

# CEO Performance Planning and Review Process

*“A good leader is not the person who does things right, but the person who finds the right things to do.”*

- Anthony T. Padovano, theologian and author

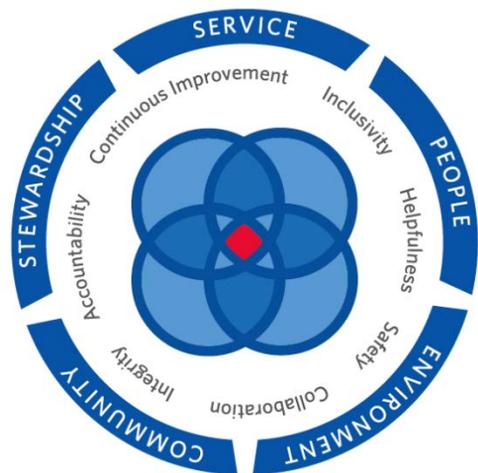
## Purpose

This process is designed to establish clear performance expectations between the Board of Trustees and the CEO, objectively assess CEO performance against established expectations, clearly communicate both positive and critical feedback to the CEO, enable higher levels of CEO performance, and provide a basis for changes in compensation and continued employment.

The performance of UTA’s CEO will reflect and be grounded in the agency’s True Norths – Service, People, Environment, Community, and Stewardship – and its Values – Integrity, Accountability, Continuous Improvement, Inclusivity, Helpfulness, Safety, and Collaboration.

In addition, the performance plan reflects related goal areas for 2017 as adopted by the Board of Trustees. These are:

- Service effectiveness and efficiency
- Accessibility of the system
- Health and sustainability of the system
- Promoting transit-oriented communities
- Public trust and accountability



Performance plan actions have been further informed by feedback received by UTA CEO Jerry Benson during a two month “listening tour” conducted in late 2016. During this tour, the CEO traveled on all of the system’s modes of transit to hear directly from customers about their experiences, expectations and desires for the agency. The CEO also met with a wide variety of state and local elected and appointed officials, partner agencies, UTA employees, and other stakeholders. These discussions identified a

number of gaps in how the agency operates, as well as opportunities for UTA to improve and make the system work better for more people.

## Process & Timeline

The CEO Performance Planning and Review Process will take place in three phases throughout each calendar year.

***Phase 1** will establish performance expectations.*

***Phase 2** will be an assessment.*

***Phase 3** will be feedback and improvement.*

The process must be flexible enough to allow adjustments and corrections if changes during the year warrant them. For example, in 2017 the UTA Board of Trustees will complete a new strategic plan that may include new and revised multiyear strategies. CEO performance expectations should be updated after the new strategic plan is adopted. The process must also be as transparent to the public as possible, while providing opportunities for honest and confidential feedback when needed.

Annual activities for the CEO performance review process include the following:

### ***February 2017***

CEO presents a first draft of performance expectations to the Board of Trustees. For 2017 – the CEO’s first full year in this position – these performance expectations will be based on feedback gained from the CEO’s listening tour conducted in the fall of 2016, and the CEO’s subsequent observations and assessment of the agency, as summarized in the “State of UTA” presentation made at the November 2016 Board Meeting. Trustees submit comments to the Executive Committee. The CEO and Executive Committee will meet in February to discuss and agree on final expectations, including the frequency and format of reporting on performance, on receiving interim feedback from Trustees throughout the year, and on the process and format for assessing the CEO’s performance in the fourth quarter of each year. This will be presented for approval at the February Board Meeting.

### ***March-December 2017***

The CEO will report on performance throughout the year, according to the schedule and format approved at the February Board Meeting.

### ***October-December 2017***

During the last quarter of the year, the Executive Committee will oversee a process to assess the CEO’s performance during the calendar year-to-date. Each Trustee will be assigned one area of the CEO’s role and responsibilities to review and assess (such as a department, division or

function of the agency). Each Trustee will be assigned to meet with and discuss the CEO's performance with at least one senior executive, one employee, and one customer or stakeholder related to the area being assessed by that Trustee. The Executive Committee will develop an assessment form based on the CEO performance expectations for use by Trustees to document their observations during the review process. This will also help provide consistency to the evaluations, and it may include a rating scale (e.g. 1-5), a "pass/fail" metric, narrative observations, and/or other evaluation methods.

