Board to Local Advisory Council.
09-07-2022	R2022-12-07 (12-21-2022)	Revised naming of Five-Year Plan from Mobility Plan to Service Plan.

Exhibit A

UTA Service Planning and Implementation Process

## UTA Service Planning and Implementation Process

### Strategic Planning    Service Planning    Operations Planning    Implementation





## Capital Development Project Implementation

Board of Trustees Policy No. 3.3

Application: Board of Trustees and Local Advisory Council

- I. Purpose: This policy establishes how Capital Development projects are advanced from the planning study phase through development and implementation. It also establishes the process by which the Local Advisory Council and the Board of Trustees approve Capital Development projects.
  
- II. Definitions:
  - A. *“Capital Development Project”* means a project that creates new assets that:
    1. Expand transit service through construction of new or extended rail lines or bus rapid transit systems (including associated acquisition of new revenue service vehicles) (*“Transit Corridor Project”*); or
    2. Involve the construction of new or replacement transit-related facilities that include structures (e.g. maintenance facilities, pedestrian bridges, parking structures, stations, etc.) or other major infrastructure components (intermodal centers, bus hubs, etc) (*“Transit Facilities Project”*); and
    3. Are not transit-oriented development projects.
    4. For purposes of this policy, Capital Development Projects do not apply to ongoing maintenance, state of good repair, safety and security, or information technology projects, unless those projects fit into the definition of Capital Development Projects.
  
  - B. *“Capital Project Plan”* means a plan for a Transit Corridor Project that includes the following information: project overview, purpose and needs, ridership and benefits, initial cost estimates, and funding potential.
  
- III. Policy:
  - A. The planning, construction, and approval of the Authority’s Transit Corridor Projects will proceed as described below and on Exhibit A.
    1. Systems Planning.
      - a. During the systems planning process, the Authority considers the long-range regional transportation plans developed by the Metropolitan Planning Organizations (MPOs), local master plans and transportation plans, community

needs, and community support for potential capital projects. This visioning effort leads to the identification of specific projects to be studied further.

2. Project Study

- a. During the project study phase, the Authority identifies the purpose of a project and assesses the need for and the benefits of a project. The Authority also evaluates initial cost estimates and funding potential and develops a proposed Capital Project description.
- b. The Authority will present the proposed Transit Corridor Project description to the Local Advisory Council and the Board of Trustees for informational purposes as it advances to the development phase.

3. Environmental Analysis.

- a. After a proposed Transit Corridor Project moves to the development phase, the Authority begins the environmental analysis and conceptual engineering for the project. The environmental process identifies a preferred alternative, including alignment and mode and/or site selection. Capital, operating and maintenance cost estimates are also refined and developed. Public and stakeholder involvement will occur throughout the environmental analysis phase.
- b. Once affected MPO(s) approve the locally-preferred alternative (LPA) for the project and presentations are made to affected City Councils, a Capital Project Plan will be prepared.
- c. The Capital Project Plan will include the LPA, the project's impacts, benefits, costs, and a funding plan that identifies local funding partners, grant opportunities, and other funding sources. The Capital Project Plan, along with comments received from affected partners, will be presented to the UTA Local Advisory Council for its approval and recommendation for adoption by the Board of Trustees. The Capital Project Plan will then advance to the UTA Board of Trustees for its final approval and adoption, and to the federal funding agency if federal funding is being sought.

4. Funding.

- a. Any funding agreements between local partners will be approved by the UTA Board of Trustees. Applicable grant applications will be initiated at this time.

5. Procurement.

- a. After funding is secured, the Authority may begin procurement efforts, select project designers and contractors, and initiate the purchase of vehicles and equipment.



Revision/Review History:

Date of Local Advisory Council Consultation	Board of Trustees Approval (Resolution Number)	Action
02-20-2019	R2019-02-04	Revised, renamed, and renumbered from Ends Policy No. 1.4.2 – Planning, Designing, Funding and Construction of Transportation Infrastructure and Services to Policy 1.4.2 – Capital Development Project Implementation.
06-12-2019	R2019-06-01	Reformatted, renumbered to Board Policy 3.3, and revised to reflect name change from Local Advisory Board to Local Advisory Council.
09-07-2022	R2022-12-07 (12-21-2022)	Clarification added on definitions and processes for Capital Project Plans and Transit Corridor Projects; added correlation to Five-Year Capital Plan defined in Board Policy 2.1 Financial Management.

