

UTAH DEPARTMENT OF AGRICULTURE AND  
FOOD  
**POLICIES AND PROCEDURES**

MAY 16, 2022

UTAH DEPARTMENT OF AGRICULTURE AND FOOD  
**POLICIES AND PROCEDURES**

**TABLE OF CONTENTS**

**00 INTRODUCTION**

[00.01 Preface](#)

[00.02 Mission Statement and Core Values](#)

**01 FINANCE**

[01.01 Accounts Receivable](#)

[01.02 Cash Receipts and Mail](#)

[01.03 Debt Collection](#)

[01.04 Federal Grants](#)

[01.05 Assets](#)

[01.06 Purchasing](#)

[01.07 Leave Allocation Policy and Procedures](#)

[01.08 General Grant and License Awards](#)

[01.09 Use of Personal Property for Work Related Activities](#)

[01.10 Accepting Credit Card Payments](#)

**02 HUMAN RESOURCES**

[02.01 Accidents and Injuries](#)

[02.02 Dress Standard](#)

[02.03 Standards of Conduct](#)

[02.04 Additional Employee Benefits](#)

[02.05 Incentive Award Policy](#)

[02.06 Service/Retirement Award Policy](#)

[02.07 Relocation Reimbursement](#)

[02.08 Sick Leave Assistance Policy](#)

[02.09 On-Call Policy](#)

[02.10 Telework Policy](#)

[02.11 Phased Retirement Policy](#)

[02.12 Social Media Policy](#)

[02.13 Employee Grievances](#)

[02.14 Employee Classifications and Hiring of Time Limited Employees](#)

[02.15 Returnship Policy](#)

**03 ADMINISTRATION**

[03.01 Conflict of Interest](#)

[03.02 Identification Cards](#)

[03.03 Media Relations](#)

[03.04 GRAMA Requests](#)

- [03.05 Public Meeting Compliance](#)
- [03.06 Office Procedures](#)
- [03.07 Regulatory Enforcement Procedures](#)
- [03.08 Training](#)
- [03.09 Weapons Policy](#)
- [03.10 Authorized Personal Use of Public Property](#)

#### **04 INFORMATION TECHNOLOGY**

- [04.01 Adoption of DTS Policies](#)
- [04.02 Acceptable Use Policy, IT Resources](#)
- [04.03 Cellular Phones and Tablets](#)
- [04.04 Computer Hardware and Software Purchase and Installation](#)

#### **05 JUDICIARY: LAWS AND GRIEVANCES**

- [05.01 Claims Against the State](#)
- [05.02 Comments on Federal Laws](#)
- [05.03 Contract/Grants](#)
- [05.04 Correspondence with Other Agencies; Requesting Attorney General's Opinions](#)
- [05.05 Grievance Policy](#)
- [05.06 ADA and Civil Rights Grievance Policy](#)
- [05.07 Laws and Rules](#)
- [05.08 Adjudicative Hearings](#)
- [05.09 Privacy Protections](#)

#### **06 MEETINGS, BUILDING USE, AND SECURITY**

- [06.01 Advisory Boards/Committees and Internal Meetings](#)
- [06.02 Building Use](#)
- [06.03 Conference Room Scheduling](#)
- [06.04 Meals for Department Meetings](#)
- [06.05 Security](#)

#### **07 TRAVEL**

- [07.01 Conferences - Travel](#)

#### **08 STATE MOTOR VEHICLE OPERATIONS**

- [08.01 Authorized Passengers and Vehicle Operations](#)
- [08.02 Commute Policy and Procedures](#)
- [08.03 Employee Responsibility for Vehicle Care and Maintenance](#)
- [08.04 Minimum Requirements for Operation of a Vehicle](#)
- [08.05 Appropriate Vehicle Use](#)
- [08.06 Transportation of Cannabis or Alcohol](#)
- [08.07 Unmanned Aircraft Systems](#)

## **APPENDIX A**

- A.01 Fleet Expansion Request
- A.02 Guide for Drivers Involved in Motor Vehicle Accidents
- A.03 Request to Transport Passengers
- A.04 State Vehicle Tele-Accident/Incident Report
- A.05 State Motor Pool Vehicle Special use Request
- A.06 Out of State Vehicle Use Form
- A.07 UDAF Use of Personal Property Agreement

## **Appendix B**

- B.01 State Provided Cell Phone or Tablet Agreement
- B.02 Employee Provided Cell Phone Allowance Agreement
- B.03 Employee Provided Internet Allowance Agreement
- B.04 Employee Acknowledgement and Remote Work Agreement
- B.05 New Employee Checklist
- B.06 Exiting Checklist

## **Appendix C**

- C.01 UDAF Disclosure/Conflict of Interest Form
- C.02 DHRM Disclosure Policy and Statement-Appointees
- C.03 Education Assistance Contract

Index

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
00.01 PREFACE	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> THE PURPOSE OF THIS MANUAL IS TO SET FORTH THE POLICIES AND PROCEDURES OF THE UTAH DEPARTMENT OF AGRICULTURE AND FOOD.	

The policies and procedures in this manual shall be used by Utah Department of Agriculture and Food (UDAF, Agency or the Department) employees in carrying out their assigned responsibilities. This manual does not include all policies and procedures of the State of Utah. Policies may be added, amended, or deleted as the Department determines appropriate.

Statewide rules and policies affecting State employees are incorporated by reference in these Department policies and procedures.

When Departmental policies are determined to be in conflict with other State or Federal laws or rules, the State or Federal laws or rules shall prevail.

For the purposes of this manual, “Commissioner” refers to the Commissioner of the Department or the Commissioner’s designee. “Division Director” refers to the Division Director or the Division Director’s designee. “Executive Office” refers to the Commissioner and Deputy Commissioner collectively. Failure to follow these policies and procedures may result in disciplinary action up to and including termination.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>00.02 MISSION STATEMENT AND CORE VALUES</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY: DEPARTMENTAL OBJECTIVES AND CORE VALUES.</b>	

**MISSION STATEMENT**

- Promote the healthy growth of Utah agriculture, conserve our natural resources, and protect our consumers and food supply.

**CORE VALUES**

We value:

- Employees who maintain high professional and ethical standards and take personal responsibility for their actions.
- Employees who will work towards being a partner with the producers the Department serves.
- Leaders who coach, motivate, and support a work environment where employees can develop and achieve their highest personal and professional potential.
- Teamwork that promotes individual participation from every member.
- An organizational system with clear expectations, supporting employees in accomplishing their objectives and recognizing their unique qualities.
- Technology that is innovative, current, and practical.
- A healthy working relationship with local, State, and Federal government agencies and agricultural industries.
- A safe, wholesome, and sustainable food supply.
- Maintaining our statutory duties as a service-based Agency with regulatory responsibilities.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>01.01 ACCOUNTS RECEIVABLE</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> THIS POLICY SETS FORTH THE POLICIES AND PROCEDURES REGARDING ACCOUNTS RECEIVABLE FOR THE DEPARTMENT.	

**REFERENCES**

- [FIACCT 06-00.01](#), Definition and Recognition of Receivables
- [FIACCT 06-00.00](#), Receivables, Overview
- [FIACCT 06-01.13](#), Past Due Receivables
- [FIACCT 06-01.12](#), Non-Sufficient Funds Checks

**SUMMARY/DEFINITIONS**

- Receivables (RE) are recorded when the State has an enforceable legal claim to an asset that has not been received ([FIACCT 06-00-01](#)).
- When an accounts receivable is initiated, the program technician over such service or goods will create a RE (receivable document) in FINET and provide supporting documentation to the Division of Administrative Services.
- Department policy is compliant with Receivables policies and procedures established by both the Division of Finance and the Office of State Debt Collection (OSDC) [FIACCT 06-00.00](#).

**PREPARATION AND DISTRIBUTION**

- The Division rendering services will initiate and prepare a Receivable in the State FINET System, utilizing appropriate supporting documentation.
- Division personnel will review and submit these RE transactions. Invoices will be printed on a monthly basis and mailed to customers for payment.

**RECEIVING PAYMENT**

- The Division of Administrative Services receives payment and ties to RE if information is provided.
- Aging RE transactions are audited by the Division of Administrative Services to ensure that they are still outstanding, and that the payment was not deposited without closing out the RE.

**PAST DUE RECEIVABLES**

- The Department shall follow all policies in [FIACCT 06-01.13](#).
- Past due payments will have, at minimum, two attempts made to collect the debt.

A phone call and an email will be sent out. If no response is received within 30 days, a second phone call and email attempt will be made. If there is no resolution within 60 days, the account will be sent to OSDC or referred to the Attorney General's Office for further action as described in Policy 1.03 for follow up.

#### **INSUFFICIENT FUND PROCESS**

- The Department shall follow all requirements of [FIACCT 06-01.12](#).
- The bank will notify the Division of Administrative Services of any checks or payments that have insufficient funds (NSF). Each check must be run through a financial institution twice before being considered NSF.
- After a payment is considered NSF, the original Cash Receipt (CR) will be modified and an invoice entered into FINET for the face value of the check plus a NSF fee consistent with the amount reflected in the current approved Fee Schedule within 5 business days of receiving the check.
- A NSF notice will be mailed to the issuer within 5 business days of receiving the check.

#### **OVERPAYMENTS**

- Any overpayment received for payment of goods, services, licenses, etc. will be deposited to the appropriate program to allow funding availability to reimburse customers, if appropriate. Each reimbursement shall be approved by the Division Director.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>01.02 CASH RECEIPTS AND MAIL</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> December 15, 2021
<b>SUMMARY:</b> OUTLINES THE MAIL HANDLING PROCEDURES, INCLUDING CHECKS, CASH, AND APPLICATIONS.	

**REFERENCES**

[State Mail User Guide](#)

[FIACCT 13-00.00](#), Cash Receipts-Handling, Depositing, and Recording

**ALL MAIL WILL BE OPENED**

- All mail will be opened, except for mail addressed directly to the Commissioner or Deputy Commissioner.<sup>1</sup>
- For more information on State mail policy, please see the State Mail and Distribution Services Mail User Guide via the link below:

<https://purchasing.utah.gov/wp-content/uploads/2020-Mail-Services-Guide-web-version-final.pdf>

- All checks shall be logged and batched by date. Brand report checks shall be logged separately, also batched by date and brand inspector name. Brand checks will be deposited with all other checks received.
- All checks will remain within Administrative Services. Other mail, without checks, will be distributed to the proper Divisions.

**RECONCILIATION/DEPOSITS**

- When possible, payments will be received online through the department’s electronic payment systems. Reconciliations of online payments will occur weekly when possible, but monthly at a minimum.
- Cash received will be processed for deposit within three business days of receipt. Deposits will be posted using the appropriate accounting codes based on the type of receipt. Check logs will be reconciled with the daily deposit.

**APPLICATIONS**

- Each Division will be responsible to accept or reject applications. The monies for all applications will be deposited into the proper account. If an application is rejected and it is determined that the monies should be refunded, a refund form

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<sup>1</sup> This policy is based on an audit decision in 2017 in which it was decided that State employees cannot use State offices to send or receive personal mail. If individuals request that personal mail not be opened, the request may be honored.

will be processed by the appropriate Division and submitted to Administrative Services for processing.

#### **BRAND INSPECTION**

- The Brand Inspection certificate will serve as the cash receipt for monies collected by the Brand Inspector. Brand Inspectors shall deposit all cash received into the statewide bank account on a weekly basis. The State Treasurer has approved a variance for the Brand Inspectors to make deposits into a qualified depository within five banking days from their receipt.
- Brand Inspections cash receipts will be reconciled to the electronic brand system to ensure all expected payments are received on a timely basis. Occasions may occur when a customer under pays or over pays in small increments for various reasons. Due to the costs to process refunds or recoup underpaid fees, a maximum of \$25 variance per Brand Inspector per month will be absorbed.

#### **GRAIN INSPECTION**

- All monies received at the Ogden Grain Lab for grain inspection services will be submitted daily to the Division of Administrative Services for deposit.
- When money is received, receipted, and posted to the Central Office Accounts Receivable System, photocopies of receipt documents shall be sent biweekly to the Grain Inspection Office in Ogden for use in updating the Grain System in preparation for printing the next monthly statements.
- Money will be collected and a temporary receipt issued at the time of Grain Inspection Service for ALL clients without an Open Approval Account.
- The cash receipt process shall follow all policy related to [FIACCT 13-00.00](#).

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>01.03 DEBT COLLECTION</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> THE PURPOSE OF UDAF'S DEBT COLLECTION POLICY IS TO CARRY OUT LEGISLATIVE INTENT IN SERVING AS STEWARDS OF THE PUBLIC'S MONIES.	

**REFERENCES**

UCA Section [63A-3-501](#), Office of State Debt Collection, Definitions  
Utah Administrative Code Rule [R21-1](#), Transfer of Collection Responsibility to State Agencies

**DEBT COLLECTION-GENERAL INFORMATION**

- The Office of State Debt Collection (OSDC) is the statutory entity responsible for collecting on debts owed to the State of Utah. [UCA Subsection 63A-3-501](#) *et seq.* Examples of debts are unpaid fees, licenses, taxes, loans, overpayments, fines, forfeitures, surcharges, costs, contracts, interest penalties and other claims against the State. UCA Subsection [63A-3-501\(1\)\(b\)](#).
- The Department is required by statute and rule to coordinate with the OSDC in collecting debts. Utah Administrative Code Section [R21-1-1](#) *et seq.* sets forth the specific requirements for Agency compliance, including the requirement that debts be transferred to the OSDC within a set time frame after the initial debt is incurred (Note: this is generally the date of the original action leading to a citation or the date the citation was originally sent to the individual or entity in default).

**DEPARTMENT PROCEDURES-ISSUING CITATIONS**

- Each Division Director will work with their staff to establish a procedure for issuing citations and recording all debts due to the Department, including delinquent licensing, citations, and any other debts as defined by UCA Subsection [63A-3-501\(1\)\(b\)](#).

**DEPARTMENT PROCEDURES-CITATION/DEBT TRACKING**

- Each Division Director will work with their staff to establish a tracking system for citations or other debts due to the Department. Each Division Director may use the citation system currently in place at UDAF or may choose to establish an independent system, provided that any independent system has the capacity to track debt amounts and other sufficient information as required by the OSDC (such as tax ID information, address etc.). Specific requirements are set forth in Utah Administrative Code [Rule R21](#), including that debts must be submitted to OSDC through FINET unless alternative arrangements are agreed upon with the OSDC.
  - The current tracking system for citations provides multiple notifications regarding the citation and whether it has been paid or remains in default. It

also provides a standard notification that a debt has not been paid for 45+ days on day 45 (calculated by the date the original citation was sent).

- Independently created tracking systems should also track unpaid citations/debts and provide the number of days unpaid since the issuance of the original citation.
- Each Division Director will work with their staff to establish a tracking system for citations or other debts due to the Department.

#### **DEPARTMENT PROCEDURES-COLLECTIONS**

- Each Division Director may either submit a debt to the OSDC to be pursued through that office or coordinate with the AAGs assigned to the Agency to pursue debt collection efforts independent of the OSDC.
- Debts submitted to the OSDC should comply with submission requirements in Utah Administrative Code [Rule R21](#).
- Debts submitted to the assigned AAGs should include a copy of the case file for AAG review.
  - Once referred to the assigned AAG, the AAG will discuss the possible ways to move forward with the collection efforts and the Division Director will determine the appropriate procedure moving forward.

#### **DEPARTMENT PROCEDURES-RESOLUTIONS**

- Once a matter is referred to the OSDC, OSDC becomes the primary entity responsible for collecting on the debt. Questions or concerns regarding collection efforts should be directed to the OSDC directly.
- Conversely, once a matter is referred to the assistant AAG, follow up will be between the Division Director and the AAG, unless the matter is later referred to the OSDC for collection.

#### **DEPARTMENT PROCEDURES-COMMUNICATION WITH EXECUTIVE OFFICE**

- The Executive Office shall be kept apprised of any routine debt collection efforts by a monthly or quarterly report, including amounts outstanding and amounts received.
- Debt collection efforts that present unique situations, have the potential to affect the Department, or any other debts which exceed \$10,000 shall be reported immediately.
  - Any concerns regarding collection on the debt by the Executive Office shall be reported to the Division Director expeditiously.
  - The Commissioner is the ultimate decision-maker with respect to debt collection efforts and may direct a course of action contrary to policy for good cause.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
01.04 FEDERAL GRANTS	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> May 10, 2022
<b>SUMMARY:</b> THIS POLICY SETS FORTH THE PROCEDURES FOR REQUESTING FEDERAL GRANT ASSISTANCE.	

**REFERENCES**

[Executive Order 12372](#), Intergovernmental Review of Federal Programs  
[2 CFR 200](#) Office of Management and Budget Guidance for Grants and Agreements

**DEFINITIONS**

- 2 CFR 200 - [Uniform Guidance: Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards](#)

**PROCEDURES**

- All federal grants applied for and received by the department shall follow federal guidance according to 2 CFR 200.
- The Division of Administrative Services shall provide a training manual to all department employees who do any type of work on federal programs.
- The Division of Administrative Services shall provide training to all employees who work on federal programs. These trainings shall be provided at least annually.
- All Department employees who do any work with federal programs are required to attend the federal program training at least once, and more if needed.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>01.05 ASSETS</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> January 18, 2022
<b>SUMMARY:</b> THE ACQUISITION, TRANSFER, AND STORAGE OF FIXED ASSETS. ALL FIXED ASSET POLICIES SHOULD ALIGN WITH STATE FINANCE POLICY FIACCT 09-00.00.	

**REFERENCES**

[FIACCT 09-00.00](#), Fixed Assets Definitions, Policy, Overview

**POLICY DEFINITIONS**

- “Current Assets” means any asset not considered a fixed asset, which includes small equipment having a value of less than \$5,000 and/or useful life of less than one year.
- “Fixed Assets” means assets acquired for use in operations with a value of at least \$5,000 and a useful life of greater than one year.

**PROCEDURES**

Procedures for Acquisition of Assets

- All asset purchases are required to follow State Procurement Code and Division of Finance Policy.
- Coordination of fixed asset purchases with the Administrative Services Division is critical and required.

**MANAGING FIXED ASSETS**

- Each division shall assign a fixed asset clerk and inform the Administrative Services Division Fixed Asset Coordinator.
- Each division shall maintain separation of duties. Divisions shall separate responsibilities with assistance from another division’s fixed asset clerk for performing inventory, at a minimum. No person shall perform more than two of the following functions:
  - Purchasing
  - Record Keeping
  - Custodianship
  - Inventory
- Once the item is received, the assigned division fixed asset clerk shall place an inventory tag on the equipment. This tag number shall be submitted to the Fixed Asset Coordinator in Administrative Services, who will enter the fixed asset

information in FINET. These FINET records will be maintained and updated on a monthly basis.

- Each Division will be given an Asset Control Record and asset tags to be used to maintain inventory control. The [Fixed Asset Control Record Template](#) shall be used. The Division's fixed asset clerk shall submit the Asset Control Record to the Fixed Asset Coordinator on a quarterly basis to assist in the maintenance of fixed asset inventory.
- In compliance with State rules, the Division of Administrative Service shall oversee an annual physical inventory of Department fixed assets. The Fixed Asset Coordinator shall send a copy of the fixed asset record to each Division's Director annually. Instructions shall be included with this record.
- Division Directors shall ensure the physical inventory for their Division is completed annually by another Division's fixed asset clerk and that results are submitted to the Fixed Asset Coordinator.
- Divisions shall inform the Administrative Services Division's Fixed Asset Coordinator of changes to fixed assets as they occur.
- At the end of employment, all assets assigned to the employee shall be returned and accounted for.

#### **Procedures for Transfer of Fixed Assets Between Divisions**

- The Division shall inform the Administrative Services Fixed Asset Coordinator via email of the new Unit and location/building of a fixed asset that is being transferred.
- The Division of Administrative Services shall update the FINET fixed asset system with changes.

#### **Managing Current Assets**

- The following current assets are required to be tracked by each division with the completion of a documented annual inventory:
  - Physical assets that are easily pilferable with a value between \$1,000 and \$5,000. Examples include electronic equipment, cameras, radios, and data processing equipment.
  - All teleworking equipment used at an employee's home, including monitors and printers/scanners.
  - Firearms
  - Ipads
- Administrative Services Division is responsible for tracking cellular phones and ipads with cellular plans.

- DTS is responsible for tracking desktop and laptop computers.
- Each Division is responsible for keeping updated records of current assets that must be tracked, including the employee they are assigned to.
- Current assets can be tracked either using asset tags or referencing unique asset identification information, such as serial numbers.

#### **Procedures for Surplus of Assets**

- Each Division shall work with the Administrative Services Fixed Asset Coordinator to determine how to surplus assets with an original purchase price over \$100.
- Each Division shall provide the surplus item to the Division of Administrative Services to be surplus.
- Administrative Services shall complete form [SP-1](#) for the item to be surplus, using the Surplus Property website. Items to be auctioned will be entered on the website and placed for bid. Items that are damaged and not appropriate for auction (receiving an [SP-1](#)) will be destroyed or discarded using the approved method of disposal.
- FINET shall be updated to remove Fixed Asset items.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>01.06 PURCHASING POLICY</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> December 15, 2021
<b>SUMMARY:</b> THESE ARE PROCEDURES TO BE USED IN ADDITION TO THE REQUIRED STATE PURCHASING AND PURCHASING CARD PROGRAM POLICIES AND PROCEDURES.	

**REFERENCES**

- [FIACCT 05-15.00](#), Purchasing Card Policy
- [FIACCT 04-04.00](#), Purchases from 1000 to 5000-Overview
- [FIACCT 04-04.01](#), Purchases up to 5000-Without two Quotes
- [FIACCT 04-05.00](#), Purchases Over 5000
- [Utah Administrative Code Title R33](#), Administrative Services, Purchasing, and General Services

**PURPOSE**

This policy outlines general policies and procedures that govern the purchasing of items using state funds. This includes the use of the State Purchasing Card (P-Card). All employees are expected to comply with these policies and procedures, State Purchasing policies, the Utah Procurement Code, and Utah Administrative Code Title [R33](#). Use of state funds for purchasing is a privilege, and non-compliance or abuse of the privilege may result in severe consequences, including termination of P-Card and/or purchasing privileges or discipline up to and including termination.

**LARGE PURCHASES**

- Department employees will follow the guidelines set forth in the following Utah Division of Finance policies governing purchases over \$1,000:
  - [FIACCT 04-04.00, Purchases from 1,001 to 5,000-Overview](#)
  - [FIACCT 04-04.01, Purchases up to 5,000-Without Two Quotes](#)
  - [FIACCT 04-05.00, Purchases over 5,000](#)
- Additionally, any purchases over \$5,000 shall be approved in writing by the Commissioner or Deputy Commissioner and any purchases over \$2,500 shall be approved in writing by a Division Director.

**PROCEDURES FOR THE USE OF P-CARDS**

- The Department may request P-cards for employees to use on State business.
- Process for an employee to get a P-card: Notify the Division of Administrative Services, complete (and pass) purchasing training, and complete an application. The Division of Administrative Services will submit documents to the proper State contacts.
- All Purchases must be in compliance with the State of Utah Purchasing guidelines. Employees should be cognizant of anything purchased over \$1,000.

- P-cards are issued in the name of the employee, with no fee charged to the State or the employee, and should be used for the payment of all OFFICIAL STATE BUSINESS, travel, and other acceptable expenses. These cards should NOT be used for paying personal non-official expenses.
- The monthly statement for the P-card is sent to the employee (or Division secretary) for distribution by the 15th of each month. It is the employee's responsibility to complete a reconciliation by completing a log (with all coding filled in), reconciling the log to the statement, and providing receipts and other necessary paperwork justifying the expenses. These reconciliations are to be completed by the end of the month and returned to the Division of Administrative Services to process. State policy allows a 30-day turnaround time for submission of P-card reconciliations. If reconciliations are not completed timely, the employee may lose P-card privileges.
- Lost or stolen cards should be reported immediately to the Division of Administrative Services.
- Upon termination of employment, an employee must return the P-Card to the Department. The Department will destroy the card and notify the Division of State Finance. During this period, the State is only liable for the official travel expenses that have not been reimbursed. The employee will reconcile the final statement or provide all documentation to their supervisor before leaving.
- Upon termination of the P-Card privileges of an employee, the Department will notify the appropriate State contact that the card is no longer needed, obtain the card from the employee, and destroy it. The employee will reconcile the final statement and provide all documentation to their supervisor prior to returning the card.
- If an employee needs a different authorized amount on their P-card they should notify the Division of Administrative Services, and the Division will request the increased authorization limit from the State contact.
- Each employee will need to sign a new Purchasing Card Agreement to renew their P-Card.

#### **REVIEWS**

- The Administrative Services Division will review monthly reports for employee compliance with this policy. This will include a review of any past due amounts. Any non-compliance will be reported to the proper Division Director.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>01.07 LEAVE ALLOCATION POLICY AND PROCEDURES</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> THE FOLLOWING POLICIES AND PROCEDURES ARE APPLICABLE TO UDAF IN ALLOCATING PAYROLL LEAVE CHARGES TO BENEFITING PROGRAMS.	

**PURPOSE**

- The purpose of the payroll leave allocation procedure is to accurately allocate the cost of leave to the benefiting programs. When individual Department employees charge work hours to more than a single program, including any Federally funded program(s), leave charges will be proportionally distributed. The Division of Administrative Services administers the payroll leave allocation procedures.

**PROCEDURE**

- Each quarter, payroll leave charged will be allocated to benefiting programs when more than a single program is directly and correctly charged by an employee based on the number of hours worked and charged to each program as allowable to Federal, local, or State programs.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b> 01.08 GENERAL GRANT AND LICENSE AWARDS	
<b>EFFECTIVE DATE:</b> December 4, 2020	<b>REVISION DATE:</b> December 4, 2020
<b>SUMMARY:</b> THE PURPOSE OF THIS POLICY IS TO SET FORTH THE POLICIES AND PROCEDURES FOR FAIR AND IMPARTIAL AWARD OF GRANTS AND LICENSES BY THE DEPARTMENT.	

**REFERENCES**

[UCA Title 63G, Chapter 4](#), Utah Administrative Procedures Act

**POLICY**

The Department is committed to evaluating and awarding grants and licenses through a process which is conducted impartially and fairly, and to ensure that state monies are expended in a non-discriminatory manner. Principles of economy, efficiency and transparency shall govern each grant and license awarded.

**PROCEDURES**

The department currently issues licenses and processes and administers grants through each of its Divisions. The procedures for issuing licenses and grants shall be determined by state and federal code, Departmental rules and stated Departmental policy. Deviations from policy may only be permitted through prior approval from the Commissioner with written justification and provided that any such deviation does not violate state or federal law or the Department’s rules.

**GENERAL PRINCIPLES**

The following general principles shall govern licenses and grants administered through the Department. Program specific rules, where permitted by statute, shall set forth the qualifications and process to obtain a license or grant from the Department. Grants awarded by federal entities and administered or disbursed through the Department shall also follow all applicable federal rules and regulations.

- The awarding of licenses and grants shall be conducted impartially, fairly and in a non-discriminatory manner.
- The Department shall institute, where practicable, a blind process for awarding licenses and grants. If such a process is not possible given the statutory requirements or based on the nature of the license/grant to be awarded, the Department shall make every effort to institute a system of checks and balances, such as a tiered system, to ensure fairness during the entirety of the process. Individuals involved in awarding licenses and grants shall be trained on the

specific requirements for each license/grant, including but not limited to, best practices, declaring conflicts, maintaining confidentiality, providing an appropriate level of transparency, records retention requirements, and conducting public hearings.

- The Department shall develop a standardized license application process and grant forms, in consultation with the AGO and other state entities.
  - Nothing in this policy is intended to supersede state or federal laws or Department rules in awarding licenses and grants.
  - This policy is not intended to prevent the Department from establishing different processes for each grant program or awarding of a license, provided those processes are otherwise compliant with applicable statutory provisions, state and federal code and Departmental rules.
  - Further, the decision to award a license or grant, unless otherwise required by statute or rule, is wholly discretionary and does not, by itself, create a vested right, property interest or other cause of action against the Department.
  - Finally, nothing in this policy is intended to prevent the Department from revoking a license, terminating/modifying a grant or otherwise denying a license or grant application for good cause shown and where specified, for any of the reasons cited in statute, rule or policy.

#### **APPEALS**

Individuals or entities who believe a license or grant was improperly denied or not funded by the Department may appeal the Department's decision when allowed under Utah Code Title 63G, Chapter 4, Utah's Administrative Procedures Act (UAPA) or through another form of action as allowed by statute.

- The Department is not required to consider an appeal where a right of appeal does not exist in statute.
- The Department is similarly not required to consider an appeal if the appellant fails to comply with Departmental deadlines or other requirements set forth in statute or rule.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
01.09 USE OF PERSONAL PROPERTY FOR WORK RELATED ACTIVITIES	
<b>EFFECTIVE DATE:</b> August 16, 2021	<b>REVISION DATE:</b> August 16, 2021
<b>SUMMARY:</b> THE PURPOSE OF THIS POLICY IS TO ESTABLISH A CONSISTENT POLICY, PROCEDURE, FEE SCHEDULE, AND APPROACH FOR THE DEPARTMENT’S USE OF AN EMPLOYEE’S PERSONAL PROPERTY FOR OFFICIAL DEPARTMENT BUSINESS AND TO ESTABLISH A PROCEDURE TO ADDRESS SITUATIONS WHERE AN EMPLOYEE’S PERSONAL PROPERTY IS DAMAGED DURING DEPARTMENT USE.	

**REFERENCES**

- [State Purchasing Policies](#)
- [Utah Division of Finance Policies](#)
- [Utah Code, Title 67, Chapter 16, Utah Public Employees Ethics Act](#)

**POLICY**

The Department strongly recommends the use of Department owned property or rental items over the use of an employee’s personal property. Personal property of Department employees should not be used unless absolutely necessary.

If deemed necessary, Department use of an employee’s personal property may occur through one of two scenarios: (1) the Department rents the property from the employee and the Department compensates the employee for that use; or (2) the employee donates use of the property to the Department and the property is used at no charge. Personal property used by the Department must be maintained in the Department’s care, custody, and control, and must be used for a business purpose.

This policy is intended to guide the Department and its employees in situations not otherwise governed by protocols established in [State Purchasing Guidelines](#) and [Division of Finance Policies](#). Any property rental or donation shall follow the guidelines of the Utah Public Employee Ethics Act, Utah Code Title 67, Chapter 16. The Department shall not solicit donations from individuals. They must be freely offered and disclosed on the employee’s annual conflict of interest disclosure (See Appendix C.01).

**DEFINITIONS**

- Actual days of use means the number of days the personal property is used on a project.
- Personal property use event means the time period when the Department is in possession of the personal property.
- Personal property refers to equipment i.e. livestock trailers, UTV’s, ATV’s, horses, or other items used by the Department and owned by an employee.

## **PROCEDURES**

### **RENTAL/DONATION AGREEMENT STANDARDS**

- If the Department wishes to use the personal property of a Department employee pursuant to this Policy, the Department employee using the personal property is responsible for ensuring that the owner of the personal property and the Department execute the “Use of Personal Property Agreement” attached to this Policy.
- If a Department employee wishes to rent or donate use of a piece of personal property they own, the “Use of Personal Property Agreement” must be signed prior to the personal property use event.
- Personal property shall be rented at a rate consistent with the fee schedule.
- Total reimbursement for any personal property use event is calculated based on the number of actual days of use of the property. There will be no reimbursement for personal property use if the use is donated by the Department employee.
- The Utah Division of Risk Management may provide liability coverage in the event of damage or loss to personal property when it is rented by or donated to the department. The Division’s coverage agreements and statutes will control in regard to the requirements for and extent of this coverage.
- The Department may provide liability coverage in addition to that coverage provided by the Division of Risk Management or in the event that the Division of Risk Management declines coverage.
- Department liability for rented or donated use of personal property shall be the lesser of the “maximum Department liability” listed below or the fair market value of the item. If the use of an item is donated by a Department employee, the Department’s liability would, at most, extend to damage to the item.
- The Department will not be liable for damages to personal property donated or rented to the Department under this policy unless a “Use of Personal Property Agreement” is completed and signed by all parties prior to the person use event.
- Department use of personal ATVs, snowmobiles, and other motorized equipment (excluding boats) must be approved in writing by the Program Manager prior to the personal property use event.
- The Department may not rent personal property from another entity

if a state-owned item will serve the Department's needs and is reasonably available.

- The owner of the personal property shall comply with all applicable federal, state and local laws, ordinances and regulations while in the performance of this agreement. A Federal Tax form 1099 will be issued to them if personal property rental exceeds \$600 per calendar year.
- Long term use (longer than 30 days) of personal property or uses of highly valuable items (worth more than \$30,000) of personal property must be handled through a separate contractual agreement and not pursuant to this policy. Such agreements shall be approved in advance by a Department Director and the Commissioner or their designee.

#### **USE OF PERSONAL PROPERTY AGREEMENT FORM**

- An agreement form must be completed each time personal property is used.
- The agreement form must be signed and dated by the program manager.

#### **PERSONAL INSURANCE**

- The Department recommends that employees secure private insurance coverage for their personal property used under this policy. Upon request, a copy of the private insurance policy for the employee's personal property shall be provided to the Department. A Department employee may not be reimbursed by the state and a private insurance company for the same damage to their personal property.
- Department employees should be aware that standard private insurance policies may not provide insurance coverage for personal property in situations where a state-owned vehicle is towing personal property.
- The Department encourages owners of personal property used under this policy to consult with their private insurer to evaluate coverage options.

#### **DEPARTMENT FEE SCHEDULE**

<u>Item</u>	<u>Rental Rate (per day)</u>	<u>Max. Department Liability</u>
Horse (rate and liability includes tack, feed, trailers )	\$40	\$4,000
ATVs	\$50	Fair Market Value up to \$15,000
UTV	\$125	Fair Market Value up to \$30,000
Other*	TBD	Fair Market Value

\*Rental rate for any other item must be approved in writing by a Division Director prior to the personal property use event.

The Department may consider the following in determining fair market value:

For a vehicle

- the value of several comparable vehicles;
- the Kelly Blue Book Value of the vehicle;
- a valuation provided by the employee's insurance company; or
- the replacement cost of the vehicle, whether new or used

For a horse

- the cost of the horse, based on the horse's age, record, training level, auction price; and
- other factors as determined by the Department in its sole discretion

In the event of injury to a horse, the Department shall not be liable for veterinary bills or loss of breeding capabilities or revenue greater than the Max Department Liability.