***Mid-December 2017***

The CEO will prepare a UTA Performance Report and CEO Self-Assessment, to be submitted to Trustees in advance of the December Board Meeting.

***By December 31, 2017***

Trustees will submit to the Executive Committee a brief written summary of their performance assessments by the end of the year.

***January 2018***

In the board meeting of January 2018, the Executive Committee will present a summary of the Trustees' compiled assessments in each of the categories of CEO performance expectations. This assessment will take into consideration the CEO's self-evaluation report and the Trustees' assessments. The CEO and Trustees may also discuss the assessments to make sure there is clear, mutual understanding.

***February 2018***

In the February 2018 board meeting, the CEO will present a summary of the feedback received – both positive and critical – and a draft of performance expectations for the rest of the year, including items the CEO must not fail to do, as well as any corrections and development needed to address areas of concern.

***Annually***

This CEO performance review and assessment process will be repeated each year. Adjustments to the process may be suggested by the CEO and/or Trustees. Proposed changes will then be considered by the Executive Committee and recommended for approval by the full Board of Trustees.

## Performance Categories & Expectations

CEO performance planning and assessment will be organized in the categories listed below. Following descriptions of the primary activities of each area are draft performance expectations for 2017.

### ***Leadership***

Organizing, communicating, and culture-building; setting and demonstrating values; proactive problem-solving; timely and effective decision-making; effective interaction with the Board of Trustees; ensuring executive team members have the tools and resources to effectively lead their areas of responsibility; working with executive team members to define and measure what “winning” looks like in each of their areas of responsibility, and then holding them accountable to achieve those goals and objectives.

#### **CEO Performance Expectations for 2017**

- Lead the executive team in the completion of the organizational restructuring started in November 2016, and the filling of all key management positions with highly qualified, high-performing individuals.
- With the close consultation of executive team members, define the “UTA High Performance Culture” and develop an ongoing program to nurture internal culture improvements.

### ***Strategy***

Developing and implementing community-connected, future-oriented approaches and policies with the involvement of Trustees, executive team members, employees and stakeholders (as appropriate); focusing and guiding the agency’s purpose and direction; and promoting agency-wide clarity about purpose, direction, priorities, policies and strategies.

#### **CEO Performance Expectations for 2017**

- Develop vision, values, strategies and leadership behaviors with executive team. Communicate throughout the agency and develop aligned objectives in every area.
- Together with the Board of Trustees, develop and begin implementation of a new strategic plan to provide UTA with visionary guidance over the next three years (through 2019).
- Develop and implement a continuous improvement process to allow better alignment of UTA’s human, physical and financial resources with the agency’s purpose and strategy.

### ***External Relationships***

Building UTA’s credibility, confidence and trust with customers, members of the public, and stakeholders, including community, government and agency partners; promoting the continual improvement of the agency’s ability to gather and provide timely, transparent, and useful

information; and providing the tools and resources to enhance the agency's expertise and capacity to provide proactive communications and outreach.

#### **CEO Performance Expectations for 2017**

- Develop new relationships with federal, state and local government officials, community organizations, and other stakeholders, while strengthening existing relationships.
- Support the executive team in the development and implementation of a robust, proactive and flexible communications structure, strategy and plan.
- Ensure the continuous improvement of UTA's efforts to provide easy-to-access information and increase engagement with the public and stakeholders.

### ***People***

Ensuring the agency and executive team members have the tools and resources needed to recruit and retain talented employees, and to create effective systems of accountability, communication and development.

#### **CEO Performance Expectations for 2017**

- Settle upcoming labor agreements in a financially responsible manner that also preserves positive employee relations.
- Working closely with executive team members, achieve full staffing of all service-critical positions.
- Support the executive team in the successful implementation of a new performance management system with lateral and downward accountability.

### ***Finance and Operations***

Ensuring the agency and executive team members have the tools and resources needed to support the responsible financial management of UTA revenues and expenditures, and the responsible stewardship of UTA's assets; overseeing changes to improve budget-management practices; overseeing the continuous improvement of service quality, efficiency, and reliability throughout UTA's system; and working with executives to build organizational capability.

#### **CEO Performance Expectations for 2017**

- Ensure that expenses stay within approved budget.
- Lead the executive team to develop and implement strategies to improve budget practices, reduce costs, and decrease agency debt.
- Support the executive team in the successful implementation of updated service standards and reporting of performance.
- Lead the executive team to improve customer value through service redesigns, external partnerships, better reliability, and enhanced convenience.