Exhibit A

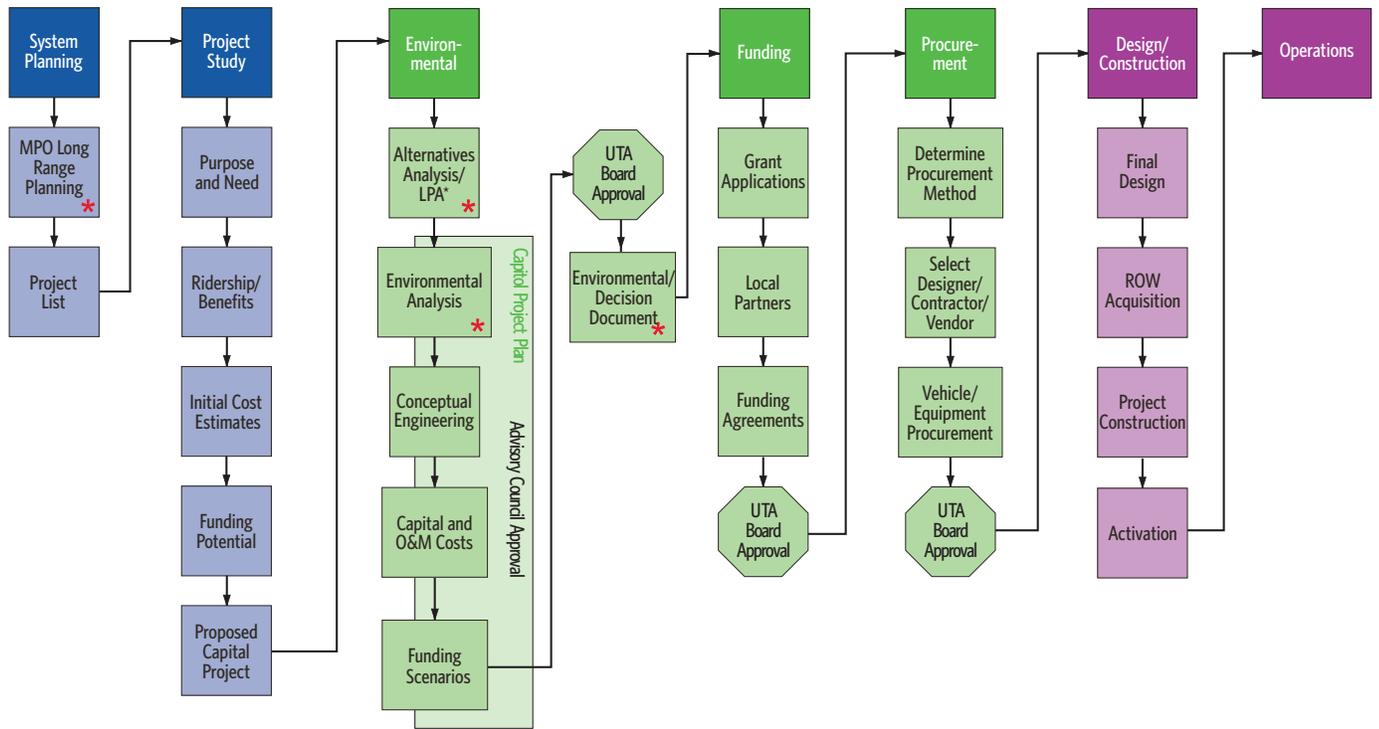
Capital Development / Transit Corridor Project Implementation Process

# UTA Capital Development / Transit Corridor Project Implementation Process

## Planning

## Development

## Implementation



\* Community Engagement Opportunity  
\*LPA = Locally Preferred Alternative



## Fares

### Board of Trustees Policy No. 4.1

#### Application: Board of Trustees

I. Purpose: The purpose of this policy is to establish and maintain an effective fare system for the Authority.

II. Definitions:

*“Charter Service”* is transportation provided by the Authority at the request of a third party for the exclusive use of a bus or van for a negotiated price.

*“Complimentary Passes”* are free passes granting access to the Authority’s transportation services.

*“Complimentary Service”* is free transportation service provided by the Authority for which no fares or operation costs are collected.

*“Sponsored Fare”* means transportation fares paid for in part or in full by a third party for service that is not Charter Service.

*“Sponsored Service”* means transportation service paid in part or in full by a third party for service that is not Charter Service.

III. Policy:

A. The Board of Trustees will evaluate and establish the Authority’s base fare rates in compliance with federal and state requirements.

B. The Executive Director will present the following to the Board of Trustees for approval:

1. Special fare rates including pilot programs, promotions, bulk fare purchases, period pass fare products, specially priced programs and products, and pre-paid fare products
2. Discounts to base fare rates
3. Market segments or groups that are exempt from fare payment
4. Adoption of new fare media and modifications to existing fare media
5. Requests for Charter Service
6. Requests for Sponsored Fare
7. Requests for Sponsored Service
8. Requests for Complimentary Service
9. Requests for complimentary passes that exceed \$5,000
10. Requests to authorize lifetime transit passes to individual(s) will be approved by the Board of Trustees by resolution

- C. The Executive Director will provide notice to the Board of Trustees of the following:
  - 1. The status of Education Pass negotiations with public colleges and universities
  - 2. The status of negotiations for bulk pass purchases over \$200,000
  - 3. Fare suspensions or reductions resulting from a declared emergency
- D. The Board of Trustees may delegate approval authority under this Policy to a designee.

IV. Cross References: Urbanized Area Formula Grants, 49 United States Code §5307; Americans with Disabilities Act, 42 United States Code §12101 et seq.; Charter Service 49 CFR Part 604; Environmental Justice Guidance, FTA Circular 4703.1; Fare Equity Analysis, FTA Circular 4702.1B; Public Transit District Act, Utah Code § 17B- 2a-808.1; UTA Policy UTA.02.03 – Fares; UTA Corporate Policy 4.2.1 – Emergency and Disaster Preparedness; UTA R2020-01-04 Complimentary Service.

Approved this 21st day of December 2022

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Carlton Christensen - Chair, Board of Trustees

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Secretary of the Authority

Approved as to form and content:

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Counsel for the Authority

Revision/Review History:

Local Advisory Council Review	Board of Trustees Approval (Resolution Number)	Action
07-17-2019	R2019-07-03 (07-31-2019)	Revised and adopted new Board Fare Policy and rescinded the following Board Policies: Executive Limitations Policy No. 2.1.2 – Fare Discounts; Executive Limitations Policy No. 2.4.2 – Review of Rates and Charges for Service; and Executive Limitations Policy No. 2.1.7 – Pilot Programs and Innovative Services.
09-07-2022	R2022-12-07 (12-21-2022)	Updated Section III(B) identifying fare products requiring Board approval.