- In calculating the Department's liability for damage to personal property, the Department will establish the fair market value of the personal property in question, determine the depreciation to the property caused by the damage or the estimated costs to repair the damage, and consider any compensation the owner of the personal property has received from third parties, including private insurers, and from the Division of Risk Management, if applicable.
- In any event, the Department's liability for damage to personal property shall not exceed the figures provided above under "Max. Division Liability" or Fair Market Value as established by the Division Director.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>01.10 ACCEPTING CREDIT CARD PAYMENTS</b>	
<b>EFFECTIVE DATE:</b> March 1, 2022	<b>REVISION DATE:</b> March 1, 2022
<b>SUMMARY:</b> THE PURPOSE OF THIS POLICY IS TO ESTABLISH PROCEDURES FOR ACCEPTING CREDIT CARDS FOR PAYMENT OF FEES, SERVICES, AND PRODUCTS IN COMPLIANCE WITH PAYMENT CARD INDUSTRY STANDARDS	

**REFERENCES**

[FIACCT 07.08](#), Division of Finance Credit Cards Policy

**DEFINITIONS**

PCI means Payment Card Industry security standards.

Mobile Device means any device using cellular data or wifi that accepts credit card payments via mobile payment applications.

**POLICY**

**Procedures for Accepting Credit Card Payments**

- The Department must comply with Division of Finance Policy FIACCT 07.08-00 ( Credit Card Payments), for accepting credit card payments.
- The Department must contact the State Division of Finance to set up new credit card merchant numbers (if new) and arrange for purchase of equipment.
- The Department must complete a background check, through Human Resources, for each user of card swipe and PCI computers.
- The Department must document data security roles for each user.
- The Department will provide annual PCI security training to each user, with instruction on reporting suspicious behavior.
- Each user must have a unique USER ID and password.
- Receipts, reports, or any other documentation with masked or truncated account data (no more than the last four digits visible), will be stored in a secure area.
- The Department will keep an updated list of all devices; including serial number, make, model, and location.
- Credit card numbers will be masked or truncated (no more than either the first 5 or the last four digits visible), when displayed.
- Credit card numbers will not be written down.
- CVC or security code will not be stored after authorization
- Swipe card machines will be in full view of employees at all times.
- Machines will be settled automatically on a daily basis.
- Swipe card machines will be periodically inspected for tampering or substitution.

- ID will be verified for any repairman, prior to granting access to swipe card machine or PCI computer.
- This policy will be reviewed annually, and any needed updates will be made.
- The Department will comply with the Acceptable Use of Card Technologies policy.

**Procedures for Accepting Credit Card payments via mobile payment applications**

- The Department must comply with the Division of Finance Policy FIACCT 07.08.01 Credit Cards Mobile Payment Applications, for accepting credit card payments via mobile payment applications.
- The Department must complete the Division of Finance Credit Card Implementation Checklist for State agencies.
- Mobile swiping devices must be used only with State owned phones or tablets, with DTS-provided MDM.
- No more than five people can access one device.
- Employees using a device must be trained on the policies and procedures for the device and complete PCI compliance training, prior to use.
- While a device is not in use, it will be stored in a locked location.
- A usage log will be maintained at all times, for every device.
- The Department will have a PCI incident response plan in place. Incidents will be documented with: date, time, type, action taken, and resolution.
- The Department will submit a PCI Self-Assessment Questionnaire annually, to the State Division of Finance, for review and approval.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
02.01 ACCIDENTS AND INJURIES	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> PROCEDURES FOR DOCUMENTING INJURIES AND ILLNESSES, AS WELL AS OBTAINING WORKERS COMPENSATION.	

**WORK-RELATED ACCIDENTS AND INJURIES**

- An injury or illness is considered work related if it occurs in any area on the Department’s premises. The work environment surrounds the worker wherever they are on official travel, in dispersed operations, or along regular inspection routes.
- All work related fatalities and work related injuries resulting in an inpatient hospitalization, amputation, or loss of an eye, must be immediately reported to the Human Resources Specialist and the Commissioner. All diagnosed work related illnesses must be reported.
- In order for an employee to obtain Workers Compensation, [Form 122](#), First Report of Injury, must be submitted by an employee’s supervisor. The supervisor will submit the report to the Human Resources Specialist to be reviewed for completeness and submitted online. Worker’s Compensation will email a confirmation of the claim received with an attachment of the completed [Form 122](#) for filing. The Human Resource office will send a copy of the submitted claim to the employee and the Worker’s Compensation Fund of Utah.

**TRAFFIC ACCIDENTS**

Please refer to 08.05 Appropriate Vehicle Use.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>02.02 DRESS CODE AND PERSONAL HYGIENE POLICY</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> THIS POLICY SETS FORTH GUIDELINES TO CONVEY THE RESPECTABLE AND PROFESSIONAL APPEARANCE OF THE DEPARTMENT.	

The Department requires that all employees present themselves in a professional manner, with respect to clothing, personal hygiene, and appearance.

**GUIDELINES**

- Employees are expected to follow good hygiene practices to ensure they are presenting themselves to guests appropriately and that the Department is professionally represented. The following hygiene requirements are applicable to all employees:
  - Maintain personal cleanliness by bathing regularly.
  - Oral hygiene (brushing of teeth) required.
  - Use deodorant/antiperspirant to minimize body odors.
  - Do not use heavily scented perfumes, colognes, or lotions. These can cause allergic reactions, migraines and respiratory difficulty for other employees and guests.
  
- The following minimum guidelines pertaining to appearance must be adhered to by every employee regardless of the location of their employment:
  - Clothing must be clean, in good condition, and fit appropriately.
  - Hair must be neat and groomed.
  - Long hair must be tied back and away from the face if the employee is operating equipment or working with food or beverages.
  - Clothing must not interfere with the operation of equipment.
  - Commonly accepted body piercings are allowable, but acceptance is at the discretion of an employee's Division Director.
  - Tattoos that are perceived as offensive, hostile, or that diminish the effectiveness of the employee's professionalism must be covered and not visible.
  
- The following items are not permitted to be worn by employees:
  - Pants that expose the midriff or underwear
  - Low-cut tops
  - Halter tops
  - Spaghetti strap tops
  - Tops that expose the midriff or underwear
  - Any form of clothing that is mesh, sheer, see-through, torn or otherwise revealing

- Any form of clothing that is generally offensive, controversial, disruptive or otherwise distracting.
- Any form of clothing that is overtly commercial, or contains political, personal or offensive messages.
  
- Some Divisions have established their own dress code for inspectors, which may or may not include some form of identifiable uniform or insignia.
  
- It is within the Department's discretion, in consultation with Human Resources, to send an employee home on their own time to change if they arrive to work in what is deemed to be inappropriate attire.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
02.03 STANDARDS OF CONDUCT	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> May 10, 2022
<p><b>SUMMARY:</b> THE PURPOSE OF THIS POLICY IS TO IDENTIFY AND DEFINE STANDARDS OF CONDUCT FOR DEPARTMENT EMPLOYEES. THE DEPARTMENT STRIVES TO ACHIEVE ITS MISSION AND VISION BY FOSTERING GOOD CUSTOMER RELATIONS AND PUBLIC TRUST, MAINTAINING APPROPRIATE RELATIONSHIPS WITH CO-WORKERS, AND ESTABLISHING HIGHLY PROFESSIONAL, RESPECTABLE STANDARDS AND WORK ETHICS. THESE STANDARDS ARE COMMENSURATE WITH EXECUTIVE ORDER <a href="#">EO 002 2014</a>: ESTABLISHING AN ETHICS POLICY FOR EXECUTIVE BRANCH AGENCIES AND EMPLOYEES.</p>	

**REFERENCES**

[Executive Order EO 002 2014](#), Establishing an Ethics Policy for Executive Branch Agencies and Employees  
[UCA Section 67-21-3](#), Utah Protection of Public Employees Act  
[Utah Administrative Code Rule 895-7](#), Acceptable Use of Information Technology Resources  
[Utah Administrative Code Rule R477-8](#), Working Conditions  
[UCA Section 58-37-2](#), Definitions, Utah Controlled Substances Act  
[UCA Title 26, Chapter 61A](#), Medical Cannabis Act  
[Utah Administrative Code Rule R477-10](#), Employee Development  
[Utah Administrative Code Rule R477-11](#), Discipline  
[UCA Title 63G, Chapter 7](#), Governmental Immunity Act  
[DTS Policy 5000-0002.1](#), Enterprise Information Security Policy  
[UCA Section 63F-1-103](#), Department of Technology Services  
[UCA Section 63I-5](#), Utah Internal Audit Act  
UDAF Internal Audit Charter

**RELATIONSHIPS WITH CUSTOMERS AND THE PUBLIC**

- Employees shall avoid relationships or commitments that would be detrimental to the interests of the State.
- Employees shall not use their positions, or information acquired through their positions, to coerce or otherwise influence customers or other employees for personal gain.

**MANAGING RECORDS AND INFORMATION**

- Employees shall respect and protect the confidentiality of information, and shall not use information contained in a private, controlled, or protected record for personal purposes.

- Employees shall take reasonable steps to secure confidential information wherever it is maintained. Employees shall not access, use, or reproduce confidential information for any purpose other than the performance of their duties.
- Employees shall, upon request or prior to termination of their relationship with the Department, deliver or grant access to the Department any documents, materials, and equipment received from the Department or originating from their activities for the Department.
- Employees shall not tape or record any activities except as permitted by law or policy and approved by the Commissioner.
- Employees shall follow established GRAMA and Verification of Employment business practices.
- Employees shall not falsify or wrongfully destroy any record, report, or claim, or knowingly enter, or cause to be entered, any false or improper information, into Department records.
- Employees shall not disclose or improperly use controlled, private, or protected information acquired by reason of their official position or in the course of their official duties, and shall exercise appropriate judgment to prevent disclosure to others.

#### **UDAF OFFICE OF INTERNAL AUDIT HOTLINE**

- The Office of Internal Audit (OIA) is an independent, objective entity that operates within the Office of the Commissioner at the Department. The OIA reports directly to the Commissioner and upholds the highest standards of ethics.
- The OIA hotline is a confidential method to report potential fraud, abuse, and other inappropriate behaviors at the Department. Suspected or known fraud or abuse should first be reported to an immediate supervisor or an appropriate member of management. If a person feels unable to communicate concerns directly to their supervisor or another member of management, the OIA hotline is available.
- All information received by the OIA through its hotline is kept confidential. Allegations reported through the hotline are only shared with the Commissioner when the OIA determines an investigation is required.
- The vast majority of frauds are initially detected by tips. Tips may come from employees, customers, citizens, contractors, or vendors. It is critical that employees who become aware of known or potential misconduct report it. Fraud, abuse, or misconduct in its various forms can result in a significant loss of the Department's public trust, which is critical to the success of the Department.

Therefore, it is vital that employees report known or potentially improper behavior.

- Employees who are witnesses or observers to any of the following actions may report their concerns and issues to the OIA hotline:
  - Gross mismanagement
  - Abuse of authority
  - Unethical conduct
  - Violations of UDAF policies or state or federal law, rule, or regulation
  - Other significantly inappropriate behaviors or actions
- Pursuant to [Section 67-21-3](#), the Department shall not take adverse action against employees who make a report related to the issues described above in good faith. The Department will also not take adverse action against an employee because the employee participates or gives information in an investigation or any other form of administrative review held by the public body.
- The OIA hotline can be reached by phone at 801-982-2332, email at [udaf-audithotline@utah.gov](mailto:udaf-audithotline@utah.gov), or by submitting an online form ([link](#)). All submissions will be confidential and anonymous unless there is a legal or professional obligation to disclose any of the information.
- Hotline submissions should not include employee complaints that can be resolved through the regular feedback process and chain of command.

#### **WORKING RELATIONSHIPS WITH OTHER EMPLOYEES**

- Employees shall treat each other respectfully and professionally.
- Employees shall not harass or discriminate against another employee.
- Employees shall refrain from using abusive or profane language, including language that is demeaning, belittling, or knowingly offensive to other employees.
- Employees shall not intimidate, use physical harm or threats of physical harm against other employees, customers, management, or the public.
- Employees shall not be insubordinate, disloyal, or disrespectful to appropriate orders or requests of a supervisor.
- Employees may seek assistance from the Commissioner or Human Resources Director if they believe an inappropriate order or request was given.
- Employees shall report any instance of questionable or unethical behavior through the OIA hotline or to their Division Director, the Commissioner, or Human Resources.

## **SUPERVISORY RELATIONSHIPS**

- Supervisors and other administrators shall treat subordinates respectfully and professionally.
- Supervisors and other administrators shall encourage and facilitate the professional development of employees in fulfilling their job duties within reasonably available resources.
- Supervisors and other administrators shall not exploit any subordinate for personal favors or personal gain.
- Supervisors and other administrators shall not use their position of authority to unlawfully harass, discriminate against, or become involved in sexual relationships with any subordinate.
- Supervisors shall take reasonable steps to maintain an environment free of unlawful harassment by setting an example of appropriate behavior and by taking appropriate action in a timely manner when informed of allegations of inappropriate behavior.

## **PROFESSIONAL CONDUCT**

- Employees shall abide by all laws, regulations, rules, and policies governing their work and professional activities.
- Employees shall truthfully represent to the Department, customers, and prospective customers, their professional credentials, licensure, education, training, and experience.
- Employees shall support a work environment that is safe from all forms of violence, including domestic violence perpetrated within the workplace.
- Employees shall not engage in unprofessional conduct on or off the job that compromises the ability of the employee, the Department, or the State to fulfill its responsibilities; including but not limited to engaging in any off-duty illegal drug related activity or other conduct unbecoming to the public reputation of the Department.
- Employees with access to the BCI database as part of their job shall inform their supervisor of any personal arrest within 10 calendar days of the arrest.
- Employees shall inform their supervisor within 10 calendar days if they are convicted of or have entered a plea of guilty, no contest, or a plea in abeyance to a misdemeanor or felony.
- Employees shall not willfully cause damage to public property or waste public resources, nor use public property for personal gain.

- Employees shall not use State-owned equipment, devices, or services in violation of the Department of Technology’s Acceptable Use of Information Technology Resources (Utah Administrative Code Rule [R895-7](#)).
- Employees shall promptly report to a manager or Human Resource Director when they encounter a situation where they have unintentionally violated Utah Administrative Code Rule [R895-7](#) (such as receiving a sexually explicit email or accidentally visiting the wrong website).

## **PERFORMANCE OF DUTIES**

- Employees shall work assigned schedules as approved by Department management and observe lunch, break, and exercise release periods in accordance with Utah Administrative Code Section [R477-8-3](#).
- Employees shall follow the requirements of DHRM Rule Section R477-8-4 related to overtime. An employee may not work overtime without prior documented approval from their supervisor or Division Director. If employees work overtime on a regular basis, approval may be documented via a memo maintained by their Division Director. Division Directors are responsible for verifying that sufficient funding is available prior to approving overtime for their employees.
  - Employees shall not engage in any activity that could be considered a dereliction of duty, including but not limited to: unauthorized absence without leave, unauthorized use of leave, willful delays or neglect to perform assigned duties and/or responsibilities, inattention to duty, or leaving the work area inappropriately attended.
  - Employees shall not participate in, condone, conceal, or be associated with dishonesty, fraud, misrepresentation, or theft.
  - Employees shall not consume or use alcohol or illegal substances, or be under the influence of alcohol or illegal substances while on compensated work time, on State property, or while operating any vehicle on duty.
  - Employees shall not consume any controlled substance, as defined in [UCA Subsection 58-37-2\(1\)\(f\)](#), that impairs the employee’s ability to safely perform his or her duties during compensated work time, while on-call, while on State property, or while operating a State vehicle. An employee desiring an exception to this policy shall submit a written request for approval to his or her immediate supervisor with an explanation as to how the duties may be temporarily changed or limited to ensure the employee’s safety and the safety of others and to ensure an acceptable level of production.

- Employees shall not unlawfully manufacture, dispense, possess, or distribute any controlled substance or alcohol during work hours, on State property, or while operating any State vehicles, unless doing so is part of their official duties.
- Under the [Utah Medical Cannabis Act, Title 26, Chapter 61A](#), State and political subdivision employees cannot be discriminated against on the basis of their use of medical cannabis, as long as they are otherwise in compliance with the law. The State shall treat use of medical cannabis in the same way the State treats an employees' prescribed use of any controlled substance.
- Employees shall not sell or promote products or services for personal gain in the workplace when doing so interferes with Agency operations or the employee's efficient performance of the employee's State position, or when the activities could result in criticism or suspicion of conflicting interests. Any promotion by a Department employee of products from an industry regulated by the Department is inappropriate.
- Employees shall not solicit political contributions during their hours of employment. Employees shall be familiar with and follow State and Department policies, administrative rules, statutory law and the Governor's Executive Orders.
- Personal conduct outside of the scope of work that brings discredit to the Department is prohibited.

## **WORKING WITH AUDITORS**

- Internal and external auditors have statutory authority to speak to any personnel and review the data, documents, procedures, etc. employees use to perform their jobs.
- When employees are engaged by an internal or external auditor, they have the right to respectfully request identification if they are not familiar with the auditor.
- Each division shall notify the employees expected to be involved in an audit and handle the clearance process with the auditors to make sure they comply with department rules for data security, etc.
- Employees do not need to seek permission from management to speak to auditors. They shall assist the auditors in fulfilling their roles and responsibilities within the audit.
- Employees shall promptly respond to an auditor's request for information. Auditors are authorized to have full access to the information needed to effectively perform their audits, including confidential information when considered necessary.
  - Auditors are accountable for confidentiality and safeguarding of records and information. However, employees shall also work with

auditors to ensure that any requested confidential information or records are protected and secured.

- An employee must consult with the Attorney General's Office before releasing any information to an external auditor that would not normally be available to that auditor through a GRAMA request.
  - If information is subject to attorney client privilege an employee may not waive privilege or release the information to an external auditor without first consulting with the Attorney General's Office.
- Employees shall be honest when responding to auditor questions and provide auditors with accurate and complete information to the best of their knowledge. If they do not have the answer to a question, they can explain that they do not know. Employees should never speculate about information that is outside of their responsibility.
  - If employees have concerns about an auditor's request or were not anticipating the auditor to contact them, they may request additional information about the audit directly from their supervisor, the auditor, or the auditor's supervisor.

#### **PROCEDURES FOR REPORTING VIOLATIONS AND POLICY ENFORCEMENT**

- Employees shall immediately report suspected violations of the Code of Conduct to the OIA hotline or to their immediate supervisor based on the potential severity of the concern. If for any reason that is not possible or appropriate, employees shall immediately report to the appropriate Division Director, Human Resources Director, or to the Commissioner.
- Depending on the circumstances, the nature of the violation, and the degree of the employee's culpability, the Department may take one or more actions consistent with Utah Administrative Code Rule [R477-10](#) or [R477-11](#).
- Department management, in consultation with the Department of Human Resources and the Attorney General's office if needed, shall determine the most appropriate action to take in response to an employee's violation of the Code of Conduct.
- Employees subject to a lawsuit resulting from violations of the Code of Conduct or other acts that are illegal, outside the scope of State employment duties, or not under color of authority may not be indemnified under [Title 63G, Chapter 7, the Governmental Immunity Act of Utah](#).

#### **INFORMATION SECURITY**

- Employees should be aware that the Department follows the State Enterprise Information Security Policy from the Department of Technology Services (DTS)

that can be found at: [DTS Policy 5000-0002.1](#).

- This policy was developed in response to a comprehensive external audit involving all executive branch agencies and the enterprise network. The authority for the policy can be found in [UCA Section 63F-1-103](#); Utah Administrative Code Rule [R895-7](#) (Acceptable Use of Information Technology Resources); and Utah Administrative Code Rule [R477-11](#) (Discipline).
  
- The policy includes essential and proper controls to minimize security risk, meet due diligence requirements pursuant to applicable State and Federal regulations, enforce contractual obligations, and protect the State's electronic information and information technology assets.
- Any Division of the Department or employee desiring exceptions to the policy must ask for specific variations in writing and any exceptions must be approved in writing by the Commissioner. All requests must include the following information:
  - Reason for the variation request.
  - Additional security strategies that will be implemented to mitigate any increased risk created by the variation.
  - A cost-benefit analysis of the proposed variation compared to the existing policy.
  
- Each Department employee is required to complete security awareness training on an annual basis.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>02.04 ADDITIONAL EMPLOYEE BENEFITS</b>	
<b>EFFECTIVE DATE:</b> August 18, 2021	<b>REVISION DATE:</b> August 18, 2021
<b>SUMMARY:</b> ESTABLISHES PARAMETERS FOR THE USE OF ADDITIONAL BENEFITS THAT MAY BE AVAILABLE TO DEPARTMENT EMPLOYEES, INCLUDING EXERCISE RELEASE TIME, EDUCATIONAL ASSISTANCE, TRANSIT BENEFITS, AND CLOTHING BENEFITS	

**REFERENCES**

[Utah Administrative Code Rule R477-8](#), Working Conditions

**EXERCISE RELEASE TIME**

**GUIDING PRINCIPLES**

- The Department supports efforts to promote a healthy workforce. Exercise release time should be used to improve and/or maintain physical health and should not significantly interfere with Department operations.

**POLICY**

- Exercise release time shall follow Utah Administrative Code Section [R477-8-3](#).
- Exercise release time shall be limited to 30 minutes per day up to 3 days per week as established in Rule.
- Unused exercise release time is not cumulative and may not be carried forward.
- Although the Department is supportive of exercise release time, it is neither an employee right nor a guaranteed benefit.

**ELIGIBILITY**

- All Department employees, both career service and career service exempt, if eligible for benefits, are eligible to use exercise release time.
- Employees must obtain approval from their supervisors in order to be eligible to use exercise release time, even if otherwise eligible.

**PROCEDURE**

- An employee shall obtain approval from their direct supervisor.
- The direct supervisor shall determine if exercise release time is feasible.
- If the direct supervisor determines the request is feasible (e.g., does not significantly interfere with Department operations and/or office coverage), the direct supervisor approves the request by assigning an exercise release time or

approving an exercise release schedule for the employee: The supervisor may specify additional conditions for exercise release time in a written agreement.

- Authorization to use exercise release time may be revoked or modified at any time if the employee is not following the agreement, there are problems with job performance, it interferes with Department operations, or for other good cause shown.

## **EDUCATIONAL ASSISTANCE**

### **DEFINITIONS**

- **Passing Grade:** A letter grade of C- or better, "pass" in a pass/fail grading system, or other official written documentation from the school or educational entity showing the employee's successful completion of coursework.
- **Probationary Employee:** An employee hired into a career service position who has not completed the required probationary period for that position.
- **Eligible Employee:** An employee who the Department has determined, in its sole discretion, has met the qualifications for the Program. Time-limited employees are generally not considered "eligible" for the Program.

### **POLICY**

- UDAF is supportive of employees improving their education and training by attending courses offered by accredited colleges/universities and other educational entities.
- As such, UDAF may permit eligible employees to enter into Education Assistance Contracts to assist with the costs of eligible educational expenses.

### **QUALIFICATIONS/APPROVED EXPENSES**

- The Education Assistance Program allows eligible employees to request approval for reimbursement of education expenses for coursework which will satisfy development needs of the employee and which will benefit UDAF and the State.
  - Generally, this Program is not available to time-limited employees, although exceptions may be made to this policy by the Commissioner for good cause shown and taking into account all of the other factors listed in this policy.
- An Education Assistance Contract is required to participate in the program.
- Reimbursable education expenses include tuition, books, and fees only.

- Education assistance may be approved at the Commissioner’s discretion. It is neither an employee right nor a guaranteed benefit.
- When an employee is directed by a supervisor to participate in an educational program, UDAF shall pay the reasonable costs of the Program. Supervisor directed participation in educational programs are not considered part of the Education Assistance Program.
- Education assistance approval considerations by the Commissioner may include the:
  - availability of funds;
  - number of employees requesting education assistance;
  - employee's position schedule (career service or career service exempt);
  - employee's workload;
  - employee's work performance status;
  - job relevance and benefits of the coursework to the employee and UDAF;
  - and
  - any other factors the Commissioner deems relevant.
- An employee may receive education expense reimbursement for up to 75% of the qualifying employee paid education expenses per course (up to a maximum of \$5,250 per calendar year). Reimbursement shall be limited to the same calendar year in which the coursework was completed.
- An employee approved for education assistance shall disclose all scholarships, subsidies, and grant monies, etc., provided to the employee for the education coursework or program.
- Only education expenses that must actually be paid by the employee, minus any scholarships, subsidies, or grant monies, etc., are eligible for reimbursement by UDAF.
- Reimbursement will only be provided for coursework successfully completed with a passing grade, per the Education Assistance Contract.
- An Education Assistance Contract may be terminated by either party by submitting a termination notice in writing. Termination of the Educational Assistance Contract by the Department shall be at the Commissioner’s sole discretion, taking into account any of the factors listed *supra* or breach of the Education Assistance Contract (See Appendix C.03) by employee.
- If the employee voluntarily terminates employment with UDAF within one year of the completion date of the coursework, the employee shall be required to repay 100% of any education assistance received.

- If the employee voluntarily terminates employment with UDAF within two years of the completion date of the coursework, the employee shall be required to repay 50% of any education assistance received.
- The Commissioner may make exceptions to this policy upon review of a written exception request by the employee, the employee's supervisor or the employee's Division Director.

#### **PROCEDURES**

- An eligible employee requesting education assistance shall complete page one of the Education Assistance Contract and submit the entire contract to the employee's supervisor and Division Director for review and approval.
- If there is a request for a policy exception, the Education Assistance Contract shall be submitted to the Commissioner for review and approval.
- Within 60 calendar days after the completion date of the coursework, the employee shall submit the following documentation to the employee's supervisor in order to be reimbursed for the approved education expenses. Failure to timely submit the documentation will result in a voided contract and non-reimbursement of the expenses.
  - A copy of the Education Assistance Contract, including all signatures;
  - A completed [Division of Finance form FI-48](#), Employee Reimbursement/Earnings Request;
  - Official receipts showing the employee paid the tuition, books, and fees for the course; and
  - A report card, transcript, or other official documentation showing the employee successfully completed the course with a passing grade.

#### **TRANSIT BENEFITS**

##### **PURPOSE**

In recognition of the benefits that use of public transit can have on the environment and in reducing traffic congestion, the Utah Department of Administrative Services (DAS) has contracted with the Utah Transit Authority (UTA) to allow state agencies to purchase eco-passes (economical transit passes) for their employees. The contract ends at the end of each fiscal year. The contract may be terminated or terms changed at any time, at the discretion of the Governor's office.

##### **ECO-PASS PROGRAM**

- Depending on availability of funds, the Department may purchase eco-passes under the contract to allow employees to use local buses, express buses, TRAX light rail, Streetcar light rail, bus rapid transit, or FrontRunner commuter rail at little or no cost to the employee.
- Passes may be paid for entirely by the Department or the cost may be split between the Department and the employee.
- If purchased, the Department will issue electronic fare cards embedded with

- microchips that are individually numbered on the outside with a unique internal identification number and signature strip for use as passes. Passes are not transferable and shall only be issued to authorized employee users.
- If an employee loses a pass, the Department is responsible for replacing the pass using the ‘replace card’ functionality on UTA’s partner website at: <https://www.tap2rideuta.com/Account/Login?ReturnUrl=%2F>
  - The Department may charge a fee for the replacement of the pass, up to the fee charged by DAS, if any.
  - Under the terms of the contract, UTA will provide a guaranteed ride home for authorized eco-pass users should they not be able to take a customary scheduled transit trip or other reasonably scheduled transit trip from work to home because of an emergency. Users are entitled to up to six guaranteed rides home in any calendar year.

#### **PASS USAGE**

- The Department will run utilization reports each month to verify usage of employees that are issued eco-passes.
- If a pass is not used for 3 months, it will be rescinded by the Department. Issuance of a new eco-pass will be considered on a case-by-case basis.

### **Clothing Benefits**

#### **Policy**

- At their discretion, Department Division Directors or the Commissioner may purchase clothing containing a Department logo for Department employees based on employee need (due to their job requirements) and division budget availability.
- Clothing allowances shall not exceed \$100 per year per employee and will be considered a taxable benefit for the employee.
- If the clothing is specifically required as a condition of employment as specified in [FIACCT 05-03\\_09](#), the purchase would not be taxable.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b> <b>02.05 INCENTIVE AWARD POLICY</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> May 10, 2022
<b>SUMMARY:</b> THE PURPOSE OF THIS PROGRAM IS TO RECOGNIZE EMPLOYEES WHO MAKE SIGNIFICANT CONTRIBUTIONS TO DEPARTMENT OPERATIONS, ENHANCED CUSTOMER SERVICE, COST SAVINGS, OR REVENUE INCREASES.	

**REFERENCES**

- [Utah Administrative Code Rule R477-6](#), Compensation
- [Utah Administrative Code Rule R477-7](#), Leave
- [FIACCT 05-03.07](#), Service/Retirement Cash Awards
- [FIACCT 05-03.06](#), Incentive Awards and Bonuses

**GUIDING PRINCIPLES**

The Department acknowledges incentive awards and bonuses as one of many effective tools for employee recognition. The Department encourages the appropriate, applicable, and judicious use of all forms of incentive awards as established in Utah Administrative Code Section [R477-6-7](#) and Subsection [R477-7-7\(1\)\(c\)](#). Awards are dependent upon the availability of financial and other resources and are awarded in the sole discretion of the Department.

**GENERAL PROVISIONS**

- Incentive awards may be given for many reasons, including:
  - Providing exceptional customer service;
  - Improving efficiency of services to customers or stakeholders;
  - Efforts resulting in cost savings or revenue increases; or
  - Assuming additional duties or responsibilities.
- All incentive awards shall be administered in compliance with Utah Administrative Code Section [R477-6-7](#) and Subsection [R477-7-7\(1\)\(c\)](#).
- The Department shall develop an internal process to determine how incentive awards shall be awarded and whether an award is warranted for a nominee.

**CASH INCENTIVE AWARDS**

- Cash incentive awards may be granted to an employee or group of employees that demonstrate(s) exceptional effort or accomplishment beyond what is normally expected on the job for a unique event, over a sustained period of time, or for any

other reason allowed under Utah Administrative Code Subsection [R477-6-7\(2\)\(a\)\(i\)](#).

- Per the requirements of Utah Administrative Code Subsection R477-6-7(1)(b), individual awards may not exceed \$4,000 per pay period and \$8,000 in a fiscal year, except when approved by DHRM and the governor.
- Cash incentive awards must be approved in writing by Division Directors. Any award over \$500 must be approved in writing by the Commissioner.
- When a cash incentive award is approved, the Division Director or Program Manager shall give documentation to the recipient.
- Cash incentive awards, including a detailed justification shall be documented in an employee's personnel file.
- Documentation of the justification for the award should also be maintained by the Division Director.

#### **RETIREMENT AND SERVICE AWARDS**

- Retirement awards shall be administered via the payroll system on an employee's final paycheck, and service awards for five-year increments of State service shall be administered with an employee's regular payroll check in compliance with the Division of Finance Policy governing Service/Retirement Cash Awards ([FIACCT 05-03.07](#)) and Policy 02.06.

#### **NON-CASH INCENTIVE AWARDS**

- Any Department employee may recommend a non-cash incentive award for another employee.
- Non-cash incentive awards shall be administered in compliance with the Division of Finance Policy [FIACCT 05-03.06](#) governing Incentive Awards and Bonuses.

#### **ADMINISTRATIVE LEAVE**

- Administrative leave and administrative leave in lieu of cash awards may be granted from the HR Director, Commissioner, or Division Director level for incentive, recognition, and other purposes in accordance with Utah Administrative Code Section [R477-7-7](#).

- The HR Director, Commissioner, or Division Director shall issue a written certificate of administrative leave to the receiving employee that includes:
  - The number of hours of administrative leave being granted;
  - The deadline or expiration date to use the leave, if earlier than the end of the fiscal year; and
  - The reason or justification for issuing the leave in lieu of cash award.
- Administrative leave in lieu of cash awards in excess of one business day requires the Commissioner's written approval.
- The cumulative total of administrative leave in lieu of cash awarded to an employee shall not exceed 40 hours in a fiscal year.
- Employees shall record hours used from administrative leave granted in lieu of cash using the OR (Other Reward) code in the payroll system.

**SUPERVISORS SHALL ENSURE THE OR CODE IS USED IN THE PAYROLL SYSTEM WHEN APPROVING TIMESHEETS IN PAYROLL FOR ADMINISTRATIVE LEAVE IN LIEU OF CASH.**

**EMPLOYEE REFERRAL BONUS INCENTIVE**

- To encourage employee referrals for hard-to-fill career-service positions, the Department may grant an Employee Referral Incentive to a Department employee pursuant to Utah Administrative Code Subsection R477-6-5(4), Market Based Bonuses.
- A Department employee who refers a candidate to fill an eligible position may receive a \$500.00 Employee Referral Bonus (ERB), when the candidate has successfully been hired and has worked for the Department for 30 days.
- The Employee Referral Bonus (ERB) process shall be implemented as follows:
  - The Department shall identify recruitments for positions having a referral incentive in the recruitment announcement sent by email to Department employees.
  - Recruitment announcements for positions having a referral incentive shall include questions asking the candidate if they were referred by a current Department employee; and If so, by whom.
  - For an employee to be eligible for this incentive, the referred candidate must provide the name of the Department employee who made the referral.

- The Department employee who refers a candidate must notify the HR Representative responsible for the recruitment via email that they have referred a candidate who has applied for employment and include the following:
  - Candidate's name, and
  - Position for which the candidate applied.
  - Once notified, DHRM shall track the status of the referred candidate and determine if the referred candidate has been hired.
  - If the referred candidate is hired and has worked for the Department for 30 days, DHRM shall:
    - Prepare an ERB incentive award letter for the Commissioner's signature if the candidate is hired,
    - Initiate payment to the referring employee when the referred employee has successfully been hired in the eligible position, and
    - Place copies of the incentive award documentation in the referring employee's personnel file.
- ERB payments shall be processed through payroll to be included on the referring employee's paycheck.
- All ERB payments are pre-tax and are treated as taxable income by the IRS.
- The time sheet records that include the ERB amount must include a reference to this policy and Utah Administrative Code Subsection R477-6-5(4).
- The referring employee must still be employed by the Department at the time they become eligible for the respective incentive in order to receive an ERB.
- An employee may not receive an incentive for referring a candidate currently working in a career-service position or temporary capacity for the Department.
- A hiring official who was involved with a specific hiring decision may not receive an incentive for referring the hired candidate.
- Employee Referral Bonuses shall be subject to the availability of funds.
- An employee may not receive employee referral bonuses totaling more than \$1,000 in any fiscal year.
- A Division Director may not receive an ERB for referring people within their own division.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b> <b>02.06 SERVICE/RETIREMENT CASH AWARDS</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> THE PROCESS AND POLICIES REGARDING CHECK AWARDS AND CASH EQUIVALENTS PAID TO EMPLOYEES FOR YEARS OF SERVICE OR RETIREMENT.	

**REFERENCES**

[FIACCT 05-03.07](#), Service/Retirement Cash Awards

[FIACCT 05-03.08](#), Service Retire Non-Cash Awards and Recognition

**POLICY-SERVICE AWARDS**

In accordance with the policy issued by the Department of Human Resource Management, the Department may use checks or cash equivalents to recognize years of service. Cash equivalents include gift certificates and savings bonds.

- If the service award item is purchased by the employee, who is then reimbursed by the State, the reimbursement is considered a cash award by the IRS, and it is taxable to the employee.
- The purchase price of a savings bond is half its face value. For example, \$25.00 will purchase a \$50.00 savings bond.
- These awards may not exceed the maximum amounts allowed. The allowable maximum expenditures (excluding the employer's matching share of FICA) are as follows:
  - 5 years of service-up to \$50
  - 10 years of service-up to \$100
  - 15 years of service-up to \$150
  - 20 years of service-up to \$200
  - 25 years of service-up to \$250
  - 30 years of service-up to \$300
  - 35 years of service-up to \$350
  - 40 years of service-up to \$400

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
02.07 RELOCATION BONUS	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> DEPARTMENT PROCEDURES FOR RELOCATION BONUS.	

**REFERENCES**

FIACCT 05-03.03, [Relocation Reimbursement Utah Administrative Code, Rule R477-6](#), Compensation

This policy has been established to ensure consistency throughout State Departments and Agencies in providing an equitable reimbursement for State of Utah employees who are required to relocate due to their employment. (See [FIACCT 05-03.03](#)). These bonuses are considered market based incentives and require DHRM approval in addition to Agency approval.

**APPROVAL**

- All relocation moves require prior written approval of the Division Director or Commissioner and must be in the best interest of the State. The written approval must accompany the Employee Reimbursement/Earnings Request form.

**CURRENT EMPLOYEES**

- DHRM Rule [R477-6-3 \(b\)](#) authorizes the Agency to award a bonus to a current employee who must relocate to accept a position in a different commuting area.
- Reimbursement costs detailed in this policy will be granted to Department employees who are required to move as a result of their employment and may be granted at the discretion of the Commissioner to employees who move to accept another position within the State.

**NEW EMPLOYEES**

- DHRM Rule [R477-6-3](#) authorizes the Agency to award a bonus to a qualified job candidate to incentivize the candidate to work for the State.
- Relocation costs identified in this policy may be paid to new employees who are required to move to accept employment with the Department. The amount of relocation costs reimbursed will be a matter of negotiation between the Department and the employee but will not exceed those costs identified as reimbursable by this policy.

**NOTE:** THE EMPLOYEE MUST AGREE IN WRITING TO REPAY ANY RELOCATION EXPENSE IF,

**WITHIN ONE YEAR FOLLOWING THE RELOCATION, THE EMPLOYEE TERMINATES EMPLOYMENT WITH THE STATE OR TRANSFERS TO ANOTHER DEPARTMENT.**

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
02.08 SICK LEAVE ASSISTANCE POLICY	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> May 10, 2022
<b>SUMMARY:</b> PROCEDURES FOR DONATING HOURS TO THE SICK LEAVE ASSISTANCE PROGRAM, REQUESTING SICK LEAVE AND PROCESSING SUCH REQUESTS.	

**REFERENCES**

[Utah Administrative Code Rule R477-7](#), Leave

The Department will adhere to the requirements of Rule Rule R477-7 with regard to employee use of sick leave and the sick leave assistance program. Pursuant to the requirements of Section R477-7-4, use of sick leave for greater than 3 consecutive working days shall require administratively acceptable evidence documenting the need for the leave.

**PURPOSE**

- The Sick Leave Assistance Program is designed to provide benefited employees with uninterrupted health care benefits when employees or immediate family members have experienced a catastrophic accident or illness requiring a prolonged absence from work, and when their own accrued leave balances have been or will be exhausted.

**DEFINITIONS**

For purposes of this policy only:

- “Catastrophic accident or illness” means an accident, illness, or physical condition that is life threatening or incapacitating and for which involuntary extensive medical treatment and a prolonged absence from work are necessary.
- “Immediate family member” means an employee’s spouse, child, or parent living in the employee’s home, or a parent living outside an employee’s home if approved for Family and Medical Leave to care for the parent.
- “Prolonged absence” means being off the job for more than one consecutive work week or the equivalent number of consecutive work hours.

**POLICY**

- This policy provides for a general leave bank only. Donations to the general leave bank come from Department employees’ unused accrued hours of

annual leave in excess of 320 hours which are forfeited during year-end processing for each calendar year.

- Forfeited annual leave hours which are swept into the Department's general leave bank are non-tax deductible contributions.
- Employees desiring leave bank assistance must also apply for leave under the Family Medical Leave Act (FMLA). If an employee is not eligible for FMLA, the employee must provide comparable medical certification to the Department HR Director before the Department can determine if the employee is eligible to receive donated leave.
- Sick leave assistance may only be approved for employees who are eligible for leave accrual as described in Utah Administrative Code Rule [R477-7](#).
- Eligibility for leave accrual does not guarantee approval to receive paid leave through the Sick Leave Assistance Program.
- Sick leave assistance may be granted only to employees who have used their leave according to Utah Administrative Code Rule [R477-7](#). Sick leave assistance is not an employee right and approval shall be granted at the Commissioner's discretion after reviewing the recommendations of the Division Director and the Human Resources Director.

#### **LEAVE BANK HOURS**

- Up to 40 hours per pay period may be granted to employees from the general leave bank.
- The maximum amount of time an employee may be on approved sick leave assistance is 12 weeks (240 hours) in one calendar year.
- The number of hours granted is contingent on management's discretion and the number of hours available in the general leave bank.
- In no case shall the number of general leave bank hours granted exceed an employee's regularly scheduled work hours per week.
- A request for sick leave assistance shall be made prior to an employee going into a leave-without-pay status, whenever possible.

- Approved sick leave assistance terminates upon the employee's return to work, or when the conditions of the original leave request are no longer applicable.
- Use of approved general leave bank hours may not begin until all other forms of an employee's accrued leave hours are exhausted. Any accrued annual or sick leave resulting from the use of sick leave assistance must be used prior to the use of additional sick leave assistance.
- Employees receiving any type of income maintenance, such as Short Term Disability, Long Term Disability, or Workers' Compensation, etc., are not eligible for sick leave assistance.
- All use of the Sick Leave Assistance Program shall be subject to audit.
- Employees are not eligible for the Sick Leave Assistance Program if, in the 24 months prior to applying for sick leave assistance, they have been on a performance improvement plan for any reason, or have any form of documented leave abuse or misuse, or have received disciplinary action for any reason.
- Employees using donated sick leave assistance may not work a second job without written consent of the Commissioner, per Utah Administrative Code Section [R477-7-19](#).
- The Department does not accept Sick Leave Assistance donations from employees outside of the Department.
- After consultation with the Human Resources Office, management may extend the probationary periods of employees receiving donated sick leave assistance from an approved general leave bank.
- Exceptions to the Sick Leave Assistance Program policy and procedures shall be made at the discretion of the Commissioner.

#### **PROCEDURE**

##### **Applying for Sick Leave Assistance**

- A benefitted employee may apply for sick leave assistance by completing the following forms and submitting them as required:

- HR 13, Sick Leave Assistance Request Form – to be completed by the employee or the employee’s representative. If an employee is unable to complete the form and has no representative, the employee may ask their supervisor to complete the form.
  - FMLA Application and FMLA Certification – Employee Serious Health Condition; or
  - FMLA Application and FMLA Certification – Family Member’s Serious Health Condition.
- The applicable certification form is to be completed by a licensed health care provider knowledgeable about the employee’s medical condition or the employee’s immediate family member’s medical condition. If the employee is not eligible for FMLA, the employee may submit the Sick Leave Assistance Medical Verification instead of the forms listed above. The employee or the employee’s representative is responsible to complete this form.

#### Processing Sick Leave Assistance Requests

- Sick Leave Assistance Request
  - The employee or the employee’s representative shall submit the completed Sick Leave Assistance Request to the employee’s supervisor for review.
  - The supervisor shall recommend approval or denial, then forward the request form to the Division Director for review.
  - The Division Director shall recommend approval or denial, then forward the form to the Human Resources Office for review.

#### FMLA Application and Certification Forms

- To maintain confidentiality regarding medical information:
  - The employee or employee’s representative shall submit the completed FMLA paperwork to the Human Resources Office for review.
  - If the employee is not eligible for FMLA, the employee may submit the Sick Leave Assistance Medical Verification to the Human Resources Office for review.
- The Human Resources Office shall recommend approval or denial, then forward the Sick Leave Assistance Request to the Commissioner for review, and shall indicate on the form:
  - whether the medical documentation provided by the employee supports the request for sick leave assistance; and

- the leave bank hours available for use based on the FMLA certification (or if not eligible for FMLA, the Sick Leave Assistance Medical Verification and the number of any general leave bank hours already used in the current calendar year.
- Upon final approval or denial by the Commissioner, the Division Director shall immediately notify the employee of the decision.
- Management and the Human Resources Office will maintain appropriate confidentiality about the employee's request and any related medical information.

#### Using General Leave Bank Hours

- General leave bank hours may not be granted to an employee until the request for sick leave assistance has been approved by the Commissioner.
- Once the request for sick leave assistance has been approved by the Commissioner, general leave bank hours may be applied back to the first day of leave-without-pay, according to the dates approved on the Sick Leave Assistance Request.
- If additional leave is required beyond the Sick Leave Assistance Request originally approved, a new Sick Leave Assistance Request detailing current conditions and FMLA paperwork (or if not eligible for FMLA, a Sick Leave Assistance Medical Verification shall be submitted for review and approval).

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>02.09 ON-CALL POLICY</b>	
<b>EFFECTIVE DATE:</b> SEPTEMBER 1, 2020	<b>REVISION DATE:</b> SEPTEMBER 1, 2020
<b>SUMMARY:</b> ESTABLISHES DEPARTMENTAL POLICIES FOR COMPENSATING EMPLOYEES PLACED ON “ON CALL” STATUS. THIS POLICY ALSO ENSURES COMPLIANCE WITH FAIR LABOR STANDARDS ACT, <a href="#">UTAH CODE 67-19-6.7</a> , AND STATE OF UTAH HUMAN RESOURCE MANAGEMENT RULES.	

**REFERENCES**

[UCA Section 67-19-6.7](#), Utah State Personnel Management Act  
[Utah Administrative Code Rule R477-8](#), Working Conditions

**DEFINITION:**

- Pursuant to Utah Administrative Code Section [R477-8-10](#), employee time is considered “on-call time” only when an employee is required by management to be available for a call to duty.
  - Being available means an employee is required by management to be reachable to work during a specified time frame of coverage for work beyond an employee’s regular work schedule.
  - This requirement is to be stipulated in writing prior to being considered on “on-call” status consistent with procedures for “on-call time.”

**COMPENSATION TERM:**

- Pursuant to Utah Administrative Code Section [R477-8-10](#), employees required by management to be available for “on-call time” will be compensated at a rate of one hour for every twelve hours the employee is “on-call.”

**REPORTING ON-CALL TIME:**

- Employees record “on-call” time as “on-call paid” and not as “hours worked” on their timesheet.
- On-call” time reported is to be paid out the following pay period.

**ACTUAL HOURS WORKED:**

- Actual hours worked shall be reported as set forth in Utah Administrative Code Section [R477-8-10](#).

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
02.10 TELEWORK POLICY	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> PROVIDES GUIDELINES FOR DEPARTMENT EMPLOYEES WHO TELEWORK, CONSISTENT WITH DHRM POLICY.	

**REFERENCES**

- [Utah Administrative Code Rule R477-8](#), Working Conditions
- [Utah Work Training for Supervisors](#)
- [DTS Policy, Acceptable use of IT Resources](#)
- [Utah Works Training for Employees](#)

**PURPOSE**

- This policy provides direction for implementing telework at the Department including various types of alternative work arrangements supported by the Department as well as the requirements for each arrangement. It is designed to provide the structure needed for effective implementation and operation of alternative workplace strategies across agencies. This policy is designed to comply with DHRM’s telework rule (Utah Administrative Code Section [R477-8-2](#)). In case of conflict, the Department’s individualized telework/remote work agreement with each employee shall take precedence over this policy.

**POLICY OBJECTIVES**

- The intent of this policy is to increase productivity, decrease commute emissions, increase employee morale and retention, and reduce costs associated with office space.

**POLICY DESCRIPTION**

- The telework policy is designed to better enable work and maximize the use of the Department’s assets through a complementary set of alternative workplace strategies. The program leverages the Department’s capacity for mobile work, as enabled by job functions, mobile technologies, and alternative space options such as free addressing, to enable a wider range of work arrangements for qualified Department employees. Chief among these work arrangements is Remote Work and Mobile Work (aka Telework).
- This policy address four types of work profiles:

- Remote
- Mobile
- Adaptable
- Resident

#### REMOTE WORK

- Remote work provides a qualified employee the opportunity to **work at a place other than a regularly assigned office location, such as the employee's residence or an alternate location approved by the employee's supervisor**. An employee using this arrangement will only be in the regularly assigned office on a schedule mutually agreed upon by the supervisor and the employee. On the days the employee is not scheduled to work remotely, the employee will report to his or her regularly assigned office location. In most cases, the workspace the employee will work in will be an unassigned shared workspace (also known as Free Addressing) approved by the employee's supervisor. Remote workers' official work location will be either an assigned regular office location or their approved alternate location as agreed on in the Employee's Telework Agreement.
- Employees may be required to report to and work in the office location as requested by management.

#### MOBILE WORK

- Mobile work arrangements **provide flexibility of work locations for employees whose responsibilities require them to be away from the office for much or all of the regular workday due to community interaction or other job requirements**. A mobile worker **will be assigned to a regular office location but will likely not be assigned a permanent workspace**. Instead mobile workers will utilize the Free Addressing workspaces when reporting to the regularly assigned office location. The employee's official work station will remain as designated by the Department.
- Employees may be required to report to and work in the office location as requested by management.

#### ADAPTABLE WORK

- Adaptable workers are **employees whose primary place to conduct work is in a regularly assigned building, but who frequently collaborate with different groups or whose work functions require them to be mobile within their facility for the majority of their day**. Adaptable employees utilize Free Addressing workspaces as necessary.

#### RESIDENT WORK

- Resident workers are employees whose work is primarily conducted at a single space in a regularly assigned office location. Resident workers **infrequently collaborate with others, their job functions may require work to be done in a**

**specific location, or they spend the majority of their time at their workspace.** Resident workers are assigned a primary workspace within their regularly assigned office, though they may use Free Addressing spaces when in other Department buildings.

#### **FLEXIBLE RESIDENT WORK**

- If approved by management, a flexible resident worker may work intermittently at an alternate location as needed, but the primary work location will be the regularly assigned office location. This arrangement allows a resident worker to work at an alternate location on such days as bad air or snow days. The expectation is that the worker will be in the office at least 90% of the time.

#### **FREE ADDRESSING WORKSPACES**

- Free Addressing includes a range of unassigned workspaces that are shared and available for use by any Department workers. Free Addressing workspaces can be accessed on a first-come first-served basis or reserved based on the Department's specific needs. They may be allocated into neighborhoods (e.g. near Divisions), though pooling them across groups, and potentially across Divisions, will ensure greater availability. When the Department's telework policy is fully implemented, it should include sufficient Free Addressing workspaces to accommodate the number of Remote, Mobile and Adaptable workers that may use them on any given day.

#### **REMOTE WORK ARRANGEMENTS**

- The Department shall consider Remote work for all possible job classifications which would lead to efficiencies and effectiveness in daily operations. However, all job classifications may not be appropriate for Remote work. Each Division shall identify job classifications eligible for Remote work and shall consider the following factors when determining which positions may be eligible for Remote work: Remote work should only be considered if it would be mutually beneficial for the Agency and the employee. Positions that are suitable for Remote work typically have the following characteristics:
  - A high percentage of work can be conducted individually
  - Collaboration and communication with colleagues can be conducted virtually
  - Work does not require frequent in-person or *ad hoc* collaboration
  - Work output and quality is not impacted by location (e.g. quality of customer services)
  - Work is not dependent on specialty equipment, tools/materials and settings (e.g. laboratory) that cannot be reasonably accommodated remotely
  - Work does not depend on frequent handling of secure materials

## ELIGIBILITY

- Not every employee will be eligible to participate in a Remote working arrangement and many employees will continue to report to their regularly assigned office location during traditional office hours.
- Remote work shall be considered an option, not a universal employee benefit or right per DHRM's telework rule (Utah Administrative Code Section [R477-8-2](#)).
- Department management reserves the right to initiate, terminate or suspend a Remote work arrangement at any time.
- Management shall utilize the following criteria to evaluate employee eligibility for Remote work. An employee may **not** be eligible to participate in Remote work (pursuant to Department discretion) if:
  - The employee is subject to official discipline for performance or conduct, including suspension, demotion, or recommendation for termination;
  - The employee has a documented violation of the Employee Code of Conduct;
  - The employee has demonstrated diminished individual or organizational performance; or
  - The employee has violated the terms of the Telework Program Agreement.

## SUPERVISOR'S RESPONSIBILITIES

- A Remote worker's supervisor has certain responsibilities which include, but are not limited to, the following:
  - Setting forth appropriate measures to protect confidential information;
  - Ensuring that customer service is not adversely affected by the telework arrangement;
  - Undertaking the necessary risk assessments of the office design and working practices;
  - Clearly defining and setting forth the employee's responsibilities;
  - Setting baseline measurements before employee begins a telework arrangement and creating measurable and definable ongoing performance metrics which are reported quarterly in Utah Performance Management (UPM);
  - Maintaining frequent and effective communication with Remote employees;
  - Ensuring there is not a hardship or burden placed on other employees (additional work, etc.);
  - Maintaining responsibility and accountability for treating all Remote and non-Remote employees similarly in acts involving managerial discretion, including but not limited to: distribution of assignments among employees in the work unit, use of appropriate tracking and communication tools, performance management, both informal and formal feedback,

- performance coaching, learning and development, reassignment, promotion, retention, and discipline;
- Providing advance notice, if practicable, to Remote employees regarding requests to report to the regularly assigned office location (notice is not required and does not absolve an employee's responsibility to be physically present upon request); and
- Completing [Utah Works Training for Supervisors](#) and annually signing an Employee Telework Agreement form (See Appendix B.04).

#### **EMPLOYEE'S RESPONSIBILITIES**

- An employee utilizing a Remote work arrangement has certain responsibilities depending upon which arrangement is utilized, including, but not limited to, the following:
  - Maintaining established performance standards;
  - Ensuring that the alternative worksite is appropriate and provides the work environment, connectivity, technology, resource access, safety and security consistent with the work in which the employee is engaged;
  - Remote workers are responsible to establish and provide home internet for the purposes of Remote work. Internet service must be of sufficient speed to support all work related applications, systems, and devices. All initial set up costs, or costs associated with a Remote worker changing locations are the responsibility of the Remote worker. Any service or performance related issues with internet service need to be addressed immediately by the Remote worker. Failure to immediately address such issues can lead to suspension or termination of the Remote work agreement. If a Remote worker is not able to complete work assignments due to internet issues, they must report to their regularly assigned office location within one hour of discovering an issue;
  - Remote worker's in-home internet service for personal use during non-work hours is not regulated by this policy unless State equipment is being utilized. State owned equipment is always subject to DTS security and acceptable use standards;
  - Remote workers are responsible for office equipment (desk/chair) at the work location that is conducive to a safe work environment. Remote workers whose alternative work site is their primary work location may request an ergonomic evaluation of the work site which will be requested through the ergonomic evaluation point of contact and in accordance with existing Department policy;
  - Maintaining flexibility and responsiveness to the needs of the supervisor, work team, and Department (communication and collaboration);
  - Reporting to the regularly assigned office location, pursuant to Department needs, for all or part of a workday during which they would otherwise be engaged in a Remote arrangement;

- Management may require a Remote worker to attend meetings, conferences, or other activities away from the Remote worker's primary work location. Mileage to and from the required activity will be reimbursed according to Department policy. Travel to the assigned office location, even during remote work time, shall not be reimbursed;
- Documenting Remote work time in accordance with established Department of Human Resource Management (DHRM) time and attendance policies;
- Complying with DHRM and Department rules and practices pertaining to requesting and obtaining approval for leave, overtime, or any change to the employee's agreed-upon work schedule outlined in the Employee Acknowledgement and Remote Work Agreement form (See Appendix B.04);
- Remote work employees must comply with all applicable Federal, State, and municipal laws as well as State and DHRM rules and Department policies, including those dealing with time reporting and overtime;
- Maintaining effective communication with supervisors and other employees with whom communication is essential for successfully implementing the arrangement;
- Being considerate of employees sharing Free Address workspace, and maintaining a clean workspace at all times;
- Using a Free Address workspace only so long as needed;
- Confidentiality of work-related information must be maintained in the Remote work environment in accordance with Federal, State, and municipal laws and DHRM rules and Agency policies. Unauthorized disclosure may subject the employee to penalties provided by law, as well as disciplinary action initiated by the Department, up to and including termination of employment;
  - Security of digital information must comply with DTS standards.
  - Printed information must be returned to the Department or destroyed based on applicable records retention schedules and practices.
- Remote workers are required to adhere to the DTS Information Technology (IT) Resources Acceptable Use Policy;
- Maintaining a high level of customer service at all times;
- Completing [Utah Works Training for Employees](#) and annually signing an Employee's Acknowledgement and Remote work Agreement form;
- All terms and conditions of employment not specifically addressed in this policy remain in effect as if the employee were not teleworking, including but not limited to salary, benefits, leave use, etc; and
- Agreement that any exceptions made to this policy must be approved by the Commissioner, Division Director, or designee.

#### **REMOTE WORK PLAN PARTICIPATION**

- Participation in a Remote work arrangement is based on an employee's job responsibilities as determined by the Department. If an employee's productivity decreases or other performance or conduct issues arise, the supervisor shall treat the Remote employee no differently than an employee working in the regularly assigned office location.
- Employees who participate in a Remote work arrangement are considered to be in an official duty status during their designated work hours. Routinely providing dependent or adult care while in official duty status is prohibited and not the intent of this program.
- Rules regarding overtime, compensable hours, work-related travel, acceptable use of IT resources, and all other employment-related policies and rules apply to employees regardless of their assigned work location. For questions please contact the DHRM staff assigned to the Department.
- Supervisors retain the authority to disapprove an employee's selection of a particular alternative worksite arrangement if, in the supervisor's opinion, the worksite is not business appropriate, fails to provide a working environment compliant with this policy, or both.
- In cases where the Department has defined a clear business objective to support adopting a telework policy, the Department has discretion to expand some of the incentives allowable in Finance policy, rules and code. For instance, the Department may choose to reimburse a portion of the telework costs for an employee.

#### **CLEAR-DESK PROTOCOLS/MAINTAINING SANITARY FREE ADDRESS WORKSPACE**

- Employees authorized to use Free Address workspaces at the Department must follow "clear-desk protocols."
- All work and personal items must be cleared from the workspace after use so that the Department can continue to provide an accommodating workspace for all users, and reduce the threat of confidentiality and data security breaches.
- The Department shall take reasonable measures to maintain a sanitary workspace, such as providing anti-bacterial wipes and hand sanitizer to be used on Free Address telephones and other such equipment used by multiple employees.
  - Employees should disinfect work areas on a regular basis to assist in reducing the spread of contagions and promoting the overall health of the workforce.

#### **INCLEMENT WEATHER**

- If Department offices in a county are closed, employees *including those in a remote work arrangement who were regularly scheduled to be at the designated office location that is being closed* may be granted discretionary leave with pay.
  - However, if an employee is participating in a Remote work arrangement and is scheduled to work remotely the day the office is closed, the employee may be required to work that day or take annual leave.

- If unsure of the appropriate course of action during inclement weather, the employee shall seek guidance from his or her supervisor or the Division Director.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>02.11 PHASED RETIREMENT POLICY</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> DEPARTMENT POLICY OUTLINING THE CONDITIONS UNDER WHICH AN EMPLOYEE CAN EXTEND THEIR EMPLOYMENT ON A HALF-TIME BASIS AFTER THEIR RETIREMENT DATE.	

**REFERENCES**

- [UCA Section 49-11-1302](#), Phased Retirement-Voluntary Participation-Employer Duties
- [Utah Administrative Code Rule R477-7](#), Leave
- [Utah Administrative Code Rule R477-4](#), Filling Positions
- [UCA Section 49-11-1304](#), Phased Retirement Agreements

- Phased retirement is a program within the Utah Retirement System (URS) that allows employment of an employee on a half-time basis with the same Agency immediately following the employee’s retirement date. While in phased retirement, the employee will receive 50% of his monthly retirement allowance, while working no more than half-time for the Agency. Halftime is defined as normally 20 hours per week or not to exceed 40 hours per pay period. The employee may not work as a volunteer in the same retirement position. Following the discontinuation of phased retirement, the employee’s monthly retirement allowance will return to 100%.
- Under UCA [Section 49-11-1302](#), the Department may offer phased retirement for a retiree who has not completed a one-year employment separation. The statute requires the participating Department to establish a written policy and procedure for phased retirement. The written policy must include provisions for the following, each addressed below:

**GRANTING AND DENYING A REQUEST FOR PHASED RETIREMENT**

- Phased retirement is offered at the Department’s sole discretion based on the employee’s eligibility to participate in phased retirement. Phased retirement is not a benefit and the employee is neither entitled to nor guaranteed phased retirement.

The employee must request phased retirement from the Commissioner in writing and the Commissioner may approve or deny the request.

- Generally, an employee's request for phased retirement will be granted if the employee:
  - Is eligible to retire;
  - Has worked for the State of Utah for at least four years and the Department for at least one year; and
  - A business need exists to offer phased retirement, as conveyed by the Commissioner in the business plan addressed below.

**NEEDED APPROVALS WITHIN PARTICIPATING EMPLOYER**

- Following approval of the employee's request for phased retirement, the Commissioner must notify their HR office of their intent to offer phased retirement. The Commissioner must provide a business reason supporting phased retirement via business plan to their HR office. The plan must identify the business need for offering phased retirement and cite costs and benefits associated with offering phased retirement.
- As an example, the business plan may address the employee's history with the Department and provide examples of their job duties and responsibilities. The plan can address the employee's recent projects and the need for phased retirement in terms of providing for continuity of operations for the Department, orderly conclusion of assignments, and shifting of responsibilities to other employees.
- The Commissioner must also submit the employee's phased retirement agreements to the Department of Human Resource Management (DHRM) and URS.

**TIME LIMITS OR OTHER RESTRICTIONS**

- Phased retirement may begin no later than 120 days after the employee's retirement date.
- The employee must notify URS at least five business days prior to their effective retirement date.
- The employee may work no more than 20 hours a week and hours cannot flex between weeks.
- Pre-2006 Program I sick leave must be used to purchase medical insurance for the duration of the phased retirement. The Department may offer dental, vision, and life insurance at their discretion. If Program I sick leave is not available, the Department may offer medical insurance for the employee at their discretion.

- If the employee receives benefits, reinstatement of Program III sick leave will occur for the duration of the phased retirement. The employee with accrue annual leave, but not retirement.
- With respect to non-retirement, medical, and leave benefits, the employee shall be treated in the same manner as other part-time employees working in a similar position and number of hours for the Department.
- Benefits provided to employees while employed in phased retirement shall end on the last day worked. Accrued leave earned in phased retirement shall be paid out under the existing policy.
- Under Utah administrative Code Section [R477-7-5](#), upon retirement, Program I converted sick leave hours may not be suspended or deferred for future use.
- Under Utah Administrative Code Section [R477-4-6](#), employees rehired under the phased retirement program shall be classified as time-limited for the duration of the phased retirement employment period and placed at or below the employee's wage at the time of retirement. Employees cannot be placed below the minimum of the established salary range for the job.
- Phased retirement is typically 3-6 months in length. However, if agreed upon by all parties, extension is possible. The Commissioner must share the intent to continue with DHRM. While phased retirement agreements may be renewed for additional periods at the Department's discretion, in no event may the employee work in phased retirement for more than one year.
- When phased retirement is ending, the employee must contact and notify URS on or before the date that work ends.
- URS will move the phased retiree to normal retirement status one month following receipt of the notice and termination date.
- Per UCA [Section 49-11-1304](#), the phased retirement agreement shall specify the period of the phased retirement and, at the discretion of the agreeing parties, address hours of work, job duties, and other arrangements related to employment.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>02.12 SOCIAL MEDIA POLICY</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> THIS POLICY PROVIDES GUIDANCE FOR EMPLOYEE USE AND DEPARTMENT MANAGEMENT OF SOCIAL MEDIA, WHICH SHOULD BE BROADLY UNDERSTOOD TO INCLUDE BLOGS, WIKIS, MICROBLOGS, MESSAGE SITES AND SERVICES THAT PERMIT USERS TO SHARE INFORMATION CONTEMPORANEOUSLY WITH OTHERS.	

**EMPLOYEE USE OF SOCIAL MEDIA ON BEHALF OF THE DEPARTMENT**

- It is the Department employee’s duty to know and adhere to the UDAF Policy and Procedures Manual, and other Department policies when using the Department’s social media accounts.
  - If an employee is directed to post information that the employee believes may be in violation of these policies, the employee may seek clarification of the policy from a supervisor.
- Employees should refrain from attributing positions on current events and other issues to the Department without approval from the Commissioner, especially with respect to issues over which the Department has jurisdiction and/or regulatory responsibilities.
- Department employees are not to publish, post, or release any information that is considered confidential, private, or otherwise protected. If there are questions about what is considered public information, employees should check with their supervisor or the Department’s human resources representative.
- Social media networks, blogs, and other online content sometimes generate press and media attention or legal questions. Employees should refer inquiries to authorized Department spokespersons, consistent with the Department Media Relations Policy, currently section 03.03 of this Manual.
- If an employee encounters a situation while posting on the Department’s social media that threatens to become antagonistic, the employee should disengage from the dialogue in a polite manner and seek the advice of a supervisor.
- Employees should get permission before they refer to, or post images of, current or former employees, members, vendors or suppliers. Employees should get permission to use a third party's copyrights, copyrighted material, trademarks, service marks or other intellectual property.
- Content that violates the Department’s Standards of Conduct Policy, 02.03, or any other Department policy may subject an employee to disciplinary action or termination.

**PERSONAL SOCIAL MEDIA PLATFORMS**

- If Department employees publish content on personal social media that involves an area regulated by the Department, employees are encouraged to use a disclaimer, such as: “The postings on this site are my own and may not represent the Utah Department of Agriculture and Food’s positions, strategies, or opinions.”

- Department maintained social media accounts shall be separate from an employee's personal accounts

**PUBLIC COMMENTS ON DEPARTMENT SOCIAL MEDIA PLATFORMS**

- The Department welcomes the public's participation and engagement on official Department social media platforms as long as commenters use family-friendly content and civil tone, and comply with the terms and conditions of posting on each site.
- The Department does not discriminate on the basis of identity or anonymity of the commenter, or the commenter's viewpoint. Comments that express disagreement with a particular position generally will not be removed, so long as the comments do not otherwise violate Department policy.
- The Department may, in its sole discretion, moderate or remove comments on its maintained sites if they contain, constitute, or link to:
  - Off-topic discussions unrelated to Department programs, services, projects, issues, events, or activities;
  - Content encouraging illegal activity or violence;
  - Content that promotes, fosters, or perpetuates discrimination against protected classes;
  - Content that violates a legal ownership interest of any other party, such as copyright or trademark infringement;
  - Content containing improperly disclosed private, protected, or confidential information as defined by State law;
  - Content that may tend to compromise the safety or security of the public or public systems;
  - Profanity, nudity, indecency, or obscenity;
  - "Spam," advertisements, promotions, solicitations of commerce or products; or links to promote a candidate;
  - Content which could be considered sexual harassment under State law;
  - Slanderous or defamatory attacks, or personal harassment of another poster;
  - Disruptively repetitive content; or
  - Content which the Department in its sole discretion considers inappropriate..

**ENFORCEMENT**

- When there may be a violation of the policy standards, the Department may take any legal steps to resolve the violation, including, but not limited to, inviting the commenter to engage in a more productive manner, requesting the commenter to voluntarily remove the improper content, or capturing the content to create a record and removing the content immediately.

- The content may be re-posted at the Department's discretion or if successfully appealed to the Commissioner.
- Multiple violations of Department policy may result in an employee being prohibited from future postings on the Department's accounts.
- Although the Department generally attempts to resolve these issues amicably, UDAF reserves the right to forward or report to the social media platform any content that may violate the terms of service of the provider.
- The Department may also forward content that may violate State or Federal law to an appropriate law enforcement agency for further action.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
02.13 EMPLOYEE GRIEVANCES	
<b>EFFECTIVE DATE:</b> December 4, 2020	<b>REVISION DATE:</b> December 4, 2020
<b>SUMMARY:</b> THE PURPOSE OF THIS POLICY IS TO SET FORTH THE OPTIONS FOR EMPLOYEES AND CUSTOMERS TO FILE GRIEVANCES OR ADDRESS CONCERNS WITH AGENCY OR STATE ACTIONS.	

**REFERENCES**

- [UCA, Title 63G, Chapter 4](#), Administrative Procedures Act
- [UCA, Title 67, Chapter 19A](#), Grievance Procedures
- [UCA, Title 67, Chapter 19](#), Utah State Personnel Management Act
- [UCA, Title 67, Chapter 21](#), Utah Protection of Public Employees Act

**POLICY**

It is the policy of the state of Utah to provide and maintain a work environment free from abusive conduct and to ensure employees are comfortable reporting issues in the workplace without fear of retaliation or reprisal.

**PROCEDURE**

The procedure for filing a grievance against another state employee or entity depends on the type of grievance alleged. For example, a grievance regarding alleged discrimination against a co-worker or a grievance filed under the Americans with Disability Act (ADA) may be handled differently than a grievance regarding alleged misuse of governmental funds.

Ideally, an employee who believes that a grievance is appropriate should first contact their immediate supervisor to discuss the issue. If the employee feels uncomfortable doing so, the employee should discuss the issue with the next individual in the chain of command.

Once raised, generally employee grievances are addressed by the Department of Human Resource Management (DHRM), the Career Service Office, or the governmental entity where the aggrieved employee is employed. Jurisdiction is based on the type of grievance alleged and must comply with the relevant code provision related to the type of grievance. For example, Title 63G, Chapter 4 (the Administrative Procedures Act), Title 67, Chapter 19a (Grievance Procedures) and Title 67, Chapter 19 (Utah State Personnel Management Act).

Grievances regarding individuals or governmental entities may also be filed through the constituent services resources maintained by the Utah Attorney General's Office and the Governor's office through the following links:

<https://attorneygeneral.utah.gov/wp-content/uploads/2020/05/2020-AG-Complaint-Form-fillable.pdf>) (Complaint Form-Utah Attorney General's Office) and

<https://servicecloudtrial-155c0807bf-158b6dc6793.force.com/governor/s/comments> (Complaint Form-Governor's Office of Constituent Services)

Further, an employee may report any conduct which falls under Subsection 67-21-3(1)(a) (for example, gross mismanagement, abuse of authority or unethical conduct) to any of the individuals or entities identified in subsection (b)(1) of that Act (for example, to the state auditor, legislative leadership, or state court administrator) in addition to reporting the concerns to DHRM. Once a grievance is filed, DHRM or the appropriate individual based on the grievance type, will discuss the employee's options, the steps involved in investigating the grievance and the expected timeframe for issuing the initial decision regarding the merits of the grievance.

#### **PRIVACY**

When reporting a grievance, the employee should inquire whether the grievance will be confidential, meaning with whom the information must or may be shared and who makes that determination.

#### **RETALIATION**

Often referred to as "Whistleblower Protection," employees who file grievances in good faith (that are not malicious, false or frivolous) are protected from retaliatory action (as defined in UCA Subsection [67-19a-101\(11\)](#) under Utah's Protection of Public Employees Act [Section 67-21-1](#) *et seq.*). Some examples of retaliatory action would be termination, reduction in compensation, failure to promote an employee, or threatening an employee with any retaliatory action. A supervisor or member of the Executive Office may not require the employee to withdraw the grievance or issue any statements preventing employees from reporting future claims. Retaliatory actions themselves may also form the basis of a separate grievance from the underlying grievance which precipitated the employee's initial report.

#### **APPEALS**

The rights of an employee to appeal a decision on a filed grievance will depend on the nature of the grievance. The employee should receive notification of the time frame and individual to whom a grievance may be appealed. In order to protect this right of appeal, the employee should independently verify this information upon receipt of the initial

decision regarding the filed grievance. As with filing an initial grievance, an employee may not be subjected to retaliation if an appeal is filed.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
02.14 EMPLOYEE CLASSIFICATIONS AND HIRING OF TIME LIMITED EMPLOYEES	
<b>EFFECTIVE DATE:</b> December 4, 2020	<b>REVISION DATE:</b> December 4, 2020
<b>SUMMARY:</b> THIS POLICY SETS FORTH THE POLICY REGARDING EMPLOYEE CLASSIFICATION AND THE HIRING OF TIME LIMITED EMPLOYEES FOR DEPARTMENT POSITIONS.	

**REFERENCES**

[UCA Section 67-19-15](#), Career Service, Exempt Positions, Schedules for Civil Service Positions, Coverage of Career Service Positions  
[Utah Administrative Code, Rule R477-4](#), Filling Positions

**PURPOSE**

- The State of Utah operates under a career service employment system established in [UCA Section 67-19-15](#). This is a merit system designed to ensure fair and open recruitment, competition, and employment practices free of political influence or other non-merit factors. As such, all positions being filled shall go through a competitive recruitment process in accordance with Department of Human Resource Management (DHRM) [Rule R477-4](#), unless otherwise exempt.

**POLICY**

- It is the policy of the Department Agriculture and Food to recruit and hire the best qualified applicants to fill vacant career service positions while complying with the rules and procedures established by DHRM.

**CLASSIFICATIONS**

Generally, UDAF employees fall under three categories:

- Schedule A employees are those who are appointed and may be removed from that position as deemed appropriate by the appointing official without regard to tenure.
- Schedule B employees fall under the career service schedule, must be hired through the competitive selection process, and may only be removed from employment through an administrative process in consultation with DHRM.
- Schedule AR and AD employees are appointed positions, limited to directors, deputy directors, and others who report directly to a department head, deputy director, or those positions whose appointment requires the governor’s approval.
- The Department shall follow all state approved processes for hiring or appointing

employees that fall under these categories in accordance with DHRM rules and regulations.

#### **TIME LIMITED EMPLOYEES**

- Time limited employees are appointed employees who are career service exempt. They fall into two categories:
  - Schedule IN employees, who are hired to work part time indefinitely and work less than 1560 hours per fiscal year; or
  - Schedule TL employees who are hired to work on a time limited basis, such as seasonal employees, interns, or employees hired for a specific grant or other program that has a predicted end date.
- It is the Department's preference and policy to hire individuals through the competitive recruitment process in accordance with DHRM [Rule R477-4](#). IN or TL hires that fall outside of that process must be approved by the Commissioner.
- When an IN or TL hire is desired, the Division head shall prepare a proposal for the Executive Office to obtain approval to hire such employees and to ensure that the proposed hires are properly classified. The Department shall also coordinate with DHRM to ensure that IN or TL employees are being hired appropriately.
- The Department shall consider the following factors in hiring IN or TL employees:
  - The source and duration of funding for the position;
  - The expected duration of the project or program for which the employees are being considered;
  - The justification for hiring employees outside of the career service process;
  - A cost/benefit analysis of hiring employees on a temporary basis;
  - The specific skill set needed for the project or program;
  - The public or Departmental benefit of hiring the employee (if applicable); and
    - For example, hiring interns may provide a significant benefit to the public as it provides opportunities for individuals to work on agricultural-related projects in furtherance of the Department's mission to expand agricultural education and encourage individuals to pursue careers in that field.
  - Any other factors the Department determines relevant.

**The hiring of IN or TL employees shall not be used as a “run-around” or attempt to circumvent the career service hiring process.**

#### **RETENTION/CHANGE OF EMPLOYEE DESIGNATION**

- Employees hired outside of the career service hiring process may, in some circumstances, be retained past their initial term or may transition into other employment designations.
- The Division head shall consult the Executive Office in making this request and the Department shall coordinate with DHRM to determine if this is appropriate on an individual basis.

#### **TERMINATION**

Termination of employees, regardless of their employment category, shall be in accordance with state of Utah and DHRM policies and procedures.

#### **EXCEPTIONS TO POLICY**

The Commissioner, in coordination with DHRM, may make exceptions to this policy, provided that the exceptions do not otherwise conflict with state law.

- Exceptions to policy shall be documented by the Executive Office and retained by the Executive Office with a copy kept in the individual's personnel file, along with a justification outlining the need for the exception and considering the factors set forth in this policy.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
02.15 RETURNSHIPS	
<b>EFFECTIVE DATE:</b> June 28, 2021	<b>REVISION DATE:</b> June 28, 2021
<b>SUMMARY:</b> THIS POLICY SETS FORTH THE POLICY REGARDING DEPARTMENT RETURNSHIPS, PURSUANT TO <a href="#">EXECUTIVE ORDER 2021-8</a>	

**REFERENCES**

[Executive Order 2021-8](#)

**DEFINITIONS**

Eligible Individual: Someone who has had a career break for at least two years, is looking to get back into the workforce, and is looking to get reacquainted with the workplace and improve any professional-level skills that may have become rusty or require updating in a given industry.

Experience Only Returnship: A returnship that will not provide an offer of employment at its conclusion, that is temporary, and that typically would not provide state benefits to the returner.

Intent to Hire Returnship: A returnship that may provide an offer of employment for the returner at its conclusion, provided that this is a good fit for the Department and the returner. This returnship will require that a Full Time Equivalent (FTE) position is available and would provide state benefits to the returner.

Returner: An eligible individual who is participating in a returnship.

Returnship: Internship for adults looking to re-enter the workforce after an extended absence. They are designed as a back-to-work program that provides the experience, training, skills, and mentoring that an individual needs to return to the workforce without starting from the bottom of the career ladder.

**PURPOSE**

- Consistent with [Utah Executive Order 2021-8](#), the Department recognizes that diversity and life experience are valuable to the state of Utah and should be relevant to pay and opportunity in the workplace.
- The Department is interested in helping all Utahns have economic opportunity in professions and is willing to find ways to optimize Department resources to assist and connect Utah citizens to meaningful skills, training, employment, and work-based learning opportunities.
- The Department believes that it is in the public benefit to assist those individuals who have left the labor force and now desire to return to work.

- The Department recognizes that a high number of individuals seeking to return to work in the State of Utah are seeking training and educational opportunities.
- The Department is willing to provide opportunities, including returnships, to help those looking to return to work.

#### **POLICY**

- It is the policy of the Department to:
  - Identify new ways to provide meaningful returnship opportunities to those individuals returning to the labor force;
  - Remove any impediments that would currently exist to providing these opportunities; and
  - Provide return to work and returnship opportunities whenever appropriate.

#### **UDAF RETURNSHIP PROGRAM**

- The Commissioner will assign a member of the Executive Office team to be the Department Returnship Coordinator who will manage the Department returnship program and serve as the primary contact to returnship supervisors, the Department of Human Resource Management (DHRM), and the Governor's Office of Planning and Budget (GOPB).
- The Department will work with the DHRM and GOPB to provide returnships to eligible candidates on an ongoing basis.
- The Department will seek to provide at least one returnship in each returnship cohort organized by DHRM and GOPB.
- The length of each returnship may vary but typically will last from 12-16 weeks.
- Returnships may be part-time or full-time depending on Department and returner needs.
- The Department may offer experience focused or intent to hire returnships depending on Department needs and funding availability.
- Returners will be paid at least as much as department interns would be paid, as determined by the Division Director in consultation with DHRM. The Department will consider each returner's overall experience level in determining their pay rate.
- The Department will ensure that each returner's supervisor understands the goals of the returnship program and is committed to providing the returner with meaningful work, training, and mentorship opportunities.

- Department returners will participate in training sessions or other returnship activities organized by the GOPB and/or DHRM for their cohort.
- Intent to hire returnship participants may be hired by the Department for full or part-time positions following their returnship if the candidate is a good fit for and remains interested in the position.
- Intent to hire returners may be hired as a time limited employee and then be converted to a career service employee if they accept a position with the Department following the conclusion of their returnship. The returnship application process may serve as their competitive recruitment.

Beginning October 1, 2021, the Department shall report to the GOPB on a semi-annual basis how many Department returnships have been filled.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>03.01 CONFLICT OF INTEREST</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> June 21, 2021
<b>SUMMARY:</b> DEPARTMENTAL POLICY TO PREVENT EMPLOYEES FROM ENGAGING IN SECONDARY EMPLOYMENT OR OUTSIDE ACTIVITIES THAT MAY HINDER THE EMPLOYEE FROM EFFECTIVELY PERFORMING THEIR DEPARTMENT ASSIGNED DUTIES OR CREATE, HAVE A POTENTIAL TO CREATE, OR BE PERCEIVED BY THE PUBLIC AND/OR THE DEPARTMENT'S CUSTOMERS AS HAVING A POTENTIAL FOR CREATING A CONFLICT OF INTEREST.	

**REFERENCES**

[Utah Administrative Code, Rule R477-9](#), Employee Conduct

[UCA Title 67, Chapter 16](#), Utah Public Officers' and Employees' Ethics Act

[Executive Order EO 002 2014](#), Establishing an Ethics Policy for Executive Branch Employees

**POLICY**

Employment with the Department shall be the principal vocation of full time employees. Full time employees shall not accept employment of any kind which could result in a direct conflict of interest. (Utah Administrative Code Rule [R477-9](#) and [UCA Chapter 67-16 et. seq.](#)).

- In addition, employees must be in compliance with Utah's Ethics Act, the Governor's Executive Order Establishing an Ethics Policy for Executive Branch Agencies and Executive Branch Employees ([EO 002 2014](#)), and current DHRM policies at all times. Copies of these policies may be obtained by request from the Department.

**GUIDELINES**

- There are several factors which determine if there is a conflict of interest. Any one of these factors by itself may constitute a conflict. This list is non-exhaustive.
  - Being engaged in work for an outside employer during the same hours one is scheduled to be working for the Department.
  - Disclosing information acquired by reason of Department position for personal or another's private gain or benefit.
  - Using, or attempting to use, Department position to secure special privileges or exemptions for self or others.
  - Accepting employment which would impair independence of judgment in the performance of public duties in a Department position.
  - Engaging in a business venture or working for an organization that is conducting business with the Department or State.
  - Finding oneself incapable of performing at full capacity in a Department position because of fatigue, anxiety, or other impairments caused by outside employment.

- Using a State position or any influence of power, authority or confidential information they receive in their position, or State time, equipment, property, or supplies for private gain.
- Employees shall not receive outside compensation for their performance of State duties except in cases of:
  - Awards for meritorious public contribution.
  - Receipt of expenses paid for papers, speeches, demonstrations, or appearances made on the employee’s own time with the approval of the Department, that are not compensated by the State or prohibited by rule.
  - Usual social amenities, ceremonial gifts, or insubstantial advertising gifts.
- Employees shall declare a potential conflict of interest when they are required to do or decide something that could be interpreted as a conflict of interest. The Department shall then excuse the employee from making decisions, taking actions that may cause a conflict of interest, or may take any other action the Department feels appropriate to minimize or eliminate the conflict.
- Employees shall notify the Department and request approval to participate in outside activities if:
  - Outside employment has potential negative effects on employee work, work conduct, or productivity.
  - Outside employment has the potential or appears to be in conflict with [UCA Chapter 67-16](#) *et. seq.*
- The Department may deny employees permission to engage in outside employment or to receive payment if the Department determines the outside activity causes a real or potential conflict of interest.
  - Employees may file a grievance or appeal this decision to an immediate supervisor or the Commissioner.
  - Failure to notify the Department and to gain approval for outside employment is grounds for disciplinary action if the secondary employment is found to be a conflict of interest.

**PROCEDURES**

- As part of the hiring process, potential employees may complete a conflict of interest/disclosure form as required by DHRM policy.
- In addition, on an annual basis, Department employees shall complete the conflict of interest form contained in Appendix C.01. If the employee does not have any conflicts to disclose, the employee may state “No current conflicts,” and sign the form. If the employee has outside employment or any other conflict they should identify it on the form and the employee’s supervisor should send it to the

Division Director for approval. The Division Director may consult with the Commissioner as needed when there may be a potential conflict. This form, or an electronic form, shall be maintained by the Department. It is the employee's duty to advise the Department within ten days if outside employment or conflicts arise after the date of hire and form C.01 has been submitted.

- Any time there is a change in employment status an employee shall submit a new conflict of interest form.
- If a conflict is identified (including, but not limited to outside employment, business interests, board membership, receipt of gifts), a copy of the employee's form C.01 shall be filed with the Attorney General's office, per State law.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
03.02 IDENTIFICATION CARDS	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> PROCEDURES FOR OBTAINING THE MANDATORY STATE IDENTIFICATION CARD FOR EMPLOYEES.	

All State employees will carry a State Identification card when in the performance of their job. Procedures for obtaining this card are as follows:

- The Division Director or administrative assistant for each Division will work with new employees to take their picture and issue them a State Identification card that will allow them to access the building as required for their position.
- Upon terminating State employment, the employee must return their ID card to the Department. Failure to do so will result in the withholding of the employee’s final paycheck until the card is returned.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>03.03 MEDIA RELATIONS</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> UDAF IS A PUBLIC AGENCY SERVING THE AGRICULTURAL COMMUNITY AS WELL AS THE PUBLIC. THE DEPARTMENT’S GOAL IS TO PROVIDE TIMELY INFORMATION THAT CAN ENHANCE AGRICULTURAL PRODUCTION AND INFORM THE PUBLIC ABOUT WHAT WE DO. THE PURPOSE OF UDAF’S MEDIA POLICY IS TO COORDINATE COMMUNICATION AND ASSURE CONSISTENCY THROUGHOUT THE DEPARTMENT.	

**REFERENCES**

[UCA Title 52, Chapter 4](#), Open and Public Meetings Act  
[UCA Title 63G, Chapter 2](#), Government Records Access and Management Act

**RELEASING INFORMATION**

- Reporters contacting the Department should first be directed to the Public Information Office for help. Media representatives shall be provided with requested information in a timely and thorough manner consistent with the Government Records Access and Management Act (GRAMA). The UDAF will try to return all media calls within 20 minutes or less, even if only to acknowledge an inquiry and explain that we are collecting information.
- Exceptions to the general release of information include confidential materials regarding individual employees, customers, or regulated entities, and any other information declared confidential by State or Federal law.

**SPOKESPERSON**

Department

- The Commissioner is the Department spokesperson. The Public Information Officer (PIO) is the Department media contact and is responsible for formulating Department media strategy in consultation with the Commissioner or Division Directors. The PIO will coordinate the release of information with the Commissioner, Deputy Commissioner or appropriate Division Directors. In the Commissioner’s absence, the Deputy Commissioner, appropriate Division spokesperson, or the Public Information Officer will act as Department spokesperson.

Division

- Each Division or designated representative may act as spokesperson for their Division in coordination with the PIO. In the Director’s or designated representative’s absence, or if they elect not to be interviewed, the information officer may act as Division spokesperson.

Specific Issues

- The PIO and Division Director will designate spokespersons as needed on specific issues. Such spokesperson will be designated based upon their knowledge and ability to communicate effectively.

### Answering Reporters

- Reporters often seek background information about a specific subject rather than the Department's position on a particular issue. Division employees should assist reporters in this area. Factual questions should be answered promptly and policy questions referred to the Division Director or designee. Notify the PIO after answering media questions so that it can be determined if the reporter needs additional information.

### **MEDIA CONTACTS**

- When media representatives contact the Public Information Officer, employees shall refer them to the appropriate spokesperson or answer the question themselves.
- The PIO shall be notified of all media contacts as soon as reasonably possible. If an employee is contacted by the press over the weekend and needs assistance, the employee shall call the PIO at the emergency number provided to the Department.

### **NEWS RELEASES**

- News releases shall be prepared, reviewed, and distributed through the PIO. The PIO and appropriate Division Director will approve routine releases prior to distribution. More sensitive releases will be reviewed by the Commissioner, Deputy Commissioner, and Division Director.
- News conferences will be coordinated with the PIO.
- No outside entity or interest shall influence the wording, content or the Department's decision whether or not to issue a news release or public statement.

### **NEWSLETTERS**

- Newsletters published by the Department or any Division shall be coordinated with the PIO. The Information Officer is available to offer editing and layout assistance. Such review allows for consistency and accuracy in publications and helps manage Departmental risk.

### **NOTIFICATION OF PUBLIC MEETINGS**

- Each Division will be responsible for posting public meetings (through legal notices) as stipulated in [Title 52, Chapter 4](#), the Utah Open and Public Meetings Act.
- Each Division will notify the PIO of all open and public meetings. An agenda shall also be provided.
- Notification of all public meetings held at the Department will be posted at the reception desk. The Division holding the meeting will supply the receptionist with pertinent information.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>03.04 GRAMA REQUESTS</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> UDAF IS A PUBLIC AGENCY SERVING THE AGRICULTURAL COMMUNITY AS WELL AS THE PUBLIC. THE DEPARTMENT'S GOAL IS TO PROVIDE TIMELY INFORMATION THAT CAN ENHANCE AGRICULTURAL PRODUCTION AND INFORM THE PUBLIC ABOUT OUR SERVICES. THE PURPOSE OF UDAF'S GRAMA POLICY IS TO CARRY OUT THE LEGISLATIVE INTENT IN BALANCING PUBLIC AND PROTECTED INFORMATION.	

**REFERENCES**

[UCA Title 63G, Chapter 2](#), Government Records Access and Management Act  
[Opens Records Portal](#)  
[Utah State Records Committee](#)

**REQUEST SUBMISSION**

- Individuals desiring a release of information under the Government Records Access and Management Act (GRAMA) should utilize the open records portal on the State of Utah archives website (<https://openrecords.utah.gov/>). Utilizing this portal will enable the Department to respond to requests in the fastest time frame.
- Individuals may also submit a written request to the Department directed to the Department's Public Information Officer/Attn: GRAMA. Any such request must meet the requirements of [UCA Section 63G-2-10](#) *et seq.*

**RELEASE OF INFORMATION**

- Each Division Director will work with his/her appointed Records Officer to conduct a due diligence search and gather any responsive records. Each Records Officer will also make a preliminary determination as to whether the records may be released or whether the records contain confidential, private, or protected information that must be reviewed individually to determine whether release is appropriate in the specific instance.
- The Attorney General's office may assist as requested.
- Once a determination has been made regarding releasable information, the Department will release information to the requestor during the statutory timeframe or otherwise respond as required under GRAMA.

**SPECIAL CIRCUMSTANCES**

- The Commissioner and Deputy Commissioner shall be kept apprised of any GRAMA requests that present unique situations or request sensitive information.

#### **PERSONNEL/LICENSEE LISTS**

- Certain records, including some records that include Departmental lists of employees, must be disclosed under GRAMA. [UCA Section 63G-2-301](#).
- If disclosure of a list of employees or licensees is requested, the request should be evaluated as one under GRAMA and treated accordingly. In addition to the AAGs, the Utah State Records Committee has additional guidance on its website regarding the disclosure of personnel information, if needed. (see [www.archives.utah.gov](http://www.archives.utah.gov)).

#### **MEDIA CONTACTS**

- When media representatives contact the Department's Public Information Officer regarding a GRAMA request, refer them to the appropriate Division Director/Records Officer and inform the Commissioner and Deputy Commissioner for direction.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>03.05 PUBLIC MEETING COMPLIANCE</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> May 26, 2021
<p><b>SUMMARY:</b> UDAF IS A PUBLIC AGENCY SERVING THE AGRICULTURAL COMMUNITY AS WELL AS THE PUBLIC. THE DEPARTMENT’S GOAL IS TO PROVIDE GOVERNMENTAL TRANSPARENCY, TAKING ACTIONS AND CONDUCTING DELIBERATIONS OPENLY, WHILE PROTECTING PERSONAL, PROPERTY AND BUSINESS INTERESTS. UDAF’S POLICY IS TO FULLY COMPLY UNDER <a href="#">UTAH’S OPEN AND PUBLIC MEETINGS ACT (OPMA)</a>.</p>	

**REFERENCES**

[UCA, Title 52, Chapter 4](#), Open and Public Meetings Act (OPMA)

**PUBLIC MEETINGS**

- Each Division Director is ultimately responsible for ensuring that every board, commission or other entity that is subject to OPMA meets all requirements for each public meeting, including, but not limited to proper: notice, agenda format, presence of a quorum, minutes, voting record, electronic participation, appropriate conduct during the meeting and for closing meetings. However, the Division Director may designate an individual responsible for OPMA compliance in that Division, or the Department may designate a single individual responsible for OPMA compliance for the Department and its boards and commissions.

**NOTICE AND MINUTES REQUIREMENTS FOR PUBLIC MEETINGS**

Notice Requirements

- Each Division Director shall appoint an individual responsible for providing notice of public meetings as stipulated in the Utah Open and Public Meetings Act, [UCA Section 52-4-202](#).
  - All public meetings shall be noticed at least 24 hours in advance of the meeting, unless designated as an emergency meeting, as allowed by statute.
  - All notices shall include the meeting agenda, date, time, place, and shall comply with any other requirements under OPMA.
- Each Division will notify the Department’s PIO or Marketing Division of all open and public meetings. The PIO shall also subscribe to all Department public meetings listed on the [Public Notice Website](#).
- Before it is posted, the meeting agenda should be approved by the applicable Division Director with assistance from the Attorney General’s office, if requested.
- Meeting agendas must also comply with notice requirements, both for posting time and content.

- Notification of all public meetings held by the Department will be posted at the reception desk, as well as at the location of the meeting, if offsite.

#### Minutes Requirements

- Written minutes and a recording shall be kept of all Department open meetings.
- Written minutes shall include:
  - The date, time, and place of the meeting
  - The names of members present and absent
  - The substance of all matters discussed
  - A record, by individual member, of each vote taken
  - The name of each person who is not a member of the public body and provided testimony
  - A summary of the testimony provided by the public, and
  - Any other information that is a record of the proceedings that any member requests be entered in the minutes.
- A recording is not required for an open meeting that is a site visit or a traveling tour if no vote or action is taken.
- The requirement that minutes include the substance of matters discussed or testimony provided may be satisfied if the Department maintains a publicly available online version of the minutes that provides a link to the meeting recording at the place in the recording where the matter is discussed or testimony provided.
- The recording shall:
  - Be a complete and unedited record of all open portions of the meeting.
  - Identify the date, time, and place of the meeting.
- Anyone who presents electronic information relating to an item on the agenda shall provide a copy for inclusion in the public record.
- A public body shall:
  - Make pending minutes available to the public within 30 days after holding the open meeting
  - Within three business days after approving written minutes of an open meeting:
    - Post a copy of the approved minutes and any public materials distributed at the meeting to the [State Public Notice Website](#)
    - Make the approved minutes and public materials available to the public at the UDAF office.
    - Post the approved online minutes (if provided) on the Department website
  - Within three business days of the meeting, post an audio recording or link to the record on the [State Public Notice Website](#)

#### TRAINING ON PUBLIC MEETINGS

- Each Division Director shall appoint an individual responsible for posting public meetings as stipulated in the Utah Open and Public Meetings Act in a timely manner. [UCA Section 52-4-202](#).

- The Department will provide training on OPMA requirements every year for the Agency and its boards and commissions.

**REPRESENTATION BY ATTORNEY GENERAL'S OFFICE**

- In coordination with the Division Director, the Commissioner, and the Deputy Commissioner, any entity represented by the Attorney General's office may request assistance with legal issues, such as statutory compliance and rule changes.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>3.06 OFFICE PROCEDURES</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> GUIDELINES FOR THE RECEPTION AREA, VISITING, AND PERSONAL USE OF OFFICE TOOLS AND SUPPLIES.	

**RECEPTION AREA**

- This area is paramount in conveying the Department's image to the public. It is important that this area be maintained at a professional level. To achieve this the following procedures will be observed:
- Magazines, books, or newspapers shall not be read in this area by Department employees. Reading, other than work associated, should be confined to enclosed offices and lunchrooms during non-work periods.
- As a security measure, all visitors are required to sign in at the reception desk. To assure that all visitors sign in and are given appropriate direction, the reception desk shall have a receptionist present at all times.
- Visitors to the main office without a valid State Employee ID (or a valid Federal ID and recognizable by the receptionist) shall be required to sign in at the receptionist desk and obtain a visitor’s pass from the receptionist.
- The primary function of the Department receptionist is to courteously direct incoming calls and visitors. As a rule, all calls should be routed directly to the employee being called. If the employee is not available, the call should be transferred to the appropriate secretary for proper handling. If the receptionist is unable to reach either of these individuals, a message, including a return number should be taken.
- The receptionist should not leave the reception desk to locate an individual, except in an emergency. If the individual cannot be located by phone or through the appropriate secretary, a message should be taken or the help of another employee enlisted.
- As time permits, the receptionist should make repeated attempts to notify employees for whom there is a message.
- For many people, the receptionist is the first contact with the Department. A courteous, helpful manner should be evident.
- Each Division should ensure they have proper coverage to serve the public from 8 to 5, including during the lunch hour.

**OFFICE HOURS**

- Office hours are 8 a.m. to 5 p.m. Monday through Friday. Employees may, with approval of their supervisor, select a daily starting time between 6:00 and 9:00 a.m. and a quitting time between 3:00 and 6:00 p.m., so long as a full work schedule is completed each scheduled work day.
- Each employee's workday shall include a minimum of 30 minutes for a lunch period and two 15-minute work break periods, one of which is in the morning and one in the afternoon. Lunch periods will normally be scheduled to begin between the hours of 11:00 a.m. and 1:00 p.m. for a regular day shift. Break periods are included in 8 productive work hours. These lunch and break periods may not be adjusted or accumulated to accommodate a shorter workday.

#### **VISITING**

- Excessive visiting at another's desk or in groups is strongly discouraged. Such visiting distracts others and decreases the overall efficiency of the office.

#### **PERSONAL USE OF MACHINES AND MATERIALS**

- Office machines may be used on a limited basis during the nonworking hours (before 8 or after 5) or during the lunch hour when not in use in carrying out Department business. However, all supplies used in operation must be furnished by the individual. Limited copies may be made on the copy machine if the individual provides the paper. No Department supplies are to be used for personal use. No Department equipment may be used for personal financial gain.

#### **OFFICE SUPPLIES**

- Each Division is responsible for obtaining supplies through an approved vendor.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
03.07 REGULATORY ENFORCEMENT PROCEDURES	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> THIS POLICY ESTABLISHES CONSISTENCY IN INSPECTION PROCEDURES AND COMPLIANCE.	

**REFERENCES**

[UCA Title 4, Chapter 1](#), Utah Agricultural Code, General Provisions  
[UCA Title 63G, Chapter 4](#), Administrative Procedures Act

**ENFORCEMENT**

- Enforcement methods will be handled individually by each Division. The following is an overview of the process generally used by the Department. Notwithstanding this policy, the Department’s meat inspection program follows the USDA enforcement actions policy per contractual agreement.
- The Department has broad, sweeping authority to regulate the agricultural and food production industry at all levels. [UCA Section 4-1-101](#) *et seq.* In addition, many of the permits and licenses issued by the Department are issued upon the condition that the licensee permits scheduled or unscheduled Departmental inspections/investigations and sample collections as a requirement for issuance of a license or permit.

**INSPECTIONS**

**When an inspection/investigation or evaluation is made of an establishment, device, animal, plant, or whole or processed agricultural product:**

- An inspector shall present credentials and identify themselves, state the nature or reason for the inspection/investigation to management, and get permission to make the inspection/investigation.
  - Although inspectors should make every effort to explain their authority and obtain entrance for the purposes of inspection, if entry is denied, the inspector should speak with the Division Director/Program Manager about obtaining an *ex parte* warrant or pursuing enforcement using another tool, such as seeking injunctive relief. [UCA Section 4-1-105](#).
- Precise and complete records shall be kept outlining the facts and findings of each inspection/investigation. These records are official documents defining the conditions that existed at the time of the inspection/investigation. **In cases where there has been a violation, these records are the primary source of evidence for enforcement, appeals and other legal proceedings.** An inspector shall ensure the records are complete, accurate, and legible.
  - An inspector’s personal notes are generally protected documents for

GRAMA purposes, but they are important in refreshing the inspector's memory regarding the investigation and should be maintained in the file. Screenshots of text messages, emails or notes from phone calls should also be kept in the file for reference.

- Notes from substantive phone calls should be as complete as possible, particularly if an offer of settlement or any other matters requiring customer or Agency action are discussed.

#### **EMBARGOS/HOLD ORDERS/DESTRUCTION OF PRODUCT**

- In addition to the guidance regarding inspections, if the inspection/investigation identifies violations that warrant immediate action, such as ones that pose health threats or suggest fraud, where there is a statutory mandate, or where the Department determines it is necessary or prudent, embargoes, hold orders, condemnation, or destruction may be warranted.
- Due to the economic hardship and impact on businesses, careful and complete records are necessary when considering one of these options.
  - An interview must be conducted with the Division Director or the Director's designee detailing the conditions noted on the inspection/investigation record.
    - If corrections or agreements are discussed or finalized during this interview, they must be noted on the record.
    - Receipts for samples or notices for holds or embargoes must be left during this interview and clearly identified with photographs and other documentation so that compliance with the Department's orders can be confirmed.

#### **WARNINGS**

- Warning letters/citations may be used by the Department depending on the severity of the violation, in conjunction with the enforcement matrix adopted by each Division Director.
- Warning letters/citations should clearly reference the violation(s), the specific steps required to resolve each violation, and the date and time for compliance to be complete.
  - Warnings may be contested through the same process as for citations, with the same time frames for requesting a hearing.
- When following up after a warning, care should be taken to ensure that all compliance measures are in effect and complete. If not, a citation or other action may be necessary.

#### **MEDIATION/PRE-HEARING AND OTHER SETTLEMENT CONFERENCES**

- Meetings, pre-hearing conferences, and settlement conferences are encouraged where the Department believes voluntary compliance or any other benefit could

result.

- Depending on the type of enforcement action, some settlement/mediation conferences are required by law. Please consult with the assigned AAG for specifics.

#### **ADMINISTRATIVE PROCEEDINGS**

- Hearings, requests for reconsideration and appeal procedures are addressed in Policy 5.08.
  - Departmental hearings are informal and governed by Utah's Administrative Procedures Act, [Title 63G, Chapter 4](#), and codified in the Department's administrative rules.
  - The Department shall designate a hearing officer or contract with an administrative law judge to conduct the hearing.
  - Motions for reconsideration by the Department, and appeals to other agencies or the Utah courts are also permitted in most cases under Title 4, and are governed by [Utah's Administrative Procedures Act](#).

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
03.08 TRAINING	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> INITIALIZING AND RECORDING TRAINING PROCEDURES FOR EMPLOYEES.	

**REASON FOR TRAINING**

- From time to time, the Department of Human Resources (DHRM) and other State training agencies send information about training opportunities for UDAF employees. All records of outside training given to UDAF employees will be kept by the Department.

**PROCEDURES FOR TRAINING**

- Employees will complete all State required training
- Divisions may require certified training for UDAF employees. Training documents shall be forwarded to UDAF Human Resources for entry into each employee’s training record.
- All other training requested by UDAF employees shall be approved by the Division Director and coordinated with Finance.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>03.09 WEAPONS POLICY</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE</b> April 15, 2021
<b>SUMMARY:</b> THIS SECTION SETS FORTH DEPARTMENT POLICY FOR OWNING, CARRYING, AND USING FIREARMS AND OTHER WEAPONS.	

**REFERENCES**

[UCA Section 53-13-105](#), Special Function Officer

- Under the authority of Title 4 and [UCA Section 53-13-105](#) *et seq.*, the Department adopts this weapons policy as a directive for those individuals who are authorized by the Department to carry firearms or weapons of any type in connection with their employment.
- The use of weapons in Department-related employment is in place primarily for individual employee protection. It is normally not intended to be used as a show of force to achieve compliance with laws or regulations.
- Any individual within the Department who feels their job or job-related activities put them into a situation that would require protection, or who are statutorily empowered to carry a weapon during the course of their employment, must receive prior written authorization by the Commissioner and the employee’s Division Director. Authorization is meant to govern policy during working hours while performing official duties. Nothing in this policy is intended to interfere with an employee’s constitutional rights or responsibilities while not performing job-related activities for the State.
- Prior to Departmental authorization to carry a weapon, the employee must be Police Officer Standard Training (POST) certified as one of the four types of Public Safety Officers identified in [Title 53, Chapter 13](#) of the Utah Code. The employee must complete all weapons and other required training through POST, or by an entity similarly authorized under [Title 53](#). This includes, but is not limited to, successful completion of a weapon training course taught by any participating law enforcement agency. At the end of the training, each employee must demonstrate their ability to handle the weapon by qualifying under the State’s present standard or be subject to a waiver recognized by the State. Weapons certification must be maintained by the employee, including yearly training requirements.
- Weapons will be maintained in a secure area within the individual’s automobile (trunk or locked vehicle), readily accessible for use in emergency, and will normally be permitted to be carried on the individual person under any one of the following instances:

- While performing vehicle stops.
- While involved in authorized roadblocks, whether they are being held alone or with other law enforcement personnel.
- While on duty at one of the State's ports of entries.
- While issuing subpoenas or search warrants.
- While making a felony arrest.
- While conducting certain types of investigations.
- While performing any other job-related duty in which it is determined that one's life may be in danger.

#### **DEADLY FORCE**

- Because it is not the intent of the Department to use a weapon as a tool to enforce laws and regulations, a weapon should only be drawn or fired at an individual when it is felt the life or personal welfare of the employee or another person they may be protecting is at stake. A Department investigation and review will be required on all weapons-related incidents. The discharge of any weapon not normally related to training, practice, or re-qualification must be reported immediately to the employee's Division Director and the Commissioner.

#### **OWNERSHIP AND STORAGE**

Weapons may be either Department owned or privately owned.

- Private owners employed by the State have the same duties and responsibilities of any POST officer and citizen with respect to gun registration, storage, maintenance, and safety.
- The serial number of each gun used in employment by the individual shall be on file with the Department at the time of employment and shall be updated yearly by the employee, regardless of whether it is privately or State owned.
- The Department shall provide a secure location to store all State-owned weapons, accessories, technology, and protective gear.
  - The secure location shall be maintained by the Director of the Division of Animal Industry or their designee. The Director shall create a protocol for weapons access, inventory, assigned weapons log, and security, that shall be reviewed yearly.
  - An inventory shall be conducted every 6 months and any discrepancies shall be reported to the Commissioner or law enforcement.
- When visiting the Department, employees may utilize a Department-provided secure weapons storage locker for the employee's personally owned weapon **AT THEIR OWN RISK**. By using the State's resources, the employee agrees to indemnify and hold harmless the State and its officers, employees, and agents for any alleged damage to weapons brought into the Department and/or stored.

- Each employee assigned a weapon will be responsible for the cleaning, care, and security of the weapon.
- If an employee ceases using a weapon in their duties for the State, the employee shall immediately inform the Director of the Division of Animal Industry.
- Any weapon, personal protective gear, or other law enforcement tool issued to an employee must be returned to the Department on termination or retirement of the employee, or if the employee changes positions within the Department and the use of a weapon is no longer required.

**SALE OF WEAPONS NO LONGER REQUIRED BY THE DEPARTMENT**

- Department owned weapons that are no longer being used by Department employees may be sold to a third party vendor or an individual in accordance with state and federal law.
- All sales shall be approved in advance by the Director of the Division of Animal Industry and the Commissioner and shall be documented in writing and on the weapons log maintained by the Director of the Division of Animal Industry.
- If a weapon is sold to an individual it is recommended the Department obtain a background check on the individual prior to the sale, however, current ATF guidance is that a background check is not legally required in the State of Utah.
- Funds received from the sale of weapons shall be deposited as dedicated credits for the division from which the weapons are sold.

**VIOLATIONS**

- Any violation of the Weapons Policy is reason for a review and possible discipline, up to and including termination of the employee.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>03.10 AUTHORIZED PERSONAL USE OF PUBLIC PROPERTY</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<p><b>SUMMARY:</b> THIS POLICY PROVIDES PUBLIC SERVANTS GUIDANCE AS TO AUTHORIZED PERSONAL USE OF PUBLIC PROPERTY, AS DEFINED IN <a href="#">UCA SUBSECTION 76-8-101(5)</a>, TO HELP THEM AVOID UNINTENTIONAL VIOLATIONS OF <a href="#">UCA SECTION 76-8-402</a> AND 404, OFFENSES AGAINST THE ADMINISTRATION OF GOVERNMENT. CRIMINAL PENALTIES FOR VIOLATION OF <a href="#">UCA SECTION 76-8-402</a> RANGE FROM A CLASS C MISDEMEANOR TO A SECOND DEGREE FELONY.</p>	

**REFERENCES**

[Utah Administrative Code Section R477-9-7](#), Acceptable Use of Information Technology Resources

[UCA Title 67, Chapter 16](#), The Utah Public Officers’ and Employees’ Ethics Act

[UCA Section 67-19-19](#), Political Activity of Employees – Rules and Regulations – Highway patrol – Hatch Act

[UCA Section 76-8-402](#), Misusing Public Money or Public Property

[DTS Policy 5000-0002.1](#), Enterprise Information Security Policy (Statewide),

[DTS Policy 5000-0003](#), Enterprise Mobile Device Policy (Statewide),

[DTS Policy 5000-0004](#), Enterprise Web Filter Policy (Statewide)

[Utah Administrative Code Rule R895-7](#), Acceptable Use of Information Technology Resources

[FIACCT – 05-15.00](#), Purchasing Card

[FIACCT– 10-01.00](#) – Travel – Personal Use of State Vehicles

[Utah Administrative Code Rule R27-3](#), State Vehicle Use Standards,

[Utah Administrative Code Rule R27-6](#), Fuel Dispensing Program,

Governor’s Executive [Order 002 2014](#), Establishing an Ethics Policy for Executive Branch Agencies and Employees

**PURPOSE**

- This policy provides public servants guidance as to authorized personal use of public property to help them avoid unintentional violations of Utah law.
- A public servant is not guilty of a violation of [UCA Section 76-8-402](#) for authorized personal use of public property. “Public servant” means a public officer, an appointed official, employee, consultant, or independent contractor of a public entity, or a person hired or paid by a public entity to perform a government function. “Public property” means real or personal property that is owned, held, or managed by a public entity.

- This policy constitutes a “written policy of the public servant’s public entity” for purposes of UCA Subsection [76-8-402\(1\)\(a\)\(iii\)](#). For purposes of this policy, “public servants” will be referred to as “employees”.

## **POLICY**

- Employees are responsible to protect and conserve government owned or leased property and use official time in an honest effort to perform official duties. This policy does not grant to employees or create an inherent right to use government resources, and one should not be inferred. The privilege to use public property for personal purposes may be limited or revoked at any time by an appropriate individual (e.g., a supervisor in the employee’s organizational chain of command).
- Employees do not have a right to, nor should they have an expectation of, privacy while using government resources at any time, including when they are accessing the internet, using email, instant messaging, or telephones. Employees who wish for their personal activities to be private should not conduct such activities using public property.
- To help improve the effectiveness and efficiency of government services, incidental or *de minimis* personal use of public property is authorized under [UCA Section 76-8-402](#) and is further authorized under this policy. Incidental or *de minimis* personal use includes:
  - Use of public property for limited personal use when an employee is using the public property to perform their duties of office or employment; and
  - Use of public property of a personal nature when such use of the public property:
    - Is allowed to be used by the general public;
      - Is allowed for training or skill development;
      - Is provided or required to be provided to the employee as an employee benefit or convenience, such as lunchroom, fitness, or nursing room facilities;
      - Provides value to the Department that substantially outweighs the personal benefit received by the employee;
      - Is otherwise permitted by an employee’s manager or supervisor (e.g., a supervisor in the employee’s organizational chain of command) in writing prior to usage; or
      - Is otherwise permissible under State or Federal law, administrative rule or policy.

- Notwithstanding the above, incidental or *de minimis* personal use does not include any use that:
  - Significantly interferes with the mission or operations of the Department;
  - Significantly interferes with the performance of the employee's or any other employee's official duties;
  - Significantly compromises the integrity of public property; or
  - Is for private financial gain, including conducting outside business, employment, or other income generating activities.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>04.01 ADOPTION OF DTS POLICIES</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> STATEWIDE POLICIES WHICH HELP PROTECT THE CONFIDENTIALITY, INTEGRITY, AND AVAILABILITY OF THE STATE'S INFORMATION AND INFORMATION SYSTEMS.	

**REFERENCES**

- [DTS Policy 5000-002.1](#), Enterprise Information Security Policy
- [DTS Policy 4000-002](#), Enterprise User Authentication Standards Policy
- [DTS Policy 5000-003](#) Enterprise Mobile Device Policy

**BACKGROUND**

- When the Utah Department of Technology Services (DTS) was formed it was given rulemaking authority for Information Technology as well as the ability to create Enterprise Information Technology Policies.

**POLICY**

- In addition to the Enterprise Information Security policy referenced in the Department Standards of Conduct Policy ([5000-0002.1](#); UDAF Policy 2.03), UDAF adopts the following Statewide DTS policies that DTS has implemented for all Executive Branch State employees served by DTS.

[4000-0002 Enterprise Password Standards Policy](#)

[5000-0003 Enterprise Mobile Device Policy](#)

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
04.02 ACCEPTABLE USE POLICY, INFORMATION TECHNOLOGY RESOURCES	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> POLICY THAT IMPROVES THE EFFECTIVENESS OF INFORMATION RESOURCES AND ENSURES THAT THEY ARE USED IN A PROFESSIONAL, USEFUL, AND LEGAL MANNER.	

**REFERENCES**

- [Utah Administrative Code Rule R895-7](#), Acceptable Use of Information Technology Resources
- [DTS Policy 5000-0002.1](#), Enterprise Information Security Policy
- [Utah Administrative Code Rule R477-11](#), Discipline

**PURPOSE**

- This policy defines the use of State-owned information technology (IT) resources.

**BACKGROUND**

- Information technology resources are provided to assist in the efficient day-to-day operations of State Agencies. The Utah Department of Technology Services (DTS) provides information technology resources such as computers, email, electronic voice and video communications, the Internet and other technologies to employees so they can support State Agencies in achieving their mission and goals, and to improve State government in general.

**SCOPE**

- This policy applies to all employees within UDAF.

**EXCEPTIONS**

- None.

**POLICY**

- UDAF employees shall regularly review, be familiar with, and follow the requirements of Utah Administrative Code [Rule R895-7](#) – Acceptable Use of Information Technology Resources. An employee who violates the provisions of Rule [R895-7](#) or [DTS Policy 5000-0002.1](#) may be disciplined pursuant to Utah Administrative Code Rule [R477-11](#) and DTS Human Resource guidelines.

**GUIDELINES**

- Managers should make certain that employees understand that providing IT resources to an employee does not imply an expectation of privacy. For more information see Policy 3.10, Authorized Personal Use of Public Property.

**EMAIL & CORRESPONDENCE PHOTOS**

- It is strongly recommended that Department employees display an appropriate, professional photo of themselves in email and correspondence applications at all times.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>04.03 CELLULAR PHONES AND TABLETS</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> POLICY REGARDING USE OF DEPARTMENT ISSUED CELL PHONES AND TABLETS.	

**USE OF STATE-ISSUED DEVICES**

- Department employees have no expectation of privacy when using State-issued cell phones, tablets, or other electronic devices (“State-issued devices”), regardless of the format (e.g., digital, video).
- All State-issued devices must be used primarily for business purposes and for incidental and occasional personal use only consistent with Policy 3.10.
- Information on State-issued devices is subject to the Government Records Access Management Act (GRAMA), discovery requests, and DHRM retention schedules. DHRM will search employee accounts and State-issued devices in response to a litigation request, a GRAMA request, or due to a business need, including internal, disciplinary, or other human resource investigations.
- All State-issued devices are considered State property.

**STATE-ISSUED CELL PHONES**

- The Department will purchase and issue cell phones including accessories and voice and data plans for employees who need phones to complete their assigned work tasks.
- Employees who receive a state-issued cell phone should submit a State Provided Cell Phone or Tablet Agreement (Appendix B.01). If an employee opts to use their own cell phone and be reimbursed by the Department, they should submit an Employee Provided Cell Phone Allowance Agreement (Appendix B.02).

**PROCEDURE FOR DEPARTMENT-ISSUED CELL PHONES**

- A review of the Usage Detail Report for each Department-issued cell phone will be performed monthly. If an employee has incurred excessive fees, the Administrative Services Division will contact the employee and or supervisor for justification.

**USE OF CELLULAR TELEPHONES WHILE OPERATING A MOTOR VEHICLE**

- For the safety of UDAF employees and the citizens of the State of Utah, UDAF policy prohibits employees from using a cellular telephone while operating a motor vehicle. UDAF also discourages the use of hands-free cellular phone devices while operating a motor vehicle.

**STATE-ISSUED TABLETS**

- The Department will purchase and issue tablets and tablet accessories if an employee completes a “Justification for Cell Phone and Tablet Request” and the request is approved by the Commissioner.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
04.04 COMPUTER HARDWARE AND SOFTWARE PURCHASE AND INSTALLATION	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> POLICY TO REGULATE THE PURCHASE OF COMPUTERS AND ACCOMPANYING ACCESSORIES.	

**COMPUTER HARDWARE OR SOFTWARE PURCHASES:**

- In 2013, the State of Utah’s Department of Technology Services (DTS) began moving its IT service management operations to ServiceNow. More recently, the Department added Asset Management to its ServiceNow deployment to gain better control over hardware devices, and to improve billing to the agencies that use those assets.
- Currently, all computers and software should be purchased through DTS utilizing the [ServiceNow process](#). Contact the Division of Administrative Services for technology purchases.
- The Department also uses the ServiceNow process for deployment of equipment and account set up for new employees, including information security training.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>05.01 CLAIMS AGAINST THE STATE</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY: ALL CLAIMS, SUITS, OR SIMILAR PAPERS SERVED UPON AN ENTITY WILL BE PROCESSED AS FOLLOWS.</b>	

**NOTICES OF CLAIM**

- All Notices of Claim received by a governmental entity (including UDAF) must be sent immediately to the Attorney General’s Office at the following address:  
Office of the Attorney General  
PO Box 142320  
SLC UT 84114-2320
- Please include a cover sheet with the names and contact information for the Agency, Division, a Department contact, and the assigned AAG.
- The AGO will contact the Department to advise how to proceed depending on the nature of the claim.
  - Generally, either the notice will be sent to the Litigation Division, which will forward a copy to the Risk Management Division or the original will be returned to the entity or Agency if not covered by the Risk Management Fund.

**SUMMONS, COMPLAINTS, SERVICE OF PROCESS, SUBPOENAS, BANKRUPTCY NOTICES**

- All summons, complaints, service of process, bankruptcy notices and/or subpoenas received by UDAF or received by any person in the Agency will be forwarded immediately to the assigned AAG.

**TIME IS OF THE ESSENCE**

- Because the timeframe to respond to these notices can be extremely short, TIME IS OF THE ESSENCE in ensuring the notices and claims are sent to the Attorney General’s Office and the AAGs immediately upon receipt.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
05.02 COMMENTS ON FEDERAL LAWS	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> DETAILS ON THE PROGRAM AND PROCEDURES TO HANDLE CORRESPONDENCE TO GOVERNMENT OFFICIALS.	

**PUBLIC AND POLICY ISSUES**

- The Governor has established the [Public Lands and Policy Coordinating Office \(PLPCO\)](#) to coordinate all correspondence, comments, and input on public land issues. The procedure in no way limits Department input on legislation or rules but rather coordinates the State’s effort.
- All comments, correspondence, and input on Federal issues must be coordinated through the Governor’s Office after first being raised with the Commissioner for a determination as to whether the matter is appropriate to forward to PLPCO.
- All comments regarding rules, laws or other issues must be channeled through the Division Directors to the Policy Analyst and then to the Commissioner.

**CORRESPONDENCE PROCEDURES**

- All correspondence to Federal personnel regarding laws or rules must be channeled through the Division Director to the Commissioner in coordination with the Governor’s Office. Any letters submitted shall be in final form and signed.

**SIGNING**

- A Division Director may sign correspondence if approved by the Commissioner. This decision should be based on the importance of the issues involved.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
05.03 CONTRACT/GRANTS	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> PROCEDURES FOR INITIATING, FULFILLING, AND RECORDING CONTRACT AND GRANTS.	

**REFERENCES**

[UCA Title 63G, Chapter 2](#), Government Records Access and Management Act (GRAMA)

[UCA Section 63F-1-205](#), Approval of Acquisitions of Information Technology

**DEVELOPMENT**

- The Division initiating the contract/grant should draft the initial document or coordinate with the assigned AAGs to do so with Division Director approval.
  - Templates for new grant programs shall be developed in coordination with the assigned AAGs in order to ensure the correct formatting is used, depending on the type of grant.
- Each Division Director shall develop an intra-Division system for contract/grant drafting and approvals, including ensuring that each contract/grant complies with all Federal and State laws, Department rules, and policies.
- Each Division Director shall also develop an internal process for obtaining the grantee/beneficiary’s signatures and ensuring the grant is complete.
- The Commissioner shall be made aware of the matter through regular reporting in a format to be determined by the Commissioner.

**CONTRACT/GRANT SIGNATURES/APPROVALS**

- Each contract/grant must have the following signatures and completed review prior to submitting the document for payment. The Commissioner, in consultation with the Division Directors, may modify this policy if review by a party is not warranted under special circumstances.
  - Grantee
  - AAG
  - Division Director
  - Finance Officer
  - Deputy Commissioner or Commissioner
  - Director of Finance ([FI\\_Contract@utah.gov](mailto:FI_Contract@utah.gov)) (FINET)

- The grant/contract must be complete (including all attachments and information with the expectation that the information will not be modified and excepting signatures and signature dates) in order to begin the review process.
- If legal issues arise during the course of the grant/contract processing and review or if there are modifications made to the contract/grant after any stage of the review, the Division Director will be notified and a course of action determined in coordination with the AAG and any other individuals whose areas are potentially impacted by the modifications.

#### **CONTRACT/GRANT REPORTING OBLIGATIONS**

- In order to comply with GRAMA and other reporting requirements, a complete signed copy of the contract/grant shall be maintained by the Administrative Services Division and/or by the Division as the official Department copy. A copy of all documents affecting the contract/grant (quarterly reports, copies of warrants, billings, etc.) will be filed in the official Departmental file.
  - Electronic copies may be substituted for hard copies provided that the documents are contained in the same file as a complete set.
- Division Directors are ultimately responsible to follow through on the terms and conditions of the contract/grant, including verification of reporting requirements, final reports, invoicing and payments. However, those duties may be delegated as the Division/Department determines best suits its needs.

#### **RENEWALS/EXPIRATIONS**

- Divisions will be notified by a Departmental designee no less than two months in advance of any contract/grants which will expire and will be asked to indicate disposition (renew, cancel, etc.).
- Generally, renewals or amendments to existing contracts/grants shall follow the same process as for initial contracts/grants.

#### **EXCEPTIONS**

- IT acquisitions or maintenance contracts shall be processed through the DTS contracts office as per [UCA Section 63F-1-205](#).
- The Division Director, with approval from the Commissioner, may establish an alternative process for specific contracts/grants or programs for good cause.
  - In either case, the AAG shall be notified that internal UDAF AAG review is being waived by the Department.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b> <b>05.04 CORRESPONDENCE WITH OTHER AGENCIES; REQUESTING</b> <b>ATTORNEY GENERAL’S OPINION</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> TO SET FORTH THE PROCEDURES IN PLACE FOR INTER-AGENCY COMMUNICATION AND AGO REQUESTS.	

**CORRESPONDENCE WITH OTHER AGENCIES**

- All correspondence to the Governor or his assistants, or correspondence with the head of any Federal Agency shall be approved by the Commissioner or the Executive Team.
  - This policy keeps the Commissioner apprised of happenings within the Department and allows the Commissioner to be informed on an issue should they be contacted directly.
  - In addition, please copy the Commissioner on the correspondence and keep the Commissioner continually apprised of the situation.

**ATTORNEY GENERAL’S OPINION-FORMAL**

- Requests for formal Attorney General’s opinions must be made in writing by the Commissioner.
- A file of all requests for formal opinions and responses shall be kept by the Commissioner.

**ATTORNEY GENERAL’S OPINION-INFORMAL**

- Requests for verbal advice or written memorandums from the AAG or the AGO should be approved by the Division Director and/or the Commissioner.
- A file of all requests for informal opinions and responses shall be kept by the Commissioner.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
05.05 GRIEVANCE POLICY	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> OFFICIAL PROCEDURES FOR ADDRESSING AND RESOLVING GRIEVANCES.	

**POLICIES**

- It is the policy of the State of Utah and the Department to provide a fair, formal, and prompt means of settling employment disputes without coercion, restraint, or reprisal. Every effort should be made to find an acceptable solution by informal means at the lowest possible level. Aggrieved employees shall first attempt to resolve a grievance through discussion with their immediate supervisor.
- Copies of the State Employee’s Grievance Procedure Bulletin can be obtained from the Human Resource Office or from the Career Review Service Office website <https://csro.utah.gov> that outlines the State grievance procedures.
- In keeping with the Department’s centralized personnel system, copies of all grievances should be sent to the Human Resource Management Department. The Human Resource Management Staff is assigned the responsibility of objectively informing both the aggrieved party and supervisors on proper procedures of the grievance process.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b> 05.06 ADA AND CIVIL RIGHTS GRIEVANCE POLICY	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> THIS POLICY SETS FORTH THE GRIEVANCE PROCEDURE FOR ALLEGED VIOLATIONS OF THE AMERICANS WITH DISABILITIES ACT AND CIVIL RIGHTS GRIEVANCE PROCEDURES.	

**REFERENCES**

- [Utah Administrative Code Rule R51-4](#), ADA Complaint Procedure
- [UCA Section 4-2-103](#), Functions, powers, and duties of department--Fees for services--Marketing orders--Procedure-- Purchasing and auditing
- [UCA Section 62A-5a-101](#), Coordinating Council for Persons with Disabilities
- [UCA Section 67-19-32](#), Discriminatory/Prohibited Employment Practice Grievances-Procedures
- [28 CFR Subpart F](#), Nondiscrimination on the Basis of Disability in State and Local Government Services, Compliance Procedures
- [28 CFR Part 35.170](#), Nondiscrimination on the Basis of Disability in State and Local Government Services, Compliance Procedures

**PURPOSE**

- The purpose of this rule is to provide for the prompt and equitable resolution of a complaint alleging any violation of the nondiscrimination provisions of [Title VI of the Civil Rights Act of 1964](#), [Title II of the Americans with Disabilities Act of 1990](#), [Section 504 of the Rehabilitation Act of 1973](#), or the [Age Discrimination Act of 1975](#), by an employee or customer of the Department.

**COMPLAINTS/INVESTIGATIONS**

- Any individual who believes they have been subject to discriminatory actions by the Department may file a complaint with the Department as set forth in Utah Administrative Code Rule [R51-4-3](#).
- Investigation of the complaints shall be performed in accordance with Utah Administrative Code Rule [R51-4-4](#) and a decision issued pursuant to the deadlines set forth in Utah Administrative Code Rule [R51-4-5](#).
- If an employee wishes to file a complaint or receives a discrimination complaint from a customer of the Department they should refer to the applicable Department coordinator using the contact information listed below.

#### **RECOMMENDATION/DECISION**

- The Department will issue a decision, including, if applicable, recommendations for preventing future similar issues.
- The Department will notify the complainant of that decision and take the steps it finds reasonable to implement any recommendations suggested by the Department Coordinator.

#### **Appeals**

- All appeals shall be conducted as set forth in Utah Administrative Code Rule [R51-4-7](#).

#### **Conflict of Laws**

- This rule does not prohibit or limit the use of remedies available to individuals under the Utah Anti-Discrimination Complaint Procedures [Section 67-19-32](#); the Federal ADA Complaint Procedures, [28 CFR Subpart F](#), beginning with [28 CFR Part 35.170](#), July 1, 1992 edition; or any other Utah State or Federal law that provides equal or greater protection for the rights of individuals with disabilities. [R51-4-8](#).

#### **CONTACT INFORMATION (CURRENT AS OF AUGUST 2020)**

##### **Employee complaints contact (Employee ADA Coordinator):**

Chris Kilpack, Human Resources Specialist

[ckilpack@utah.gov](mailto:ckilpack@utah.gov)

(385) 315-2834

##### **Customer complaints contact (Customer ADA Coordinator):**

Kelly Pehrson, Deputy Commissioner

[kwpehrson@utah.gov](mailto:kwpehrson@utah.gov)

801-982-2202

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
05.07 LAWS AND RULES	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> PROCEDURES FOR ADOPTING DEPARTMENTAL RULES INCLUDING REQUESTS, HEARINGS, AND PUBLICATION.	

**REFERENCES**

[UCA Section 63G-3-302](#), Public Hearings

[Utah Administrative Code Rule R15-4](#), Administrative Rulemaking Procedures

**PROMULGATION**

- All rules must be promulgated in accordance with the Administrative Rule-Making Act (UCA [Section 63G-3-302](#) *et seq.*) and its accompanying administrative rules (Utah Administrative Code Rule [R15-4](#)).

**PROCEDURES FOR ADOPTING AN ADMINISTRATIVE RULE FOR THE DEPARTMENT**

Origination

- Rules will originate at a Division level in coordination with the Department Administrative Rule Coordinator, and will follow the format set up by the Office of Administrative Rules (OAR). Rules cannot exceed the intent or language of the law, and must state the legal authority to promulgate rules on the covered subject matter.

Preparation

- Preparation should be done by the individual Divisions. All laws and rules now in use by the Department are available on the [OAR website](#). The rule coordinator will request the most current documents from OAR to make corrections, additions, etc.

Administrative Rules Hearings

- In compliance with [UCA Section 63G-3-302](#), and Department policy, agencies may hold hearings voluntarily on proposed rules before filing or during the comment period. The Utah Administrative Rulemaking Act only requires a hearing if ten persons, or an association with at least ten members, requests it in writing. If the Agency receives the request more than 15 days after publication of the proposed rule in the Bulletin, the hearing is not required, but if for no other reason than good public relations, the Agency may waive this limit. A requested hearing must be held no less than seven days after, and within 30 days of receipt of, the request. **The hearing must be held before the rule becomes effective.**
- Voluntary hearings are publicized by notice on the rule analysis form in the Bulletin, and on the Utah Public Notice website. A mandatory hearing will be properly noticed on the Utah Public Notice website..

- The Division Director shall preside at all hearings of rules.
- The Division Director shall be responsible for the following:
  - Setting the date and arranging the location for the hearing.
  - Giving notice as provided herein.
  - Providing a recorder for minute-taking.
  - Preparing a final draft of rules for submission to OAR.
  - Notifying the ADA Coordinator three days prior to the hearing of individuals needing special accommodations (including auxiliary communicative aids and services) that might be needed to be in compliance with the Americans with Disabilities Act.

#### Final Adoption

- Final adoption will be sent to OAR by the rule coordinator.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
05.08 ADJUDICATIVE HEARINGS	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> THE DEPARTMENT IS COMMITTED TO ENSURING DUE PROCESS AND THE RIGHT TO BE HEARD AND HEREBY ADOPTS THE FOLLOWING AGENCY POLICIES AND PROCEDURES FOR ADJUDICATIVE PROCEEDINGS.	

**REFERENCES**

- [UCA Title 63G, Chapter 4](#), Administrative Procedures Act
- [UCA Title 4, Chapter 2](#), Utah Agricultural Code, Administration
- [Utah Administrative Code Rule R51-2](#), Administrative Procedures for Informal Proceedings before the Utah Department of Agriculture and Food

**REPRESENTATION**

- The Attorney General is the legal advisor for the Department and shall defend the Department and the Department's representatives in all actions and proceedings brought against the Department pursuant to [UCA Section 4-2-301](#).

**COMMENCEMENT**

- A request or notice for an adjudicative hearing may be initiated by either an aggrieved party or the Department as set forth by [UCA Section 63G-4-201](#). The request or notice must contain all required statutory provisions.

**HEARING DESIGNATION**

- All hearings before the Department, including those regarding permits, licenses, and certifications, are designated informal, unless otherwise set forth in statute or rule under [UCA Subsection 63G-4-202\(1\)](#).

**HEARING PROCEEDINGS**

- Proceedings shall be governed by the procedures set forth in [UCA Section 63G-4-203](#).

**REQUEST FOR RECONSIDERATION, AGENCY AND JUDICIAL REVIEW**

- Where allowed by statute or rule, final decisions and orders issued after an adjudicative proceeding may be presented to the appropriate party at UDAF for reconsideration or Agency review pursuant to [UCA Section 63G-4-301](#).

- Unless prohibited by statute or rule, final decisions and orders may also be appealed to the district court pursuant to [UCA Section 63G-4-401](#).

#### **EMERGENCY ORDERS**

- Notwithstanding anything above, the Department may issue an emergency order where allowed by law, without complying with Utah Administrative Code Rule R51, so long as the requirements of [UCA Section 63G-4-502](#) are met.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
05.09 PRIVACY PROTECTIONS	
<b>EFFECTIVE DATE:</b> June 28, 2021	<b>REVISION DATE:</b> May 16, 2022
SUMMARY: THIS POLICY SETS FORTH THE DEPARTMENT'S POLICY REGARDING THE HANDLING OF PERSONAL INFORMATION RECEIVED BY THE DEPARTMENT.	

**REFERENCES**

[H.B. 243](#)

[Utah Code Title 67, Chapter 1](#)

[Utah Code, Title 67 Chapter 3](#)

[Utah Code, Title 63C, Chapter 23](#)

[Utah Code, Title 63G, Chapter 2, Government Records Access and Management Act](#)

[Utah Code, Title 52, Chapter 4, Open and Public Meetings Act](#)

**DEFINITIONS**

Controlled Record: A record containing data on individuals that is controlled as provided by Section 63G-2-304.

Personal Data: Any information related to an identified or identifiable individual.

Personal Data includes personally identifying information.

Personally Identifying Information (PII): Any information that permits the identity of an individual to be directly or indirectly inferred, including any information that is linked or linkable to that individual.

Private Record: A record containing data on individuals that is private as provided by Section 63G-2-302.

Protected Record: A record that is classified protected as provided by Section 63G-2-305.

**PURPOSE**

- The purpose of this policy is to ensure compliance with the privacy protections codified by [H.B. 243](#), passed by the Utah Legislative during the 2021 General Legislative Session which amends [Utah Code Title 67, Chapter 1, Title 67, Chapter 3](#), and enacts additional sections in [Title 63C, Chapter 23](#).
- This policy shall be modified as guidance is received by the government operations privacy officer, state auditor, and Personal Privacy Oversight Commission established under [H.B. 243](#).

**SCOPE**

This policy applies to all Department employees and members of Department administered boards and commissions.

**POLICY**

- The Department follows all guidelines set forth under [OPMA](#), [GRAMA](#), and related federal and state laws regarding the use of personal data. All employees, boards and commissions under the Department receive training at least every two

- years on [OPMA](#), [GRAMA](#), and ethics. Additional training on privacy concerns, such as private records access, retention, and destruction is provided, upon request, by the Utah State Archives or the Attorney General's Office.
- Pursuant to the requirements of [GRAMA](#), private, controlled, and protected records are not public and the Department may not disclose them to any person except as allowed by statute, rule or Department policy.

#### Information Stored by the Department

- The Department, in the course of its business, may collect personal data or store documents that contain personal data.
- Storage of documents containing personal data shall be determined pursuant to the appropriate [Utah Division of Archives or UDAF Retention Schedule](#).
- The Department shall classify each stored document as private, protected, or controlled under GRAMA.
- Credit card information collected by the Department shall not be stored following the completion of the credit card transaction. See Policy 1.11 for the Department credit card policy.
  - The Department will work with the Division of Finance to set up third party entities used for processing credit cards to ensure Payment Card Industry standards are followed.
- Department employees shall not download information that is accessed through a database maintained by a third-party entity unless they are the administrator of the database or authorized to do so.
  - Downloaded documents shall be stored in accordance with the retention schedule for the document.
  - Downloaded documents will maintain their GRAMA classification when downloaded.
- Department employees shall only store hard copies of documents containing personal data when necessary, as set forth in Department retention schedules.
- Personal data related to potential Department employees such as resumes or interview notes, shall be sent to DHRM following the conclusion of the hiring process. Department employees shall not keep copies.

#### Storage and Access

- Hard copies of documents that contain personal data shall be stored in a locked drawer or cabinet.
- It is preferred that documents that contain personal data are stored digitally on a password protected device or website.
  - Hard copies shall always be stored when required by an applicable retention schedule.
- Hard copies of documents containing personal data that are no longer needed shall be shredded.
- Electronic Storage

- o The Department's network drives or Google Drive are approved by the State as a secure place to store electronic documents containing personal data.
- o Access to drives shall be limited to those who need the information as part of their job duties.
- o The Department, through the Division of Administration, will review F drive and other network drives annually to ensure only appropriate employees have access to PII.
- o The owner or manager of documents that contain personal data stored in Google Drive shall also review access on an annual basis.
- Department employees shall not accept credit card information via text or email, per the requirements of the Department's Credit Card Payments Policy, 1.11.
- Personal data in email or text from a Department employee shall be redacted if the text or email is released pursuant to a GRAMA request or request from another governmental entity, unless otherwise required to be left intact by law.
- Department employees shall only have access to personal data as needed in performance of their job duties.
- The Department shall take steps to ensure that documents containing PII or other personal data are only viewed as needed by the appropriate party.

#### Department Use of Personal Data

- The Department may use email addresses, phone numbers, or addresses of department licensees or customers to disseminate information regarding Department programs or for other Department purposes.
- The Department shall not sell the personal data or any customer or licensee to a third party.
- Employees shall not take personal data of Department customers or licensees with them when they leave Department employment (See Existing Checklist, Appendix B.06).

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>06.01 ADVISORY BOARDS/COMMITTEES AND INTERNAL MEETINGS</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> May 20, 2021
<b>SUMMARY:</b> TO SET FORTH THE RESPONSIBILITIES RELATED TO DEPARTMENT ADVISORY BOARDS AND COMMITTEES AND ESTABLISH REGULAR INTRA-DEPARTMENTAL MEETINGS.	

**REFERENCES**

The following documents provide helpful information to support the Department’s role in managing boards and commissions:

**Handbook for Members of the State of Utah Boards and Commissions**

<https://boards.utah.gov/Content/finalhandbook.pdf>

**Oaths of Office Filing Instructions-Utah State Archives**

<https://archives.utah.gov/opengovernment/oathsofoffice.html>

**DIVISION DIRECTOR RESPONSIBILITIES FOR ADVISORY BOARDS/COMMITTEES**

- All advisory boards/committees are assigned to the Division Director whose Division is most affected by the board/committee or whose Division is designated in statute.
- The individual Division Director is responsible for the following, either personally or by designation:
  - Ensuring compliance with requirements (minimum number of meetings, etc.) and duties assigned to the board or committee by law. This includes all notice and other OPMA, ethics, and GRAMA requirements;
  - Ensuring a quorum will be present and confirming a quorum is present at the start of the meeting.
  - Preparing agendas for Director/AAG review and posting to the public notice website.
  - Maintaining up-to-date records of board/committee members, including appointments and expiration dates.
  - Notifying the Commissioner and Executive Secretary for the Department or Division secretary 60 days in advance of all necessary changes or re-appointments of board/committee members.
  - Ensuring that all board members take the Oath of Office, if applicable.
  - Members who are to receive per diem and travel must be placed on payroll by the HR Analyst. A copy of the appointment letter and a completed W-4 form and I-9 documentation should be given to the personnel technician.

- Communicating with the Governor’s office regarding the status of each Board/Commission and preparing all necessary reports to the Governor’s office as required by statute and by request.
- Notifying the board or committee chairman of necessary meetings.
  - In cases where the Commissioner is chairman, this should be done by writing a letter of notification of the meeting for the Commissioner’s signature. Members should receive notification of the meeting at least one week in advance.
- Making all physical arrangements for the meeting, including conference room reservation, secretary, recorder, etc.
- Preparing proper forms for reimbursement of board/committee members’ incurred expenses.
  - E.g., travel reimbursement form, meeting attendance form, or FI 40B Private Vehicle Reimbursement.
- Taking accurate minutes of meeting, sending minutes to members and posting them on the public notice website as soon as possible after meeting, and no later than the date allowed under OPMA.

#### **NOMINATING PROCEDURE FOR COMMISSIONER APPOINTED ADVISORY BOARDS/COMMITTEES**

**\*The guidelines set forth below constitute the preferred process (at the time this policy was drafted) to address vacancies on commissioner appointed boards or committees and is not required under state law or rule. This policy may be superseded by statutory requirements.**

- If there is a vacancy on a commissioner appointed board or committee, the Division Director assigned to that Board may review the criteria for the vacancy and will reach out to applicable groups and invite them to submit nominations of individuals to fill the position.
- Information regarding the vacancy and criteria may also be posted on the Department’s website and social media pages along with an electronic application for the position that includes pertinent questions and explains the qualifications and background required.
- Each call for applications will include a deadline determined by the Division Director.
- Following the expiration of the deadline or the submission of nominations, a small selection committee, including the assigned Division Director, will choose qualified candidates to interview, if needed.
- Following the interview process, the committee will submit two names to the Commissioner for final selection.
- If only one individual has applied for the position one name may be submitted to the Commissioner for review.
- The individual selected shall be notified and provided with additional information regarding the requirements for the position, including training

on the requirements of [UCA Title 52, Chapter 4](#), the Open and Public Meetings Act.

- The chair of the Board will be notified of the member selected to fill the vacancy.
- At the Commissioner's discretion, committee or board members may remain in their positions following the expiration of their term, to allow for their replacement to be selected.
- At the Commissioner's discretion, committee or board members may be appointed to an additional term upon expiration of their term, if serving an additional term is permitted by state statute and rule.

**DIRECTOR'S MEETINGS/DIVISION MEETINGS**

- Every week, or as needed, Division Directors will meet with the Commissioner to review Departmental issues, recent issues, and any other items of import or concern.
- Regular individual section and Division staff meetings are highly encouraged. As such, Division Directors shall establish a schedule for Division meetings and inform the Commissioner of the same.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
06.02 BUILDING USE	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> PROCEDURES FOR RESERVING AND USING BUILDINGS DURING WORK HOURS OR ON WEEKENDS.	

**CONDITIONS**

- Agricultural organizations using Department buildings during work hours or on weekends may do so under the following conditions:
  - All reservations for use of rooms in the building should be cleared through the Division of Administrative Services to assure availability of space.
  - An employee of the Department must be present to open the building, remain during the meeting, and be responsible for securing the building following the meeting.
  - If arrangements cannot be made to have an employee present, an employee of the building security force must open the building, remain during the meeting, and secure the building at the close of the meeting. **The group involved will be charged for all security service expenses.**
  - All users need to be responsible for the setup and cleanup of the conference rooms and equipment used.

**OFF-HOUR USE OF MAIN OFFICE BUILDING**

- When the front doors are open to the public, there shall be an employee at the front desk to check State Employee IDs, sign in visitors and issue visitor passes. A Division hosting off-hour meetings shall be responsible for building security, including obtaining appropriate approval for off-hour building access, providing an employee at the reception desk, monitoring the attendees, monitoring the areas accessible by attendees, and securing the building after the meeting.

**OFF-HOUR MAIN OFFICE BUILDING ACCESS**

- Employees who enter the building during off hours and expect to leave before normal work hours shall sign a log when they arrive and sign out on that log when they leave. This process will allow employees to know when another employee is in the building during off hours. Employees shall turn off the alarm when they arrive (if it is on).
- The last employee to leave the building on non-work days shall check the log to make sure no one else is in the building and then set the alarm.

**MAIN OFFICE BUILDING ALARM ACCESS CODE**

- The security access code for the building alarm shall be changed annually. The code shall only be given out by the employee’s Director or those persons who are authorized to issue badges. The code shall only be given out to those whose badge allows off hours access. The code shall be determined by the Commissioner.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>06.03 CONFERENCE ROOM SCHEDULING</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY: PROCEDURES FOR SCHEDULING AND PREPARING CONFERENCE ROOMS AND EQUIPMENT.</b>	

**SCHEDULING MAIN CONFERENCE ROOM**

- When the main conference room is scheduled, either for a Department function or for one of the groups an employee is associated with, the involved Division employee should ensure that:
  - Use of the room shall be scheduled on the appropriate Google calendar and the Division Director shall be informed of the meeting.
  - The conference room is equipped with some or all of the following equipment.
    - 35 MM slide projector
    - Podium/microphone
    - Sound system (with staff supervision)
    - Overhead projector
    - LCD Projector
    - DVD Player
  - A large projector screen is located in the room, as well as a whiteboard with markers.
  - The dividing partition should be closed if the entire room is not going to be used.
  - Please post "Conference in Session" signs next to/on each door.
  - Tables and chairs may be arranged as preferred. The entire room will seat approximately 90 people.
  - Smoking is not allowed in the building.
  - Users should come prepared with needed items and supplies such as handouts, pencils, etc. Building employees are not available to make copies or to provide supplies, services, etc. If copies are needed, machines are available for use. There may be a charge for the copies.
  - The lunchroom is available (located next to the conference room). This is equipped with vending machines. Consideration should be shown when using the facilities, such as cleaning up, etc.

- When the meeting is over, employees should make certain the room is cleared of all items from the meeting, such as handouts, trash/bottles, papers, brochures, etc.
- Agricultural affiliated organizations using the building after 5:00 p.m. must have a full-time employee on the premises, who will be responsible for those using the building.
- In compliance with the Americans with Disabilities Act (ADA), individuals needing special accommodations (including auxiliary communicative aids and services) during a meeting should notify the ADA Coordinator at least three working days prior to the meeting. See Policy 5.06 for contact information.
- UDAF meetings will take precedence over other scheduled meetings and may displace non-UDAF meetings if State requirements dictate.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
<b>06.04 MEALS FOR DEPARTMENT MEETINGS</b>	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY: PROCEDURES FOR PROVIDING AND ORDERING MEALS FOR USE DURING DEPARTMENTAL MEETINGS.</b>	

**MEALS PROVIDED**

- Meals may be provided for official Department meetings with prior approval when all of the following conditions exist:
  - The meeting is one of the official Department designated advisory or policy boards or committees; or the meeting is one called by the Commissioner where non-State employees are invited to review issues facing the Department with no per diem or compensation offered.
  - The meeting time schedule will span the lunch or dinner hour.
  - The majority of the individuals are non-State employees.
  - Meetings that do not meet all of the above criteria must be approved by the Commissioner prior to obtaining meals.

**ORDERING MEALS**

- In ordering meals, the procedures are:
  - Get prior approval where necessary (i.e. if it does not comply with the above).
  - Stay within per diem rates unless otherwise approved by the Commissioner or exempt from this requirement.
  - Call an authorized establishment (or anyone else) who will invoice in advance and place an order if more than ten meals are to be ordered.
  - Sign for meals and bring the invoice back to the Department.
  - Have the appropriate Division Director approve the invoice, indicating unit and proper coding, and submit to the Accounts Payable Clerk for processing. If using a P-card to make purchases, ensure documentation is provided with the monthly P-card logs. It is important that ORIGINAL invoices be provided for payment.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
06.05 SECURITY	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> BUILDING AND COMPUTER SECURITY AS APPLIES TO PERSONNEL AND VISITORS.	

**BUILDING SECURITY**

- The building will be locked from **5:00 P.M. until 8:00 A.M. (Mon-Fri.)** as well as on weekends and holidays.
- Division Directors will request permanent or temporary ID card access for those employees requiring building access during closed hours with approval by the Commissioner. **Authorization forms** can be obtained on the Department’s network drive.
- All visitors must sign in and out at the reception desk. The receptionist will contact the Division to let them know they have a visitor.
- Employees are encouraged to have their State I.D. cards visible at all times, especially when using the building after normal office hours.
- The Division of Facilities, Construction and Management Office (DFCM) will contract for all building security. Typically a security contractor provides security monitoring several times daily.

**COMPUTER SECURITY**

- Access to the Department LAN system requires approval by the Division Director. The DTS Staff will process the request once all proper signatures are acquired.
- Employees shall follow the policy and procedures for changing passwords as required.
- Access to other systems will require processing through the security designee in the Administrative Services Division.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b> 07.01 CONFERENCES-TRAVEL	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> December 4, 2020
<b>SUMMARY:</b> DEPARTMENT TRAVEL POLICIES INCLUDING REQUESTING AND RECEIVING APPROVAL, BOOKING HOTELS AND TRANSPORTATION, REIMBURSEMENT ETC.	

**REFERENCES**

[State Fleet and Travel Website](#)

[FY 2021 State Travel Training](#)

The [Find It Guide](#) - a portal with access to State travel policies

[FIACCT 10-02.03](#), Reimbursement of meals, lodging, and expenses

[FIACCT 10-04.00](#), Group Gatherings

[FIACCT 04-04.01](#), Purchases up to \$5,000, without two Quotes

[FIACCT 10-02.02](#), Reimbursement Procedure

[Utah Administrative Code Rule R27-3](#), Fleet Vehicle Use Standards

[Utah Administrative Code Rule R25-7](#), Travel Related Reimbursement for State Employees

**APPROVAL**

- Prior to any in state or out of state travel, all Department employees must obtain approval for the travel from their Division Director.
- Division Directors shall obtain travel approval from the Deputy Commissioner.
- The Deputy Commissioner shall obtain travel approval from the Commissioner and the Commissioner shall obtain travel approval from the Deputy Commissioner.
- **The travel must be approved before any travel takes place and approval must be documented in writing. If possible, the travel authorization form or a detailed justification and explanation for the travel should be stored with the employee's travel record in Employee Self Service.**
- Travel that is in the normal course of an employee's duties is exempt from this policy provided that all other requirements of Departmental and state laws are met.

ALL TRAVEL REQUESTS, WHETHER IN OR OUT OF STATE, MUST BE SUBMITTED TO THE DEPARTMENT'S TRAVEL COORDINATOR AND THE DIRECTOR OF ADMINISTRATIVE SERVICES, IN ADDITION TO THE DIVISION DIRECTOR OR EXECUTIVE OFFICE, AT THE TIME OF THE REQUEST, TO ENSURE THE PROPER PROCEDURES ARE BEING FOLLOWED.

## IN STATE TRAVEL

### REGISTRATION FEE

- In-state conference registration fees can be reimbursed only with prior approval from the Division Director and must be supported by a proper receipt and agenda.
- Registration fees can be paid via state check, personal credit card, or a P-card.
- If a registration fee exceeds \$1,000, the form “Award of Contract without Engaging in a Standard Procurement Process,” must be filled out and signed by the Chief Procurement Officer. This form can be found at [purchasing.utah.gov](http://purchasing.utah.gov).

### HOTELS AND TRANSPORTATION

- All air travel must be booked through the Department’s Travel Coordinator or a Division designee .
- Per the requirements of Section [R25-7-8](#), in-state travelers are only eligible for lodging if the destination is **50 miles or more** from their home base unless **pre-approved** by their Division Director or the Commissioner.
- All in-State hotels that are not within current State per diem amounts must be booked through the Travel Coordinator or Division designee as well.
- In State hotels that are within the per diem amounts may be booked by the traveler.
- Conference Hotels (a hotel that offers a special rate negotiated by the conference) may be booked by the traveler.

### MEAL REIMBURSEMENT

- Current State Approved Meal Reimbursement Rates: \$11/\$14/\$20=\$45/day
- Meals will not be reimbursed if they are provided by the conference or hotel.

## OUT OF STATE TRAVEL

### REGISTRATION FEE

- Registration fees can be paid via state check, personal credit card, or a P-card. If a registration fee exceeds \$1,000, the form “Award of Contract without Engaging in a Standard Procurement Process for Conferences and Outside Trainings Paid By P-card,” that can be found on the [State purchasing website](#), must be filled out and signed.. Any registration fee over \$5,000 cannot be made with a P-card because it falls outside of the Small Purchase Policy exception under [FIACCT 04-04.01](#). Such purchases would need to be made through the standard procurement process unless the registration is sponsored by a government agency or professional organization.

### HOTELS AND TRANSPORTATION

- All air travel must be booked through the State Travel Office and should not be booked with P-cards.
- If an employee wishes to drive a personal vehicle out-of-state vs. flying, a driving vs. flying comparison must be obtained from the State Travel Office. The

Department shall consider the overall cost of driving, including per diem, lodging, and wages before approving a request.

- All out of State hotels must be booked through the State Travel Office.
- The State Travel Office can be reached at [statetravel@utah.gov](mailto:statetravel@utah.gov)
- Exception: Conference Hotels (a hotel that offers a special rate negotiated by the conference) may be booked by the traveler.

#### **MEAL REIMBURSEMENT**

- Meals may be reimbursed at the state rate for the location.
- If an employee receives reimbursement from the federal government or another third party, they cannot be reimbursed at a rate greater than the federal per diem rate for the travel destination. The handling of third party reimbursement is discussed in detail in [FIACCT 10-02.02](#).

**\*\*If an employee must deviate from this policy due to an emergency or extenuating circumstance, they should contact their supervisor to get approval and **must contact the State Travel Office immediately** upon their return to ensure that the circumstances of their trip are properly documented. \***

#### **Travel as part of an Employee's Job Duties**

- All in-State travel for UDAF purposes outside of a 50-mile radius from the office of the employee that is outside of the normal course of an employee's duties (as determined by the Division Director) must be requested in writing and receive approval in advance. This control ensures employee accountability for time and expenditures during in-State travel and supervisory oversight of potential overnight stays.
- **Division Directors whose employees (such as inspectors) routinely travel as a part of** their duties for the Department may add additional Division specific requirements regarding authorizations and permissions, provided they do not conflict with the Department's travel-related policies.
- If an employee regularly travels through an adjoining state to perform their official state duties, a liability agreement with the Utah Division of Fleet Operations is required and a copy of a signed Out of State Vehicle Use Form should be maintained in each vehicle (See Appendix A.06)
- Employees that travel regularly as part of their official state duties should review and follow the policies in Section 8 of this manual related to travel and vehicle use.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
08.01 AUTHORIZED PASSENGERS AND VEHICLE OPERATORS	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> December 4, 2020
<b>SUMMARY:</b> DEFINITIONS AND GUIDELINES FOR AUTHORIZED PASSENGERS AND DRIVERS OF STATE VEHICLES.	

**REFERENCES**

[Utah Administrative Code Rule R27-3](#), Vehicle Use Standards  
Policy 8.02, Commute Policy and Procedure

**AUTHORIZED VEHICLE OPERATORS**

- A Department employee may operate a State vehicle only when the employee has a valid driver license and a valid Operator ID. If an employee is a Utah resident and has a driver’s license from a state other than Utah, they must obtain a Utah driver’s license within 6 months of employment.
- Once UDAF has been notified by the employee or by the Division of Fleet Operations that the employee's driver license is no longer valid, the Agency shall suspend the employee’s authorization to operate a State vehicle.
- The employee may not drive a State vehicle until the employee's driver license and Operator ID are once again valid.
- Pursuant to Utah Administrative Code Subsection [R27-3-3\(5\)](#), authorized drivers must complete all required training and safety programs as well as meet age requirements before they may operate a State vehicle.

**FLEET VEHICLE VS. RENTAL VEHICLE VS. PERSONAL VEHICLE**

- The Department leases vehicles from the State fleet for employee use. Whenever possible, Department fleet vehicles are the preferred mode of transportation for Department business.
- If a fleet vehicle is not available, use of personal vehicles for Department business is permitted when approved by a supervisor.
- Employees are not obligated to use personal vehicles for work assignments.
- Consistent with Risk Management guidelines, employees who choose to use personal vehicles for work assignments assume liability for the vehicle and are not insured by UDAF or the State unless the use has been approved in advance.
- If no fleet vehicle is available and an employee chooses not to use a private vehicle, a supervisor may authorize a rental vehicle with the written approval of the Commissioner or designee. Written rental approvals must include the minimum size automobile necessary for the specific assignment and anticipated mileage.
- UDAF does not pay for taxes, insurance, or additional fees beyond the daily rental rate. Department employees are required to fill the rental vehicle with fuel before returning it, and submit itemized rental documentation and gas receipts through ESS ([Employee Self-Service portal](#)) for reimbursement.

- Personal vehicle mileage reimbursement documentation and rental vehicle paperwork, including documented mileage and fuel reimbursement receipts, shall be submitted no later than the end of the pay period when the vehicle was used.
- **Consistent with State rules, overnight home storage of fleet or rental vehicles is not permitted.** See Policy 08.02 for potential exceptions to this rule.
- Any exceptions to this policy section must be authorized by the Division Director or Executive Office.

<b>DEPARTMENT OF AGRICULTURE AND FOOD</b>	
08.02 COMMUTE AND TAKE HOME USE POLICY AND PROCEDURE	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> April 15, 2021
<p><b>SUMMARY:</b> THE PURPOSE OF THIS POLICY IS TO ESTABLISH CRITERIA BY WHICH AUTHORITY TO COMMUTE IN A STATE VEHICLE MAY BE AUTHORIZED. THE INTENT OF REQUIRING CERTAIN STATE EMPLOYEES TO COMMUTE IS TO CREATE A BENEFIT TO THE STATE WHICH IS CLEARLY OF GREATER VALUE TO THE STATE THAN THE ASSOCIATED COST OF THE COMMUTE. <b>COMMUTE AUTHORITY MAY NOT BE USED AS A MEANS OF PROVIDING A FRINGE BENEFIT TO DEPARTMENT EMPLOYEES.</b></p>	

**REFERENCES**

- [UCA Subsection 41-10-1](#), State Tax Commission Designated Vehicle Department
- [IRS Publication 15-B](#)
- [Utah Administrative Code Rule R477-8](#), Working Conditions
- [Utah Administrative Code Rule R27-3](#) Vehicle Use Standards
- [Utah Division of Finance Policy 10.01-00](#), State Vehicle Usage
- [Utah Administrative Code Rule R477-11](#), Discipline
- [IRS Publication 15-B, Employer’s Tax Guide to Fringe Benefits](#)

**POLICY AUTHORITY**

- This rule is established pursuant to UCA [Subsection 41-10-1](#).

**POLICY DEFINITIONS**

- “Commute” means travel in a state vehicle between an employee’s home and place of work more often than **five times per month**. Commute includes travel to any work site closer to an employee’s home than the principal place of assignment. Commute use of a state vehicle is considered a taxable fringe benefit unless an employee meets the IRS exempt requirements for take home use.
- “Employee” means any person who is paid on the State payroll system or is acting as an agent of the State in a volunteer position.
- “On call” –as designated by internal Department procedures and consistent with Utah Administrative Code Section [R477-8-10](#).
- “Take Home Use” means the employee’s commuting privileges in a state vehicle are approved as exempt according to [IRS Publication 15-B](#) and are not considered a taxable fringe benefit.

**APPLICATION FOR COMMUTE**

- If an employee wishes to request authority to commute in a state vehicle or have take home use of a state vehicle, they shall make the request to their Division Director, providing specific justification as to why they qualify for commute or

take home privileges under the criteria listed in this policy. After evaluating the request, if the Division Director believes that the commute or take home use falls within the standards of this policy, they shall add the employee information and the justification to the Department's Commute and Take Home Use Spreadsheet, a shared document maintained by the Director of the Administrative Services Division.

- If a Division Director or individual in the Executive Office wishes to request authority to commute or have take home use of a state vehicle, they shall make the request to their supervisor in the Executive Office, providing specific justification as to why they qualify. After evaluating the request, if the Executive Office believes that the commute or take home use falls within the standards of this policy, they shall add the employee information and the justification to the Commute and Take Home Use Spreadsheet.
- All commute and take home use shall be added to the Spreadsheet by December 1st of each year.
- The Director of the Administrative Services Division will review the Commute and Take Home Use Spreadsheet and submit it to the Commissioner for approval and signature.
- By December 31st of each year, the Director of the Administrative Services Division will submit the signed Spreadsheet to the Division of Fleet Operations. [See Utah Administrative Code Subsection R27-3-6\(1\).](#)
- Any employee, including Division Directors and members of the Executive Office may not approve their own Application for commute or take home use.

#### **APPROVAL FOR COMMUTE OR TAKE HOME USE**

Approval for commute or take home use **must qualify under one or more of the following criteria:**

- The commute or take home use is for a public safety position, whose vehicle is specially equipped for that function, and who is designated as being "on-call" consistent with Section [R477-8-10](#). Non-public safety personnel providing administrative oversight are not approved.
- The commute or take home use is for a non-public safety position designated as being "on call" according to Utah Administrative Code Section [R477-8-10](#), whose vehicle is specially equipped for that function, and where it can be clearly demonstrated that the nature of the potential emergency is such that the incremental response time, if a commute is not authorized, could endanger life or property of significant value.
- **On-call positions are not automatically approved to commute or have take home use privileges of a state vehicle and must meet one of the criteria in this section.**

- The commute or take home use is for an employee who works out of their vehicle most of the time and has Department approval to begin the day without reporting to a central office, and when denial of the approval would materially decrease the amount of time available for field work. In no circumstance shall an employee who lives near an office location, such as a regional office, be the sole justification for requiring the State to pay the costs of commuting or take home use.
- Paying mileage reimbursement for business use of a personal car (with reasonable modifications made to support communication and equipment storage) is not an acceptable or approved alternative.
- Any exception to allow commute or take home use that does not qualify under one of the criteria listed above must be authorized in writing by the Commissioner and must include a justification under one of the criteria for allowing a commute as listed, *supra*. A copy of the authorization must be kept in the state vehicle at all times.
- If situations exist where an employee is not able to satisfy the requirements of their position efficiently without violating this policy, the employee may work with their Division Director to consider alternate approaches to effectively perform their State duties, such as staging vehicles on state property at various locations to save travel time and prevent unnecessary expenditures of state funds
  - Any alternatives proposed to remedy the employee's concerns shall be approved by the Commissioner prior to implementation.
- Commute or take home use authority may not be used as a means of providing a fringe benefit to Department Employees, including employees in the Executive Office.

#### ACCOUNTING AND TAXATION

- Commute approval is generally considered a taxable fringe benefit. Take home use is not a fringe benefit and is considered exempt from taxation if requirements are met under [IRS Publication 15-B](#). This means that commuting employees are subject to payroll deductions consistent with the fringe benefit they receive. The IRS-set value of the fringe benefit is stated in the Division of Finance policy [10-01.00](#).
- Per Policy 10-01.00, Commuting between an employee's home and place of business in a Qualified Nonpersonal Use vehicle is not taxable as long as the requirements in [IRS Publication 15-B](#) are met. A Qualified Nonpersonal Use Vehicle is defined by the IRS as a state vehicle that employees are not likely to use more than minimally for personal purposes because of its design. These state vehicles generally include police, fire, and public safety vehicles; unmarked vehicles used by law enforcement officers if the use is officially authorized and

use is related to law enforcement functions, such as being able to report directly from home to an emergency situation; any vehicle designed to carry cargo with a loaded gross vehicle weight over 14,000 pounds, etc.

- ALL employees who have been approved to regularly commute with a State vehicle must be listed on the Commute and Take Home Use Spreadsheet that is submitted to the Division of Fleet Operations each year. The Director of the Administrative Services Division shall make updates to the Spreadsheet during the year as needed. The Division of Fleet Operations will submit required tax forms for each commuting employee.
- **All employees who are approved to take home a vehicle will be classified as commuting employees unless they meet one of the tax exemptions explicitly included in [IRS Publication 15-B](#).**

#### **SHELTER OF VEHICLE**

- Where practical, off-street shelter security must be provided for the vehicle by the commuter.

#### **PENALTY FOR UNAUTHORIZED COMMUTE**

- If an employee must violate the commute policy due to an emergency or extenuating circumstance, they should contact their Division Director or Executive Office to obtain approval for the commute. The approval and reasoning should be documented by the Division Director or the Executive Office.
- The Division of Administrative Services must also be apprised of the decision to ensure that any additional reporting requirements are met.
- An employee found in violation of the commute and take home use policy will be subject to discipline under Utah Administrative Code Section [R477-11-1](#), up to and including termination of employment.

#### **Departmental Documentation-Commutes less than Five Times a Month**

- Commutes less than five times a month are considered a de minimis benefit and will not be required to be listed on the Commute and Take Home Use Spreadsheet. However, each Division will be responsible for documenting authorization of these commutes. Commutes of less than five times a month must still qualify under the guidelines of the policy outlined above and authorization must be verified by the employee.

<b>DEPARTMENT OF AGRICULTURE</b>	
08.03 EMPLOYEE RESPONSIBILITY FOR VEHICLE CARE AND MAINTENANCE	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> REPORTING OF MAINTENANCE PROBLEMS, VEHICLE ABUSE, INSPECTION, REGISTRATION, AND IDENTIFICATION.	

**REFERENCES**

Utah Administrative Code Rule [R27-8](#), State Vehicle Maintenance Program

**VEHICLE ABUSE**

- Drivers should note any maintenance problems and inform State Fleet Management as soon as possible. If a vehicle is damaged due to abuse, the appropriate Division will be charged for the amount of the repairs. If an employee neglects a vehicle, including not informing their immediate supervisor of possible damage due to a maintenance problem, that Division will be charged for the cost of repairs.

**MAINTENANCE**

- Divisions will ensure that oil and oil filter changes are performed according to factory specifications on all assigned vehicles and that other preventive maintenance functions are performed according to the service schedule included in the owner's manual or the service schedule provided by Fleet Management.

**INSPECTION AND REGISTRATION**

- Each Division is responsible for making sure that each vehicle receives an annual emissions inspection where required. Emissions inspections must be completed within the 90-day period before the expiration date on the registration.

**VEHICLE IDENTIFICATION MARKING**

- Vehicle identification and marking shall be consistent with Fleet Management rules and regulations.
  - See Utah Administrative Code Rule [R27-8](#). State Vehicle Maintenance Program.

<b>DEPARTMENT OF AGRICULTURE</b>	
08.04 MINIMUM REQUIREMENTS FOR OPERATION OF A VEHICLE	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> March 1, 2022
<b>SUMMARY:</b> REQUIREMENTS FOR EMPLOYEES DRIVING STATE VEHICLES	

**REFERENCES**

[Utah Administrative Code Rule R27-3](#), Vehicle Use Standards  
[Utah Code 53-3-202](#)

**POLICY AND GUIDELINES**

- Prior to using a state-owned motor vehicle, an employee must:
  - Have a valid driver’s license. The Division of Fleet Operations runs weekly reports to ensure that a license is valid and active.
  - Complete the Defensive Driver Training course located on the Utah Learning Portal prior to operating a state vehicle. Recertification of this training is required every two years.
  - Work with their Division Fleet Coordinator to obtain an Operator Identification Number and Gas Card PIN.
- Authorized, Unauthorized, and Personal Use of State Vehicles:
  - State vehicles shall only be used for official state business.
  - Drivers shall operate a state vehicle in accordance with the restrictions or limitations imposed on their respective driver’s license.
  - Except in cases where it is customary to travel out of state in order to perform an employee’s regular employment duties and responsibilities, the use of a state vehicle outside of the State of Utah shall require the approval of the Commissioner.
  - Unless otherwise authorized, the following are examples of the unauthorized use of a state vehicle:
    - Transporting family, friends, pets, associates or other persons who are not state employees or are not serving the interest of the state.
    - Driving under the influence of alcohol or drugs as defined by state law.
    - Operating a vehicle for personal use except for the purposes set forth in Section R27-3-5.
  - The unauthorized use of a state vehicle may result in the suspension or revocation of state driving privileges.
- If a prospective employee is required to drive a vehicle as part of their job responsibilities and fails one or more of the above criteria they will not be considered for employment.

<b>DEPARTMENT OF AGRICULTURE</b> 08.05 APPROPRIATE VEHICLE USE	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> March 1, 2022
<b>SUMMARY:</b> TO PROVIDE GUIDELINES FOR DEPARTMENT STAFF REGARDING THE USE OF VEHICLES FOR BOTH STATE AND PERSONAL VEHICLES USED FOR STATE BUSINESS. THIS POLICY ALSO ESTABLISHES STANDARDS FOR THE DRIVER SAFETY COMMITTEE AS REQUIRED BY UTAH ADMINISTRATIVE CODE SECTION <a href="#">R27-7-5</a> .	

**REFERENCES**

[Utah Administrative Code Rule R27-7](#), Safety and Loss Prevention of State Vehicles  
[FIACCT 10-02.06](#), Reimbursement-Transportation

**BACKGROUND:**

- This policy recognizes that it is in the best interest of the Department to comply with Utah Administrative Code Rule [R27-7](#) and to impose disciplinary action when appropriate. A Department-wide policy ensures uniform applicability and consistency.

**SCOPE:**

- This policy applies to all UDAF employees.
- Any employee who does not comply with this policy shall be subject to disciplinary action, up to and including termination of employment.
- References in this policy to the Commissioner shall mean the Commissioner or their designee.
- References in this policy to Division Director shall mean a Division Director or their designee.

**DEFINITIONS:**

- The “Driver Safety Committee,” “DSC”, or “Committee” is a Department committee that meets quarterly to review accidents in State Vehicles, Major Threshold Violations, and to recommend appropriate disciplinary action, if any. The committee includes representatives from the Divisions, the Department’s Risk Manager, and a representative from The Department of Human Resources Management (DHRM), and must have a minimum of three voting members at each meeting.
- A “State Vehicle” is any motor vehicle owned, operated, or in possession of the Department, including but not limited to State Fleet vehicles and rentals.
- A “Major Threshold Violation” is a violation sufficiently serious to be brought before the Driver Safety Committee for review. A Major Threshold Violation may include one major violation, or multiple Minor Threshold Violations, as described

below. Major threshold violations are outlined in Utah Administrative Code Section [R27-7-3](#).

- A “Minor Threshold Violation” is a violation which by itself is not sufficiently serious to be brought before the Driver Safety Committee for review.
- A “Telematics Violation” is a violation of posted speed limits or not using a seatbelt, as recorded by the Geotab program. A major Telematics Violation is defined as driving more than 20 miles per hour above posted speed limits for more than one minute or exceeding 90 miles per hour for more than thirty seconds. A minor Telematics Violation is defined as driving without using seat belts while traveling greater than 10 miles per hour for longer than one minute.
- A “Telematics Threshold Violation” occurs when two major Telematics Violations occur over a one month period or at least one minor telematics violation occurs on two days or more over a one month period.
- “Aggravating Factors” are factors of a driving violation that negatively affect the Committee’s evaluation of an employee’s driving performance. These factors include but are not limited to:
  - whether the violation caused bodily harm, or had a high likelihood of causing bodily harm;
  - whether the violation resulted in damage to the vehicle or property, or had a high likelihood of such damage; and
  - whether the violation damaged the reputation of the State or Department, or had a high likelihood of such damage.
- “Mitigating Factors” are factors of a driving violation that positively affect the Committee’s evaluation of an employee’s driving performance. These factors are likely to be rare but may include circumstances that explain the employee’s driving behavior, such as a possible concern with the data collected by the Geotab system, the requirements of a particular employee’s job or program, and any Division policies that may allow behavior outside of what is typically expected. The Committee will make a reasonable attempt to verify the validity of any mitigating factors presented.

**POLICY AND GUIDELINES:**

- Employees must follow all applicable State laws, rules, and policies.
- Pursuant to Policy 08.01, if a state vehicle is not available, an employee may use a personal vehicle for Department business if the use is approved by a supervisor.
  - Members of Department sponsored Boards and Commissions are not subject to this requirement.
- Employees using a personal vehicle to conduct state business are not covered by the Utah Division of Risk Management.
- Reimbursement for private vehicle use will be at the lower of the reimbursement rates authorized by State Finance policy unless an exception is approved by the commissioner, per the requirements of [FIACCT 10-02.06](#).

- Any overnight use of a State vehicle must be pre-approved and documented by the division director.
- Each state vehicle shall have a paper log sheet in it that records, in real time:
  - in the case of a shared vehicle, who is driving the vehicle and when; and
  - in the case of a vehicle that has been assigned to a particular employee, who is driving the vehicle and when, **in the event that the driver is not the assigned employee.**
- If an employee completes a log sheet indicating that they are driving a vehicle during a particular time they are presumed to be the individual in control of the vehicle in the case that any issues arise. Conversely, if the assigned driver fails to ensure that a log is completed, that individual is presumed to be in control of the vehicle in the case that any issues arise.
- On a monthly basis, each Division Director shall reconcile the log sheets against their records. This includes ensuring that if any telematics violations have been recorded in the Geotab system that the correct employee is credited with committing the violations.
- Employees will be subject to review by the Driver Safety Committee for any Major Threshold Violations and possible suspension of driving privileges as described in Utah Administrative Code Section [R27-7-5](#).
- Employees may also be subject to disciplinary action for inappropriate use of a State vehicle independent of actions taken by the Driver Safety Committee. Serious violations may result in corrective action, suspension, or termination of employment.
- Information reviewed by the Driver Safety Committee shall include: Drivers' License information provided to the UDAF Risk Manager, telematics data collected by the Geotab program, vehicle logs, and reports of accidents and damage to State vehicles.
- Telematics data collected by each State vehicle's Geotab system shall be reviewed by the Division Director or the employee's manager on at least a monthly basis.
  - All Managers and Division Directors shall review vehicle usage for the employees that they supervise.
    - Geotab data shall be shared with the Members of the Driver's Safety Committee to determine if any Major Threshold Violations or other violations requiring DSC review or recommendation.
    - Data shall be reviewed to compare the number of miles driven by each employee with the amount that would be expected to be driven by that employee. Miles shown in the Geotab system shall also be compared to the number of miles recorded by the vehicle itself.
    - At a minimum, a sampling of 10% of vehicle data shall be reviewed each month to determine if any discrepancies are present.
  - Any violations captured by the Geotab system should be checked for accuracy and discussed with the violating employee to allow the employee the opportunity to provide additional information or context to dispute the violation. Violating employees shall be made aware that excessive

violations could lead to a suspension of their driving privileges which could affect their ability to perform their job.

- All Telematics Violations and accidents shall be tracked. The tracking system shall note any possible justifications for the violation or accident.
- If violations are verified, disciplinary action should be pursued consistent with this policy.
- No Department employee may operate a State vehicle without a valid driver license and Fleet Operator ID. If any Division is notified that the employee's license is no longer valid, the Agency may not permit the employee to operate any vehicle on State business, until the employee's license and Operator ID are reinstated.
- All Department employees are required to report any accidents or moving violations to their supervisor immediately, whether they occur in a state vehicle or in their personal vehicle while it is being used for state business.
- For vehicle accidents, employees shall also submit an accident report to the Division of Risk Management via their online portal at: <https://utah-risk.force.com/intakeportal/s/> The employee will need the FO # of the vehicle and the VIN to submit the report. Once a report is submitted employees may contact Cerena Withers with the Division of Risk Management at 385-831-3314 if they have any questions.
- The Commissioner's driving data may be reviewed by the Department's internal auditor.

### **Major Threshold Violations**

- Any of the following is a Major Threshold Violation, and shall be reviewed by the Driver Safety Committee:
  - three preventable accidents within any 36-month period, as determined by the Committee;
  - three or more cited moving violations while driving a State vehicle in any 12-month period;
  - any citation for reckless, careless or negligent driving, including excessive speed violations;
  - any driving violation related to alcohol, or to drugs that are non-prescribed or taken contrary to medical instructions;
  - use of a State vehicle while impaired;
  - any driving violation resulting in injury or death;
  - any felony-related driving violation;
  - any hit and run violation;
  - operation of a moving State vehicle while using a handheld wireless communication device;

- any other driving violation determined by the Committee to pose a significant risk to the safety or loss prevention of State vehicles, passengers, or the public;
- abuse, neglect, misuse, or illegal operation of a State vehicle;
- validated citizen complaints as determined by the Committee;
- three Telematics Threshold Violations within a 12-month period;
- or
- one Telematics Threshold Violation as determined by the Committee, considering any aggravating factors outlined in Utah Administrative Code Subsection [R27-7-5\(8\)](#).
- In reviewing violations, the DSC shall also consider mitigating factors, including whether the action taken by the employee was reasonable considering their program, job responsibilities, and any applicable Department and Division policies.

### **Consequences of Major Threshold Violations**

- After the Committee identifies an employee has committed a Major Threshold Violation, Committee Chair shall communicate the violation to the appropriate Division Director, Deputy Director, and the Commissioner. The employee's driving privileges will be suspended as soon as possible after the completion of the Committee's review as outlined below and in Section R27-7-5. The length of the suspension will increase if the violation is determined by the Committee to involve Aggravating Factors. The first Major Threshold Violation shall result in suspension of driving privileges for no less than two work days, unless the Committee determines there are Aggravating Factors, in which case the suspension shall be no less than 14 calendar days.
- A second Major Threshold Violation within twelve months of the first shall result in suspension of driving privileges for a minimum of 14 calendar days, unless the Committee determines there are Aggravating Factors, in which case the suspension shall be no less than 30 calendar days.
- A third Major Threshold Violation within twelve months of the second shall result in suspension of driving privileges for a minimum of 30 calendar days, unless the Committee determines there are Aggravating Factors, in which case the suspension shall be no less than 60 calendar days.
- A fourth Major Threshold Violation within twelve months of the third shall result in suspension of driving privileges for a minimum of 60 calendar days, unless the Committee determines there are Aggravating Factors, in which case the suspension shall be no less than 120 calendar days.

- The Committee shall document its review, including explanation of any Aggravating or Mitigating Factors which influenced its determinations, and any loss of driving privileges recommended by the Committee. The Committee's decisions are binding but may be appealed to the Driver Eligibility Board.
- The employing Division, in cooperation with DHRM, shall determine whether loss of driving privileges constitutes an employee's inability to perform their work. If driving is an essential function of their work, the employee may not be permitted to continue in that position. The employee may not be permitted to use a personal vehicle to perform their work during any suspension of driving privileges.
- In addition to any penalties imposed by the Department, the employee may be subject to additional disciplinary actions imposed by the State Driver Eligibility Board. Either the Committee or the Driver Eligibility Board may suspend the employee's driving privileges for up to three years.
- An employee may not operate a state vehicle if the employee has been ordered by the court to use an interlock device or imposed any other applicable driving restrictions.

**DRIVER SAFETY COMMITTEE PROCEDURES:**

- The Driver Safety Committee may review the shared tracking document maintained by managers and Division Directors.
- The Driver Safety Committee shall meet monthly when there are Major Threshold violations to review or a violation that may be considered a Major Threshold violation.
- Upon request, each Division Director shall provide members of the DSC a copy of all paper log sheets or give them access to any electronic log sheets.
- The DSC shall report all Major Threshold violations reviewed and the actions taken to the Division of Fleet Operations in accordance with Utah Administrative Code Rule [R27-7](#) using the forms provided by Fleet Operations.
- The DSC shall notify the employing division of the required action to be taken after the review has been complete.
- The employing Division shall begin the required action within two weeks of notification from the DSC. The employing Division will provide an employee representative to participate on the DSC for all cases involving an employee of that Division.

<b>DEPARTMENT OF AGRICULTURE</b>	
08.06 TRANSPORTATION OF CANNABIS OR ALCOHOL	
<b>EFFECTIVE DATE:</b> September 1, 2020	<b>REVISION DATE:</b> September 1, 2020
<b>SUMMARY:</b> THE PURPOSE OF THIS POLICY IS TO SET FORTH THE POLICIES AND PROCEDURES FOR THE TRANSPORTATION OF ALCOHOL AND CANNABIS IN A STATE VEHICLE	

**POLICY**

No operator of a state vehicle shall transport alcohol or illegal drugs of any type in a state vehicle unless they are:

- Transporting samples of industrial hemp material to the Chemistry Laboratory for testing;
- Transporting samples of cannabis or cannabis products to the Analytical Laboratory or a licensed 3rd-Party Laboratory for testing;
- Transporting industrial hemp material, cannabis, or cannabis products for destruction or approved educational events; or
- Transporting samples of alcoholic beverages or products for testing by the State lab.

**PROCEDURE**

- Only employees who have been trained by the cannabis program or in coordination with the Utah Department of Alcoholic Beverage Control (DABC) as program specialists, inspectors, lab technicians, and sampling agents may occupy a transporting vehicle while carrying industrial hemp, cannabis, cannabis products or alcoholic beverages or products.
- The employee shall carry a Transportation Manifest generated through MJ Freeway when transporting cannabis or cannabis products.
- During transportation, the employee shall ensure the cannabis or alcoholic products are shielded from the public view, secured, and temperature controlled, if perishable.
- The employee shall contact the Cannabis Program Manager within 12 hours if a vehicle transporting cannabis is involved in an accident that involves product loss. All accidents shall also be reported as required in Section 8.05 of this manual.
- The employee shall deliver the industrial hemp material, cannabis, cannabis or alcoholic product to the Chemistry Laboratory, licensed 3rd-Party Laboratory or the destruction location as soon as reasonably possible.

- The employee should take the necessary steps to ensure that samples are not left unattended in the vehicle for short periods of time (such as while refilling the gasoline tank or other necessary short stops), otherwise, the samples must be secured and out of view and the vehicle locked.
- The employee must remove industrial hemp, cannabis, cannabis product, or from the vehicle prior to leaving the vehicle for the evening or an extended period of time.
- After collection of the cannabis, cannabis product, or industrial hemp material, the employee should brush or shake clothing and clean equipment prior to returning to the vehicle in order to avoid bringing industrial hemp, cannabis, or cannabis product residue into the vehicle. If any such material is not contained during transport and there is a concern regarding contamination of the vehicle by the material, the employee shall coordinate with a supervisor to have the vehicle professionally cleaned or otherwise take steps to ensure that the contamination is contained.
  - If alcoholic products are spilled in the vehicle there is a concern regarding contamination of the vehicle by the material, the employee shall coordinate with a supervisor to have the vehicle professionally cleaned or otherwise take steps to ensure that the contamination is contained.

<b>DEPARTMENT OF AGRICULTURE</b>	
<b>08.07 UNMANNED AIRCRAFT SYSTEM (UAS)</b>	
<b>EFFECTIVE DATE:</b> February 18, 2021	<b>REVISION DATE:</b> February 18, 2021
<b>SUMMARY:</b> THE PURPOSE OF THIS POLICY IS TO SET FORTH THE POLICIES AND PROCEDURES FOR THE USE OF UAS (DRONES) BY DEPARTMENT EMPLOYEES.	

**REFERENCES**

- [14 CFR Part 107](#), Small Unmanned Aircraft Systems
- [UCA Title 72, Chapter 14](#), Unmanned Aircraft--Drones
- [UCA Title 67, Chapter 19](#), Utah State Personnel Management Act
- [UCA Title 63G, Chapter 2](#), Government Records Access and Management Act

To minimize risks associated with the Department’s use of drones, the following policy shall be followed when employees are using drones owned by the Department.

The Federal Aviation Administration (FAA) has control of all airspace from the ground up. To protect citizens and property it has established rules governing the use of drones in commercial, hobby, and public activities. The activities drive which regulations apply to using drones. The activities that the Department will use drones for align with the “commercial” types governed by the FAA’s rules under 14 CFR Part 107. It is the policy of the Department that it will comply with [14 CFR Part 107](#) when using drones in its day to day work. In addition, any drone use by department employees shall comply with [Utah Code Title 72, Chapter 14, Unmanned Aircraft—Drones](#).

**DEFINITIONS**

\*Terms not included in this policy may be referenced in related documents.

**AGL (Above Ground Level)**

In aviation, AGL refers to the height or altitude of the drone as compared to the ground surface. If a drone is flying 250 feet above a 100-foot building, the AGL is 150 feet.

**Altitude Hold function**

In this flight mode, the drone maintains a consistent altitude through it's onboard barometric pressure sensor. However, the pilot can still control the roll, pitch, and yaw in this setting.

**A Mode**

Abbreviation for Atti or Attitude Mode, wherein the drone will maintain a consistent altitude.

**ATC / ATM (Air Traffic Control or Management)**

A service in which air traffic controllers on the ground direct traffic within controlled airspace, and advise those in non-controlled airspace. These individuals are trained and administered by the FAA.

**Bind**

The process of enabling the controller to communicate with the selected drone.

**BVLOS (Beyond Visual Line of Sight)**

Requiring a specific permit from the FAA, this is the ability to fly a drone beyond the pilot's line of sight.

**CoAs (Certificate of Authorizations)**

An authorization granted by the FAA that allows a public operator to perform a selected drone flight or activity. This process can take up to 60 days and undergo an operational review.

**Collision/obstacle Avoidance**

A feature built-in to some drones that allow the aircraft to sense and avoid obstacles, minimizing collisions.

**Controlled Airspace**

A type of airspace in which air traffic control services are offered depending on the defined dimensions and classification.

**Department Employee**

As defined in UCA [Subsection 67-19-3\(10\)](#), a Department employee is any individual in a paid status covered by the career service or classified service. Any other individual that does not fall under UCA [Title 67, Chapter 19](#), Utah State Personnel Management Act, is considered a non-employee of the Department.

**Daisy Chain**

Visual observers assisting the pilot when the drone goes beyond visual line of sight.

**Drone**

Another term for "unmanned aerial vehicles" (UAVs) or "remotely piloted aircraft" (RPA), covering a wide range of functions.

**FAA (Federal Aviation Administration)**

Regulatory agency under the US Department of Transportation that enforces air safety, installs control facilities, and maintains proper air navigation.

**Flight Controller**

Device used to control how the drone moves, by receiving and processing information from the drone's sensors.

**Fly Away**

Accidental flight outside of the set boundaries of operation.

**FOV (Field of View)**

The "drone's-eye" view.

**FPV (First Person View)**

Piloting a drone in real-time through the drone's camera. Pilots often wear goggles with footage streamed inside.

**Frequency**

To maintain communication with the pilot and drone through FPV, both pieces of equipment will need to be on the same radio frequency.

**GCS (Ground Control Station)**

A command center on-the- ground that controls airborne drones.

**Geofencing**

A predefined set of virtual geographic boundaries that prevents drones from crossing into restricted areas.

**Gimbal**

A device that allows the drone's camera to remain stable while moving.

**GLONASS (Global Navigation Satellite System)**

An alternative to GPS technology that defines a drone's location.

**GPS (Global Positioning System)**

A satellite-based navigation system owned by the U.S. government.

**Gyroscope**

A circular device connected to the drone's flight controller that allows the drone to remain level.

**IMU (Inertial Measurement Unit)**

Measuring device that relies on accelerometers, gyroscopes, and magnetometers to report the drone's orientation.

**INS (Inertial Navigation System)**

Internal method by which a drone determines its own position.

**LAANC system (Low Altitude Authorization and Notification Capability system)**

A program offered by the FAA that facilitates controlled airspace access to drone pilots.

**LiDAR (Light Detection and Ranging)**

LiDAR is used for measuring distances by their light reflection with a laser.

**LiPo (Lithium Polymer)**

The type of battery most commonly found in drones.

**LOS (Line of Sight)**

An FAA requirement for drone operation, this states that the drone must be visible from the pilot's operating position at all times.

**MSL(Mean Sea Level)**

A drone's altitude/elevation in reference to the average height of the sea.

**No Fly Zone**

An FAA restricted area where drones are not allowed to fly. Above airports and government buildings are prime examples.

**NOTAM (Notice to Airmen)**

Information given to drone operators that warns them of immediate hazards or restrictions not yet published.

**Orthomosaic**

A drone map comprised of a collection of photos from the selected area that have been stitched together.

**Part 107**

FAA regulations that all drone operators must follow. Pilots can obtain a Part 107 license that demonstrates their knowledge in drone safety, FAA regulations, and operating procedures.

**Payload**

This is the capacity at which a drone can handle additional weight, such as cameras.

**Photogrammetry**

Drone photography that measures the distance between objects.

**PIC (Pilot in Command)**

The person responsible for all aspects of the planning, flight, and closure of a UAV flight.

**Pitch**

A term for moving the drone up or down.

**P Mode (Positioning Mode)**

The most popular flight mode, this activates all sensors to ensure stability while hovering.

**POI (Point of Interest)**

Available on most drone models, this flight mode keeps the drone's camera trained on an area or object.

**PPK (Post-Processing Kinematic)**

A satellite positioning technology similar to RTK.

**Props (Propellers)**

An essential component of a drone, featuring angled blades that allow it to fly.

**Radio**

This transmitter controls the drone's movements such as pitch, yaw, and roll.

**R/C or RC (Radio Controlled)**

Operating a drone via radio waves.

**Receiver**

In FPV, this is what links the drone camera's live stream to the goggles. Also called a "video receiver" (RX), "transmitter" (Tx) or "video transmitter" (VTX).

**Roll**

Moving the drone side to side laterally.

**RPM (Revolutions Per Minute)**

The unit of measurement used to determine the number of times the drone's motors turn in 1 minute.

**RTH (Return to Home) or RTL (Return to Launch)**

An automated drone feature that grounds the drone at the selected home point.

**RTK (Real-Time Kinetics)**

Satellite positioning technology that draws on GPS and GLONASS data to precisely pinpoint a drone's location.

**Rudder**

Another term for "yaw." This is rotating the drone clockwise or counterclockwise.

**Rx (Receiver)**

Component built-in to a drone that receives and interprets radio signals.

**S Mode (Sport Mode)**

Drone setting that allows the pilot to fly at the fastest speed possible for that model. Usually this mode is not stabilized.

**Spotter**

When flying in FPV, this person keeps the drone in their visual line of sight (VLOS).

**sUAS (Small Unmanned Aircraft System)**

The communications stream between a drone and its ground control system (GCS).

**Telemetry**

The communications stream between a drone and its ground control system (GCS).

**TFR (Temporary Flight Restriction)**

A notice given to drone pilots by the FAA that restricts airspace temporarily. This is commonly because of natural disasters or large events.

**Throttle**

This control gives the propellers and motor power.

**Thrust**

ThrustThe amount of force driven by the throttle that generates lift.

**Tx (Transmitter)**

In FPV, this is what links the drone camera's live stream to the goggles. Also called a "video transmitter" (VTX), "receiver" (RX), or "video receiver" (VRX).

**sUAS – small Unmanned Aircraft System**

A small drone that weighs less than 55 lbs. Can also be a micro-air vehicle.

**UAS (Unmanned Aircraft System)**

An FAA term for unmanned aircraft, operated by a pilot on the ground. This includes drones. Also called an "unmanned aerial vehicle" (UAV).

**UAV (Unmanned Aerial Vehicle)**

An FAA term for unmanned aircraft, operated by a pilot on the ground. This includes drones. Also called an "unmanned aircraft system" (UAS).

**Uncontrolled Airspace**

Term used by the FAA to indicate class F and G airspace, unregulated by air traffic control (ATC).

**UTM (Unmanned Traffic Management)**

An air traffic management system under development by NASA, the FAA, and other government agencies that will traffic low altitude drone flights.

**VLOS (Visual Line of Sight)**

An FAA requirement that the drone in operation remains visible by the pilot's naked eye, unaided by devices.

**VO (Visual Observer)**

An optional teammate that aids the pilot by scanning the airspace for hazards while the drone is in flight. Can also be called a "spotter."

## **Yaw**

Rotating the drone clockwise or counterclockwise. Another term is "rudder."

## **OPERATIONS AND MAINTENANCE**

Drones are a tool and like all tools require training on proper use and maintenance. This section of the UDAF UAS Policy will cover pilot certification and training, proper use of drone systems, and their maintenance, as well as associated reporting and recordkeeping requirements.

## **PILOTS**

**FAA Certification:** In order to fly a UDAF drone the pilot must have a current FAA sUAS Certificate (as described under [14 CFR Part 107](#)) or be under the direct control of such. The certified pilot as defined by FAA is the sole person responsible for the flight. This includes pre-flight planning, actual flight, and post flight activities. The pilot must perform all of their duties according to [Part 107](#) complying with all rules therein stated.

**Certification and Training:** The FAA Certification gives legal license to pilot a sUAV, but does not certify that the pilot has the skills needed to safely and efficiently fly a drone. UDAF requires that pilots have at least 5 hours of flight experience under the direction of a certified and component sUAV pilot. Where such mentoring is not available the Certified but experience lacking pilot may practice flying patterns in a confined area with geofencing active on the training drone. Before attempting to pilot any mission, the pilot must have authorization from their Division Director after demonstrating competence in piloting the sUAS. It is anticipated that pilots will need time to practice on a regular basis to maintain and develop their flight skills. It is suggested that whenever possible the pilots work in teams to help each other in training and practicing. Besides preliminary training UDAF will require that its pilots demonstrate their technical skill set by flying at least 30 minutes each month including manual take offs and landings, figure 8's, and inside and outside orbits. It is strongly recommended that pilots fly at least every other week. For beginning pilots training should start with the drone in beginner mode (limits speed, altitude, and distance from pilot). These requirements will be waived if weather conditions will not allow flight. In lieu of practicing outside flights in bad weather pilots may practice using flight simulators.

**Private Property Guidance:** Flying over private property can create conflicts. The following 8 recommended best practices [drafted by stakeholders convened by the](#)

[National Telecommunications and Information Administration](#) will help alleviate some of the conflict:

UDAF pilots will strive to follow these guidelines. When flights are being conducted for regulatory actions, pilots will follow data gathering protocols required by law.

- If possible, the pilot shall tell other people they will be taking pictures or video of them before taking the pictures or video.
- If the pilot thinks someone has a reasonable expectation of privacy, the pilot shall not violate that privacy by taking pictures, video, or otherwise gathering sensitive data
- The pilot shall not fly over other people's private property without permission if the pilot can easily avoid doing so.
- If the pilot keeps sensitive data about other people, it shall be secured against loss or theft.
- If someone asks the pilot to delete personal data about him or her that the pilot has gathered, the pilot shall make a note of that request, gather their contact information and politely let them know that their concerns will be passed on to the Department.
- If anyone raises privacy, security, or safety concerns with the pilot, the pilot shall try and listen to what the person has to say, as long as they're polite and reasonable.
- The pilot shall not harass people with drones.

[UCA Title 63G, Chapter 2](#) ,the Government Records Access and Management Act generally considers evidence gathered via drone as a public record, which must be maintained by the Department according to its retention schedules and state law. Please do not destroy any information collected or recorded prior to consultation with the Department and legal counsel.

**Pilot in Command:** Pilots must accept the responsibility that the FAA gives to the "Pilot in Command" (PIC). This means that the PIC for a given flight accepts ALL responsibility for any and all parts of the flight. It needs to be understood by the crew that the PIC is in charge. This does not mean that the crew accepts blindly all commands from the pilot. When making decisions, a wise pilot gets as much information as possible about the situation from all sources, including his crew. When a decision is made the PIC is responsible for the results of the decision.

**Indoor Flying:** There is a huge temptation to fly indoors when weather does not allow outdoor flights. Indoor flights are very risky. The drone can instantaneously pick up random GPS signals which can cause the drone to suddenly flash across the room. Drones can damage items they collide with including people, pictures, and equipment. The Department strongly discourages indoor flights and only sanctions them when a drone is able to fly in “atti” mode, which is done in large open structures such as gymnasiums or empty warehouses. Any indoor flight must be approved by the Division Director prior to the flight.

**Mission Planning:** The pilot must also have the skills needed for pre-mission planning which includes airspace authorization, understanding weather forecasts, camera options, best altitude, proper speed, possible risks associated with the flight area, time of day, and other risks that may need to be mitigated. Pilots must be able to use flight planning software such as LANCE systems, drone specific applications, tablet or phone options, online aviation weather services, and sectional charts. A PIC shall understand the emotional risks and health risks associated with each flight. Pilots shall plan every flight accounting for the above-mentioned issues. The use of mission planning checklists are required. The pilot will not commit to any flight mission until the mission planning has been completed. With such a plan, the actual mission costs can be estimated and potential to have a successful mission is ensured. All missions require the Division Director’s approval. The Commissioner should be notified of anticipated flights in advance.

**Pre-Flight Requirements:** After mission planning and approval, the pilot shall use a pre-flight checklist to ensure that all necessary equipment is available and ready for use. Each piece of equipment shall be inspected and made ready before the pilot leaves the office. The pilot will ensure that proper authorizations have been obtained (ATC, property owner(s), local government) and that telephone numbers and radio frequencies are provided in the written mission plan with contact names where needed.

**Pre-Flight Survey on Site:** Upon arrival at the mission site the pilot shall study the flight area and identify any risks associated with the flight. It is again recommended that a checklist be used. The pilot shall meet with all personnel assisting with the flight and explain the flight plan and procedures for the mission. This includes all landing zones locations, emergency landing spots, emergency plans for sUAS failures, how the flights will be conducted and outline each person’s duties. The pilot will also review all safety issues that may arise. If public bystanders are in the area or could come into the flight area a crewmember will be assigned to keep them safely from the flight area (both flight control area and area beneath a drone’s flight path). This may require that barriers be put

in place to ensure that the drone does not fly directly over people unless they can be under cover.

**Safety Vest:** All pilots and observers shall wear brightly colored vests. This issue was raised by the FAA on an [InFO document dated 2/14/18](#). This is also recommended by the Utah Division of Risk Management.

**Final Pre-Flight Checklist:** The pilot will perform the final pre-flight check using a checklist and electronic startup protocol in the drone's flight application. This is required by 14 CFR Part 107. Special attention will be given to RTH altitude, maximum altitude and distance from controller, SD card installation, compass calibration, battery status of all hardware, and camera settings. The PIC will also inspect the drone ensuring props are not damaged and are securely attached, that there is no damage to the drone, that storage locks are removed, and that the drone is physically ready for flight. These items need to be recorded on the checklist.

**Flight:** After this final review the pilot will launch the drone and fly the mission. Before starting the mission, the pilot will hover the drone at just above eye level and test all controls. If all controls function properly the mission can be started. During the flight, observers will keep the pilot / operator informed of the drone location and identify any issues that may pose a risk to life or property including the drone. Communication protocols will have been established in the crew's pre-flight meeting. The pilot shall ensure that the mission is being flown as planned. If any issue arises that may create a serious risk, the pilot will take over control of the drone and land the drone in a safe manner. The crew will maintain their positions to ensure crowd control to prevent a rush to the drone which may cause damage.

**Post Flight:** After the mission is completed the pilot will authorize crew to collect any hardware and inspect it before stowage. Before leaving the site it is helpful to upload imagery to a computer and review it. This can save a re-visit to the site. If the imagery looks good, then the mission can be completed and a checklist of all equipment is completed closing out the mission. If there are missing images and time permits, the mission can be re-flown to collect missing data.

**Flight Logs / Checklists:** UDAF will require that flight logs of each flight be maintained by all pilots. Most drones record flight logs with all control actions and movements. Besides these records, UDAF requires pilots to maintain flight planning, flight, and flight summary records in the form of a signed checklist. Minimum records required include:

- Date of Flight.
- Flight authorization statement and approval code if required.
- Weather conditions during flight (this can be obtained from the UAV Forecast App).
- Location of flight. A Google Earth image with the area of the flight marked with the latitude and longitude of the center of the image is adequate.
- Documentation of authorization to take off and land if on private property.
- Drone propeller condition (feel blades for cracks and wear).
- Drone motor condition (fly drone just above eye level, hold for a few seconds and listen for unusual sounds).
- Battery levels of drone battery, tablet, and controller.
- Make sure that an SD card is installed and has enough storage for recording imagery captured during the planned flight.
- Camera and gimbal mounting and function.
- Drone structural integrity.
- Drone Compass calibration
- Communication between drone and all peripheral devices.
- Notes on people present and other potential risks and action taken to reduce risks.
- List of observers and others acting as flight crew.
- Radio frequencies for flight area from sectional chart and air medical emergency frequency. UDAF will monitor these frequencies to avoid conflict with manned aircraft prior, during, and after flight.
- Classification of airspace from sectional chart for flight area (some smart phone apps will also provide this information).
- Planned maximum altitude (enter into flight app controller if applicable).
- Planned maximum range (enter into flight app controller if applicable).
- Description of flight and reason for flight.
- Person requesting flight.
- Inspection of all attachments, if used, for specific types of flights.

## **EQUIPMENT**

Drones are a tool and require care and maintenance. They are complex with several components including, motors, propellers (blades), internal inertia systems, gps sensors, motor controllers, radios, batteries, cameras and camera controllers. Most of these internal systems require little maintenance and built-in system testing is initiated before each flight. However, blades, structural frame, motors, and connections require inspection before flying. Proper storage is also critical to keep the drone in proper operational status. Batteries are a vital part of the system supplying power to all other systems and require special attention.

**Batteries:** The drone’s batteries are of the lithium ion class. These batteries can cause explosions when not cared for properly. All batteries will be handled according to manufacturer’s instructions and warnings. Data sheets for each battery must be maintained recording all flights and charges (some drones do this automatically). The drone system internally checks battery status continually and has built in fail safe protocols in event of low battery power. However, if a battery totally fails, the drone will fall. Lithium ion batteries heat during charging and discharging. Batteries are to only be charged when someone is able to observe the process. They are not to be charged overnight. Charging can be done during travel or during flights using a vehicle’s 12-volt power supply. Before charging make sure the batteries have cooled down from the most recent flight. Most charging systems monitor the battery temperature and will not charge until the battery is at the correct temperature. Batteries should be checked for bulges and “puffiness”. If the battery has bulged or is puffy it should be disposed of. In the event of a battery fire, do not use water to extinguish the flame. It is best to put the burning battery in a fireproof container. It is recommended that a fire extinguisher be on hand during all flights. Make sure batteries are properly installed in the drone. Replacement batteries should be supplied by the manufacturer of the drone.

**Propellers of Blades:** Blades (propellers) provide the lift and other forces to direct the flight of the drone. They wear and need inspection before each flight. During inspection the pilot must **feel** the blades edges for cracks and dents. If any are found the blade must be removed and disposed of. It is recommended that an extra set of blades be available during every mission. Installation of blades is critical as there are right and left blades that must be placed on matching right and left motors. Some drones require that blades be removed for storage. Follow manufacturer’s direction for storage of blades. Only original manufacturer’s blades may be used.

**Camera / Sensors:** The whole purpose of the drone is to carry the camera(s) or sensor(s) and collect data from the sensor(s). Make sure all cameras and sensors are clean before each flight. Cameras and sensors must be handled very carefully as they are fragile. The lens can be cleaned with lens brushes or a lens cleaning microfiber cloth. Filters may be used over the lens to help capture better imagery. These need to be kept clean. They should be either attached to the camera or placed in their storage container. Never lay a filter down on anything. If the camera’s gimbal needs to be cleaned do so carefully following the manufacturer’s directions. The sensors and cameras record their data on micro sd cards or other electronic storage media. Before each flight ensure that the sd card has been formatted, installed, and has room for the anticipated flights imagery. Sd cards may not be reused, but must be kept and maintained so flight data is always

preserved. SD cards must also be cataloged using a number and reference sheet listing dates and flights recorded on the card.

**Controllers:** The controller is the pilot's control system for the drone. It needs to be treated with respect and cared for. The controller has lithium ion batteries so care needs to be taken when charging just like the drone's batteries. The controller should be fully charged at the start of each day. The controller's power level needs to be monitored through the day to ensure that communication with the drone is not at risk of being lost. The controller usually connects to a tablet or cellphone to assist with automated flight systems and provides a view of the drone's camera or sensor. These devices must be totally charged each day. If the tablet or phone battery level drops, the controller may start charging the tablet or phone, reducing its capacity.

**Other peripherals:** Landing pads are used to protect the drone and assist in automated flights. They can be tricky to fold so training and practice is suggested. They must be clean, dry, folded, and put in their container for storage. It is critical that if stakes are used to hold the landing pad in place that they be thoroughly cleaned before being put in storage container. If they get torn, they need to be replaced so the drones' blades do not get tangled in loose threads. Tablet hoods need to be kept clean and folded properly for storage. Targets need to be treated so that the special coatings are not disturbed. Scratches will affect how the target reflects light and can prevent accurate image color corrections. Targets should be stored in their cases when not in use.

**Storage & Maintenance:** All sUAS equipment shall be stored and maintained as per manufacturer's instructions. The manufactures have supplied special containers and these need to be used to protect the drone and its components during storage. Storage areas should not have excessive heat or cold. This is especially true of batteries which are very sensitive to temperature extremes. It is best to store equipment in office or indoor temperature-controlled areas.

## **OTHER POLICIES**

**Incidents:** All incidents shall be immediately reported to a supervisor. If serious injury or property damage greater than \$500 dollars occurs, the PIC of the associated flight shall prepare a report and file it with the FAA within 10 days of the incident. A copy of the report will also be provided to the state's Risk Management Office.

**Non-Job Related Use:** To encourage skill development, the Department allows pilots to use the drone for non-job related uses as long as it is not used for personal gain, illegal

activities, or cause embarrassment to the Department. Any personal use shall be consistent with the guidelines outlined in UDAF Department Policy 03.10.

### **SPECIFIC SOPS FOR COMPLEX MISSIONS**

**Water Sampling:** Department Drones may be used for water sampling as set forth in the following procedures. The drone must be registered with both the FAA and State of Utah Risk Management and the pilot must be [Part 107](#) certified. For water sampling using a drone, a team of at least 2 people is required (a [Part 107](#) certified pilot and a sampling technician / observer). More than 1 observer can be used. Because of the overhead risk of being hit with the bailer the pilot and sampling technician / observer(s) will all wear hardhats during the entire sampling process. The pilot will also wear a safety vest identifying them as the pilot in command.

Sampling must conform to [Part 107 rule 107.49 \(a-e\)](#), and with the following statement from FAA Fact Sheet – Small Unmanned Aircraft Systems (UAS) Regulations (Part 107) published October 6, 2020:

“Your drone can carry an external load if it is securely attached and does not adversely affect the flight characteristics or controllability of the aircraft. You also may transport property for compensation or hire *within state boundaries* provided the drone (including its attached systems), payload, and cargo, weighs less than 55 pounds total and you obey the other flight rules. (Some exceptions apply to Hawaii and the District of Columbia.)”

As part of the required pre-flight check the pilot shall inspect the sampling equipment and make sure it is all operational. Towlines must not be frayed, all knots secure, linking hardware functioning and secure, bailers or sample containers securely attached to towlines, bailer sealing balls functional, and warning flags / banners securely attached. The towline emergency release mechanism on the drone must be tested before each sampling flight and ensure that the towline is secure but can be released with system activation.

During takeoff, the sampling technician shall maintain control of the bailer and keep the towline taut, ensuring that the line does not get pulled into the drones propellers or landing gear. The bailer is to be handled with sanitary gloves and held above the ground to avoid contamination. Prior to connecting the bailer to the towline, the sampling technician shall rinse the bailer at least 3 times in the water body being sampled and ensure the ball valve seals. The bailer will be drained prior to connection of the towline.

Once the bailer is prepped and connected securely the sampling technician will inform the pilot that they can fly. The sampling technician will release the bailer after the drone has gained enough altitude that the bailer will not strike the ground or water surface. The pilot will raise the drone to a safe transport altitude and pilot the drone to the sample site. Following a successful launch, the sampling technician will observe the drone, towline, and bailer, communicating to the pilot any conflicts with the equipment and its surroundings. The sampling technician at this point becomes an observer for the pilot looking for boats, aircraft, and other objects that may be interfered with by the drone and its carriage system. The observer will communicate with the pilot any potential interference. During this time the pilot will need to be viewing the broadcast video of what the drone is seeing so the pilot can locate the sampling location. It may be advisable to pre-fly the water body looking for potential sample locations. When found, the pilot should hover the drone and, using the piloting application, record the location. Using this method will allow the drone to automatically fly to the sample site during a sampling mission.

When the drone is at the sample location the pilot will lower the drone until the bailer is submersed in the water. The pilot will trigger the drone camera to get a picture of the sight which will also record the GPS location of the sample site. The observer can assist the pilot in lowering the bailer. Once the bailer is full the pilot will raise the drone and the observer will ensure that the check ball has sealed the bailer. If no seal is obtained the pilot will again lower the bailer. With the bailer full and sealed the pilot will raise the bailer until it is in a safe altitude above the surface (usually a minimum of 20 feet between the bottom of the bailer and the surface). The pilot will fly the drone to the sample technician in a smooth steady flight to avoid the bailer from swinging erratically. When the bailer is overhead of the sampling technician, the pilot will descend the drone until the technician is able to catch the bailer. The technician will disconnect the bailer and tell the pilot to ascend, at which time, the pilot will raise the drone and move from the technician and then drop the towline. The towline is dropped to avoid being tangled in the drone. After the towline is dropped, the pilot will land the drone and close out the mission. If there are several sample sites the sampling technician may connect a new prepared bailer after removing the previous one and direct the pilot to fly to the next site. The pilot needs to ensure that there is enough battery to do additional sites.

At completion of the mission, the crew will clean and put away all equipment and properly store samples and equipment. The sampling technician will document required information about the sample(s) and prepare them for transport.

## **COMPLIANCE WITH FEDERAL LAW, STATE LAW AND DEPARTMENT POLICY**

All Department employees shall follow the guidelines and mandates set forth in this Policy without exception, regardless whether such guidelines arise under federal law, state law or Department policy. Any failure to do so may result in employee discipline, up to and including termination.

Individuals who are not Department employees are absolutely prohibited from handling, using or operating the drone or any of its components (including any Department property used in connection with the drone) absent express, written authority from the Department, Division Director requesting the drone use, and the Commissioner. Written authority shall specify the term, scope, and justification for use by a non-employee and shall include an acknowledgement by the non-employee that the non-employee is fully responsible for any damage to the drone (or any other state-owned equipment used in connection with the drone) and a statement that the non-employee will indemnify the state against any costs or liability arising from the non-employee's actions. This written authority shall be provided on a standardized form approved by the Commissioner and must be fully executed by all parties prior to drone use. This provision shall not prevent the Department from entering into reciprocal agreements with any federal, state or other governmental entity for use of the drone.

## **GUIDELINES FOR SOP'S (OUTLINE FOR FUTURE SECTIONS)**

- Mission Initiation: Process to accept request for drone acquired data. Include ALL details
- Fleet Logistics & Maintenance: Method to assign missions/flights right pilot, drone, and payload.
- Pilot Management: Process to assign pilots tasks, ensure training, & supervised.
- Compliance Management: Process to ensure all regulations are complied with on every flight.
- Mission Planning: Produce Checklist to ensure all aspects of flight / mission are considered.
- Data Collection: Define and prepare data collection methods (sensor, payload, software procedures.
- Data Storage: Define protocols for data storage, ensure security, accessibility, and volume.
- Logging Flights: Collect operational and telemetry data for all flights (Weather, authorizations, site risks / mitigation, and drone telemetry data).
- Data Analytics: Establish protocols for how each type of data will be processed and products derived (video, stills, mosaics, etc.).

APPENDIX A.01

**UTAH DEPARTMENT OF AGRICULTURE & FOOD  
FLEET EXPANSION REQUEST**

Date \_\_\_\_\_

Division \_\_\_\_\_

Organization Code \_\_\_\_\_

Position the Vehicle will be assigned to: \_\_\_\_\_

Type Vehicle Requested: \_\_\_\_\_

Initial Purchase Funded With (%): General Funds \_\_\_ Federal Funds \_\_\_ Restricted \_\_\_  
Dedicated Credits \_\_\_ Other (Specify) \_\_\_\_\_

Anticipated Annual Mileage \_\_\_\_\_

Commute Requested? Yes \_\_\_ No \_\_\_

Workload Expansion Due To:

Reasons why the employee cannot use a personal vehicle with mileage reimbursement:

Justification:

**DIVISION DIRECTOR** \_\_\_\_\_ **COMMISSIONER** \_\_\_\_\_

## APPENDIX A.02

# GUIDE FOR DRIVERS INVOLVED IN MOTOR VEHICLE ACCIDENTS

- 1) Exchange information with the other driver, including addresses, phone numbers, license plates and insurance companies. Don't rely on a police report. Police reports may be incomplete, inaccurate or even unwritten if the accident does not fall within prescribed police parameters.
- 2) Don't be in a hurry to leave the accident scene without the fullest possible information. Make every effort to have a police report filed. If police cannot come to the accident location, go to the nearest police station and file a desk or bench report.
- 3) Don't say too much. You will probably be under some emotional pressure and may say things which could be legally damaging.
- 4) Look around for witnesses. Ask: "Did you see this accident? Can I have your name and phone number?" Request a business card or other identification.
- 5) Make notes, draw diagrams but more importantly, photograph the scene, if possible.
- 6) Report the accident as soon as possible while all of the details are fresh in your mind.
- 7) Do not admit fault; do not sign any insurance company agreements or releases or make settlements on your own without consulting with the UDAF Safety Coordinator.

Tele-accident Taken By:

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APPENDIX A.03

**UTAH DEPARTMENT OF AGRICULTURE & FOOD  
REQUEST TO TRANSPORT  
PASSENGERS**

Date Of Request:

Employees Name \_\_\_\_\_

Division \_\_\_\_\_

Names And Addresses of Non-State Employees Traveling In The State Vehicle:

1)

2)

3)

4)

5)

6)

Travel Itinerary:

Explanation Of Request For Non-State Employee As A Passenger In A State Vehicle:

\_\_\_\_\_  
Division Director Approval

\_\_\_\_\_  
Date

\_\_\_\_\_  
Commissioner Approval (Or Designee)

\_\_\_\_\_  
Date

Appendix A.04

**STATE VEHICLE TELE-ACCIDENT/INCIDENT REPORT  
24 HOUR TURN AROUND**

1. Date/Time of Accident: \_\_\_\_\_
  
2. Location of Accident:  
County \_\_\_\_\_ City \_\_\_\_\_
  
3. Vehicle/Driver Involved:  
Division Name & Address \_\_\_\_\_  
Year/Make of Vehicle \_\_\_\_\_  
Vehicle Number \_\_\_\_\_  
Vehicle License Number \_\_\_\_\_  
Drivers Name \_\_\_\_\_  
Drivers License Number \_\_\_\_\_
  
4. Was the Accident Investigated by Police? Yes \_\_ No \_\_  
Which Police Department? \_\_\_\_\_  
Was anyone charged with a violation? You \_\_ Other Driver \_\_ No Citation \_\_  
If applicable, what was the charge? \_\_\_\_\_  
Person(s) injured and nature of injuries \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Describe the nature and circumstances of the accident:

**Appendix A.05**

**STATE MOTOR POOL VEHICLE**

SPECIAL USE REQUEST

	Is hereby authorized to:
(Print Driver's Name)	

	Keep a state vehicle overnight on						. The vehicle is to
	be parked in close to the employee's home to accommodate early/late travel for a meeting or trip.						

	Use a State vehicle from				to			
	For a special work assignment as outlined below. The State vehicle must be parked off the street, as close to the employee's home as possible.							

Work Assignment:	

\_\_\_\_\_

Supervisor Signature

\_\_\_\_\_

Date

## Appendix A.06



### Department of Agriculture and Food

CRAIG W. BUTTARS  
*Commissioner*

KELLY PEHRSON  
*Deputy Commissioner*

To Those Concerned:

\_\_\_\_\_ (full name) \_\_\_\_\_

(Employee ID)

is authorized to travel outside of the State of Utah to perform his/her regularly  
assigned duties by the

\_\_\_\_\_ Division of the Utah Department of Agriculture and Food.

These duties include, but are not limited to:

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Areas which this employee will frequently travel include, but are not limited to:

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The Department understands the State of Utah loses the governmental immunity caps when traveling outside of the state of Utah and by choosing not to use a rental vehicle will not have the additional \$1,000,000 of insurance coverage that comes with the rented vehicle; thereby, increasing the liability to the Department.

This letter is valid for twelve months from the authorization date below.

Authorized:

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Commissioner/Deputy Commissioner

Division Director

Date: \_\_\_/\_\_\_/\_\_\_\_\_

Date: \_\_\_/\_\_\_/\_\_\_\_\_

**Appendix A.07**  
State of Utah  
UDAF  
Use of Personal  
Property Agreement

THIS AGREEMENT is made this \_\_\_\_\_ day of \_\_\_\_\_, 20

between the STATE OF UTAH DEPARTMENT OF

AGRICULTURE AND FOOD hereinafter called the Department and

\_\_\_\_\_

Employee # \_\_\_\_\_ hereinafter called the Owner.

In consideration of the covenants and conditions herein set forth, it is agreed as follows:

1. The Owner agrees to donate the use of personal property described below to the Department; or
2. The Owner agrees to rent the personal property described below to the Department for the rental rate shown in the policy fee schedule.

Personal Property:

Personal Property Identifying Number (such as registration number, serial number, or breed registration number)

\_\_\_\_\_

\*Please attach a photo of the rented or donated property and proof of ownership of the rented or donated property to this agreement\*

Donated:                      Rented (check one):                      Estimated Fair Market Value and basis used to determine FMV (for example purchase price/date or replacement value for similar item):

Purpose and Location of Use:

A new agreement must be signed for each purpose or location property is used for. The Department will not be liable for damage that occurs due to use that is not directly necessary for the purpose listed above.

Dates of Use: \_\_\_\_\_

As Division Director, I confirm that I have requested that the Department use this personal property and confirm that no appropriate Department owned property is available.

Division Director Signature \_\_\_\_\_

1. The Owner is responsible for securing private insurance coverage on personal property.
2. Potential liability coverage by the Division of Risk Management in the event of loss or damage to the owner's personal property will be determined by the Division of Risk Management.
3. Potential liability coverage by the Department shall be the lesser of the fair market value of the item or the "maximum Department liability" listed in the policy fee schedule, minus any compensation the Owner receives from a third party, such as their private insurer or the Division of Risk Management.
4. Failure of a private insurer to cover a claim for damage to personal property does not increase or affect the Department's liability for damage to donated or rented personal property.
4. The Owner agrees to immediately report any damage to their property to the Department. The Department will not be liable for damage reimbursement for an accident that is reported more than 72 hours after it occurs.
5. The Owner agrees to indemnify the Department from any third-party claims related to an accident wherein their personal property is damaged.
6. The Owner agrees that in performance of the Agreement they shall comply with all applicable federal, state and local laws, ordinances and regulations. Owner is aware that Federal Tax Form 1099 shall be issued if personal property rental exceeds \$600/calendar year.

UTAH DEPARTMENT OF AGRICULTURE AND FOOD

By \_\_\_\_\_  
Property Owner

Date

By \_\_\_\_\_  
Immediate Supervisor/UDAF Manager  
Date

By \_\_\_\_\_  
Director

Date \_\_\_\_\_



---







Submit completed form to the Division of Administrative Services (payroll@utah.gov) for processing.

#### **Appendix B.04**

### **Utah Department of Agriculture and Food Employee Acknowledgement and Remote Agreement**

Employee Name

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Job Title \_\_\_\_\_

Employee Division

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This document is a binding Agreement between the Agency and the employee, allowing the employee to work remotely (“Remote work arrangement”) from home or another alternative work location. On an ongoing basis, the employee shall work \_\_\_\_\_ business days per week in a building maintained by the Utah Department of Agriculture and Food (Department) and work \_\_\_\_\_ businesses days per week from home or another alternative work location.

The sole purpose of the agreement is to regulate the Remote work arrangement, and it does not constitute a contract of employment.

The employee may be required to work from the Department’s regular worksite on scheduled Remote work-days based on operational needs.

The employee’s alternative work location/s are located at the following address/es:

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Changes to the alternative work location require prior written approval from the employee’s supervisor.

The employee understands that if they are using personally-supplied equipment or software, the Department and the State are released from any and all liability associated with use of those items for State business. The State of Utah or the Department is not liable for any damage to personal or real property while the employee is performing official duties at an alternative work location. The State of Utah is also not liable for any injuries to the employee that occur during the time they are working at the alternative work location, to the extent allowed by law.

The employee acknowledges that the Remote work agreement is subject to and requires the employee to comply with all applicable Federal, State, and municipal laws as well as State administrative rules, and Agency policies including those dealing with time reporting and overtime, and can be modified at the discretion of Department management. The employee must accurately report time and get approval prior to working any overtime.

Commute time from the alternative work location to the Department’s regular worksite and from the Department’s regular work location to the alternative work location are not considered work hours and are not compensable under 5 C.F.R. § 551.422 and 5 C.F.R. § 550.112 (j)(2). An employee may be compensated for commute time if the employee is officially directed to perform work while commuting. However, an employee cannot be compensated for travel to and from their official duty station as a normal incident of employment.

Time spent traveling outside of regular work hours may only be compensated with prior approval.

As a condition of a Remote work arrangement, management may make arrangements to inspect the Remote work environment for various work-related issues, including safe working conditions, maintaining appropriate confidentiality, management reviews, and equipment security. Supervisors retain the authority to disapprove an employee’s selection of a particular alternative worksite arrangement if, in the supervisor’s opinion, the worksite is not business appropriate or fails to provide a working environment compliant with the Department’s Remote Work Policy.

The Remote work arrangement is voluntary and is not an employee right. The arrangement may be discontinued at any time for any reason.

1. I agree to follow the Department Policy and abide by all requirements set forth in this Agreement: **Y / N**

2. My weekly work schedule, if I will be working the same schedule each week:

[Exempt employee ____ Non-exempt employee (30 minute lunch break must be scheduled)]	Alternate Work Schedule				
	(hours)				
Days	Office		Remote Worksite		Total hours
	Begin	End	Begin	End	
Monday					
Tuesday					
Wednesday					

Thursday					
Friday					
Saturday					
Sunday					
<b>Total Hours</b>					

3. If I will not be working the same schedule each week, my daily work schedule is explained in detail below:

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4. My supervisor will maintain an official copy of my work schedule. I agree to make arrangements in writing to my supervisor if I need to deviate from this schedule.

5. I understand my employer or supervisor has the discretion to change my work schedule at any time.

6. I understand my employer or supervisor has the discretion to require me to change my regularly scheduled remote work day/s and work from another work location.

7. On the days I am scheduled to report to a workplace other than my home office or other approved remote work location, I will not begin performing work until I reach the assigned workplace unless such work is authorized by my supervisor.

8. I will follow DHRM and Department policy to request the use of leave and use appropriate leave as outlined in DHRM rule.

9. I acknowledge that I will comply with all Enterprise Information Security Policies outlined by the Department of Technology Services, Rule [R895-7](#), and the Department.

10. I acknowledge that I am required to attend in-person any in-office meetings or other activities as requested by my supervisor.

11. As part of this program, I will provide any information related to performance metrics, surveys, or other data that may be required.

12. I understand that my supervisor or other authorities at the State may monitor my work-related activities.

13. I acknowledge that I have the responsibility to maintain safe working conditions at my home or approved alternative work site. I will immediately report to my supervisor

and my DHRM representative any accident or injury occurring at my alternative work site. \*\*

14. I agree to proactively communicate frequently with my supervisor in the supervisor's preferred method of communication at a minimum of three times per week.

15. I will maintain contact with the work unit, as appropriate, to successfully perform assigned duties and responsibilities.

16. I will plan to do any photocopying, paper mailing, or other duties incurring a cost either at the office or with my supervisor's approval. I agree and understand that such costs, if incurred, may not be reimbursed unless I receive prior approval to incur costs from my supervisor.

17. At my normal worksite and alternative work location, I will use approved safeguards to protect State records from unauthorized disclosure, damage, or release of confidential business information and to comply with all requirements set forth by the Department and State laws, rules, policies, and regulations. I understand that Utah's Governmental Immunity Act may not provide protection if it is determined that confidential or otherwise protected information was improperly disclosed based on breach of this Agreement.

18. I will immediately inform my direct manager or supervisor any time there is an actual or suspected system security issue that arises.

19. I will provide a picture of my alternative site workspace and submit it to my supervisor. That picture will be attached to this agreement and uploaded to my UPM.

20. I will notify my supervisor if the address of my alternative work site needs to change and understand the new site will need to be authorized in the same manner as the original site.

21. I agree that I will not conduct any unauthorized personal business including but not limited to dependent care, elderly care, home repairs, other business activities, while in official duty status. I will make arrangements for any necessary dependent care and other personal responsibilities so as to ensure that I can work without interruption. This requirement may be adjusted with prior written approval of my supervisor and the Commissioner. All modifications and approvals will be attached to this agreement.

22. I will complete any training required for participation in this program.

23. If I work at an alternative work location more than two days per week, I may relinquish an assigned working space in a Department building. Upon request, I will remove all personal belongings from my previously assigned space.

24. I understand that if I work at an alternative work location more than two days per week, when I work in a Department building, I may be working at a station not assigned to me but with the necessary plugins for me to do my work.

25. I understand that the State is not required to provide me with office supplies or State-owned equipment, regardless of my Remote work agreement schedule. If provided, I agree that I am responsible for the State-owned equipment housed in my alternative work site and that that equipment will be inventoried periodically. All State-owned equipment that I intend to use at my alternative work site is listed on the attached addendum.

26. I understand that my performance will be evaluated by UPM performance plan and by the following performance metrics.

**Performance Metric(s):**

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**Performance Metric Baseline:**

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I have read and understand all the provisions of the agreement and I agree to abide by them. I understand that if I fail to comply with the terms of this agreement, I will be subject to disciplinary action and that my participation in this Remote work agreement may be revoked.

Beginning Date for Remote Work: \_\_\_\_\_

\*\*An employee's injury may or may not be covered under the State Workers Compensation employee coverage.

Agency Specific Protocols for Remote Work Arrangements:

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Performance expectations are documented, stored in the performance management system, and measures/reporting methods are clear.	Y / N
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Employee Name		EIN	
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Employee Signature		Date	
-----------------------	--	------	--

Supervisor Approval		EIN	
------------------------	--	-----	--

Director Approval		Date	
----------------------	--	------	--

**Addendum: Utah Department of Agriculture and Food  
Employee Acknowledgement and Remote Work Agreement**

The following is an inventory of State-owned equipment that will be in the possession and use of \_\_\_\_\_ at their alternative work station.

I agree to immediately report to my supervisor the loss or damage of any State-owned equipment. Whenever possible, I agree to copy and print documents while I am working at my normal worksite in a Department building. I agree to not use State-owned equipment for my personal use.

<b>Equipment</b>	<b>Yes</b>	<b>No</b>	<b>Serial or ID Number, if available</b>
Desktop Computer			
Laptop Computer			
External Monitor			
Docking Station			
Power Cord			
Mouse			
Connection Cord			

Employee Name		EIN	
---------------	--	-----	--

Employee Signature		Date	
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Supervisor Approval		Date	
------------------------	--	------	--

Director Approval		Date	
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## Appendix B.05

### New Employee Checklist

Duties of the Hiring Manager/Direct Supervisor	Estimated time	Priority	Date	Initials
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**In preparation for Day 1**

Hiring Manager sends out email welcoming employee  
 Decide who will greet the new employee when they arrive & what training needs to be provided. Assign a mentor/guide who will be with the new employee during the training  
 Hiring Manager/Supervisor/Mentor create a Training Plan for the first 2 weeks  
 Schedule time with DTS for computer assignment if needed..  
 Set up a time for the new employee to meet with the Commissioner and Deputy Commissioner.  
 Schedule time with the Executive Secretary to create a badge.  
  
 Schedule time with HR  
 Identify what car will be assigned to the new employee and complete Fleet Operator ID Request form

**Day 1**

Meet with DTS to perform desktop support	<b>30 min</b>	<b>1</b>		
Meet and greet with the Commissioner and Division Director. Introduce new hire around the Division/Department (orient them to the building)	<b>30 min</b>	<b>2</b>		
Take picture for ID Badge (Executive Secretary)	<b>5 min</b>	<b>2</b>		
Ensure that the onboarding process has been completed (I-9, W-2, benefits enrollment, etc.)	<b>30 min</b>	<b>3</b>		
Complete internal packet (i.e. Travel policy, UDAF Policies and Procedures ( <a href="https://ag.utah.gov/wp-content/uploads/2021/05/UDAF-Policies-and-Procedures-May-2021.pdf">https://ag.utah.gov/wp-content/uploads/2021/05/UDAF-Policies-and-Procedures-May-2021.pdf</a> ), Division and First name phone directory, schedule of pay periods and holidays), Employee provided cell phone/internet allowance agreement), request for operator ID and PIN #, Mileage log, fill out Purchase Card application and Small Purchasing Training Certification (as needed). Bus Pass (if requested).	<b>15 min</b>	<b>4</b>		

Assign vehicle, as necessary (show employee how and where to get fuel using PIN #). Review vehicle maintenance schedules. Provide training on recording mileage. Executive Secretary document vehicle ID # for the new employee. Review how to report an accident, where to park your State vehicle, travel policy with State vehicle.

Discuss work schedule and dress code  
Teach them how to fill out an ESS Timesheet, Tutorial is online on Employee Gateway. **15 min**  
Complete Defensive Driving and be assigned an operator ID before the new employee drives a State vehicle.

**Later - As scheduled in 2 week training plan**

Order business cards (once a phone # is obtained)

Provide Policies & Procedures, review travel and vehicle policies. **2 hrs** **5**

Supervisor should ensure that the employee has completed training (Defensive Driving, Security Awareness training, Workplace Harassment & Abusive Conduct Prevention, Violence in the Workplace, Ethics) as necessary. Defensive Driving must be completed before driving a State vehicle. **2 hrs**

Provide training on how to use the Google calendar and Gmail (email). Training is online in the Employee Gateway. Create UPM document (for probation period). Review Triple AAA requirements (exercise release time, hours and days worked per week)

Give employee their first Performance Plan and review duties, goal and expectations

Make sure employee schedules calendar to attend Benefits in Brief training at the MASOB (contact ERIC to schedule)

[Set up MDM link to put on cell phone or ipad](https://dts.utah.gov/mdm-mobile-device-management)  
<https://dts.utah.gov/mdm-mobile-device-management>

**Appendix B.06**

## **Exiting Employee Checklist**

- When the employee turns in notice, let him or her know that they must work at least a little on their last day (their last day can't be annual or sick leave)
- Fill out the HR Employee Termination Checklist
- Get their phone, tablet, and any other state property in their possession.
  - If an iPhone or iPad, make sure that they give you the password and, ideally, have them change the owner of the device from their name to either the supervisor or no one in iCloud
- Get their computer
  - Turn computer into the Administrative Services Division to ensure proper handling (securing files, reimaging before reassigning, etc.)
  - Make sure that you either get their PGP and Utah login passwords or get all of their files off the computer with them and put the files on a flash drive
  - Make sure to get the updated establishment lists
  - Make sure ownership of any shared files, folders, or drives is transferred to another employee.
  - Documents
  - Make sure you have all of their violation letters and other documentation about citations, stop sales, etc.
- P card
  - Make sure you get their P card and all receipts for the purchases of the current cycle
  - Have the employee fill out the P card log and sign it for their final purchases since the last cycle
- Vehicle
  - Make sure that the registration, gas card and vehicle ID card are all in the vehicle that was assigned to the employee
  - Get the keys for the vehicle
  - Have them make sure the car is clean and cleaned out of non-work tools, etc
- Security Badge
- Before an employee leaves the Department, make sure they have surrendered possession of personal data related to any customers or licensees, whether in hard copy documents or electronically stored in personal devices.

## **Appendix C.01**

**UDAF DISCLOSURE/CONFLICT OF INTEREST STATEMENT**

**Pursuant to the Utah Public Employee’s Ethics Act  
Utah Code Ann. §§ 67-16-1 through 15, DHRM and UDAF policies**

I \_\_\_\_\_, do hereby disclose as follows:

**EMPLOYEE STATEMENT/POSITION** (please complete all that apply-if a section does not apply please indicate that by writing N/A in that field):

1. I reside at \_\_\_\_\_
2. I currently hold the following position at UDAF or on one of its subsidiary boards/commissions: If multiple entries/disclosures, please attach a copy of this form for each entry/disclosure listed:

Position Title: \_\_\_\_\_  
Division and Supervisor: \_\_\_\_\_  
Duties/Hours per Week: \_\_\_\_\_  
Date Hired/Appointed: \_\_\_\_\_

**OUTSIDE EMPLOYMENT/VOLUNTEER ACTIVITY** (please complete section 3 if you are employed/volunteer for an entity outside of UDAF). If multiple entries/disclosures, please attach a copy of this form for each entry/disclosure listed:

3. Name of Outside Employer/Volunteer  
Organization: \_\_\_\_\_  
Position  
Title: \_\_\_\_\_

Schedule/Duration: \_\_\_\_\_

**OUTSIDE EMPLOYMENT/VOLUNTEER ACTIVITY-FAMILY MEMBER**  
(please complete section 4 if you have a close family member (such as a spouse, parent or child) who is employed/volunteers for an entity which is regulated by UDAF). If multiple entries/disclosures, please attach a copy of this form for each entry/disclosure listed:

4. Name/Relationship of  
Individual: \_\_\_\_\_  
Name of Outside Employer/Volunteer Organization: \_\_\_\_\_  
Position  
Title: \_\_\_\_\_

Schedule/Duration: \_\_\_\_\_

**INTEREST IN OUTSIDE BUSINESS ENTITIES** (please complete section 5 if you or a close family member hold a substantial interest (exceeds \$2,000 or otherwise defined in statute) in a business entity subject to regulation by UDAF or one of its boards/commissions). If multiple entries/disclosures, please attach a copy of this form for each entry/disclosure listed:

5. I am an officer, director, agent employee, or owner of a substantial interest in the following business entities which are subject to regulation by UDAF or its associated boards/commissions.

Name of entity:

Position Held:

Nature and value of interest held: \_\_\_\_\_

**Note: Refer to Utah Code Ann §67-16-7(3) for exemptions and/or exclusions**

**DECLARATION OF GIFTS/LOANS/COMPENSATION OR OTHER BENEFITS**  
(If multiple entries/disclosures, please attach a copy of this form for each entry/disclosure listed):

6. I have solicited, received or have agreed to receive for myself or another, compensation, loans or gifts, directly or indirectly from the following persons or business entities who in the past, now or in the future may be subject to

Name and address of person or business entity

A brief description of the gift, loan, or compensation and the action by

\_\_\_\_\_ which may affect

**Note: Refer to Utah Code Ann §67-16-5 for exemptions and/or exclusions**

7. I have participated in or received or have agreed to receive or anticipate I will receive compensation in respect to a transaction between state agencies and a business entity which I am an officer, director, employee, own a substantial interest, or for assisting personal or business entities in transactions involving a state agency and disclose as follows:

Name of the Agency/Board/Commission: \_\_\_\_\_

Name and address of the person or business entity being or to be assisted:

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A brief description of the transaction as to which service is rendered or is to be rendered; the nature of the service performed or to be performed

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\_\_\_\_\_  
**Printed Name (Witness)**

\*\*\*\*\*  
\*\*\*\*

**TO BE COMPLETED BY UDAF:**

**DIVISION DIRECTOR ACTION**

I, \_\_\_\_\_, have reviewed this form, the UDAF Conflict of Interest policy and any applicable statutes and hereby request UDAF take the following action (please check one):

- a. Approval
- b. Denial
- c. Referral-If referral is checked, Commissioner approval is required under the current Conflict of Interest policy.

\_\_\_\_\_

\_\_\_\_\_  
Division Director Signature  
**COMMISSIONER ACTION**

Date

I, \_\_\_\_\_, Commissioner of UDAF, have reviewed this form, the UDAF Conflict of Interest policy and any applicable statutes and hereby take the following action (please check one):

- a. Request is approved.
- b. Request is denied.
- c. Request is conditionally approved.

If request is conditionally approved, employee must take the steps set forth below:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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Commissioner Signature

Date

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Division Director Signature

Date

---

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Employee Signature

Date

**Appendix C.02**

**State of Utah**

**Department of Human Resource Management**

**Disclosure Statements, Background Checks, and Reference Checks for Appointees**

**Status Effective Date: September 1, 2011**

**Revised Date: January 2, 2018**

**Approved By: Debbie Cragun, Executive Director, DHRM**

**I. PURPOSE/BACKGROUND**

To provide guidelines for conducting reference checks, background checks, and guidelines for obtaining disclosure statements for current and future appointees. Criminal history information may assist in determining if new hires and current appointees should hold a position of trust. State agencies must employ qualified individuals whose past history will not adversely affect their ability to perform their work duties. Reference checks, background checks, and disclosure statements help the State obtain information to determine the overall employability of appointees, enhance the safety of customers and employees, State property, and the security of information for which the State of Utah is held responsible.

**II. POLICY**

A. Disclosure statements shall be obtained and reference and background checks shall be conducted for all schedule AB (Agency heads), AC (Governor's Office staff), AD (anyone reporting to an Agency head or Deputy Agency head), and AR (individual that have been approved as making Statewide policy) new hire appointees. Current schedule AB, AC, AD, and AR appointees shall update their disclosure statements.

1. All local background checks will be based on official records obtained from the Utah Bureau of Criminal Identification.
2. All out-of-State background checks will be conducted through a background check vendor in accordance with the DAS Division of Purchasing.
3. All fees associated with the criminal background check will be the responsibility of the appointing Agency.
4. For the purpose of this policy, an active State employee who transfers into, promotes into, or is reassigned to an appointed position is considered to be a new hire appointee and subject to reference and background checks.
5. Appointees shall inform their supervisor within 10 calendar days if they are arrested, or if they are convicted of or have entered a plea of guilty, no contest, or a plea in abeyance to a misdemeanor or felony.
6. Reference checks shall not be conducted without the written consent of the individual being investigated.
7. Failure to consent to reference checks or the disclosure statement may result in termination of the employment relationship with the State.

8. **If a background check is unable to be processed due to the existence of a warrant, management shall allow ten (10) business days to the appointee to satisfy the warrant in order for the background check to be processed. An appointee who refuses or fails to satisfy the warrant as described shall be subject to termination.**
- **Adverse information from the disclosure statement, reference check, and/or background check may result in termination of employment or the refusal to hire the appointee.**
  1. **An appointee may be separated from employment if the disclosure statement, reference check, and/or background check provides adverse information that, in the judgment of the appropriate Agency head or designee could compromise the individual's ability to be a successful employee or would violate the public trust.**
  2. **The appointing Agency head, in consultation with the Executive Director of DHRM, or designee, shall make the determination on whether the content in the disclosure statement, reference check, and/or results of the background check will preclude the appointee from continued employment with the State of Utah.**
  3. **The decision to separate an appointee will be based on the judgment of the appointing Agency head or designee who will ensure appropriate application of this policy.**
- **All information obtained from a disclosure statement, reference check, and background check shall be classified as a protected record and is subject to GRAMA requirements.**

# DISCLOSURE STATEMENT Revised March 17, 2020

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Employee ID #: \_\_\_\_\_

Schedule Code: \_\_\_\_\_

Position Title:

\_\_\_\_\_

Department:

\_\_\_\_\_

Please return the completed statement to the HR Director/Manager or designee.

**HR Field Director or Designee Review for Completeness Only:**

Signature:

\_\_\_\_\_

Date: \_\_\_\_\_

Agency Head or Designee Signature:

\_\_\_\_\_

Date:

**Background Check Completion**

Type of background check:

Applicant Background Check (ABC)  Agency TAC  Third Party Vendor

Right of Access (BCI)  Local Only through ERIC  Other

\_\_\_\_\_

Completed By:

\_\_\_\_\_

Completed Date: \_\_\_\_\_

Disclosure Documents Page 1 of 9 Revised 3/17/20

**CONSENT AND CERTIFICATION**

**I consent to the release of information regarding my abilities to perform the duties of the position to which I may be appointed. This information may be obtained from current or former employers, schools, law enforcement agencies or other individuals or organizations and may be used by the Agency and the Department of Human Resource Management in determining my appointment. If appointment requires Senate consent, I also consent to the release of this information to the Senate and the Office of Legislative Research and General Counsel.**

**I, \_\_\_\_\_, certify that the information provided in this statement is to the best of my knowledge, true and accurate. I understand that any misstatements of material facts will subject me to disqualification or dismissal.**

**Signature: \_\_\_\_\_**

**Date: \_\_\_\_\_**

**PERSONAL INFORMATION**

**NAME:**

**Please attach a current resume.**

**RESIDENCES OUT OF THE STATE OF UTAH:** In the past five years have you lived outside of the State of Utah? If yes, list the city and state(s) and dates you resided there.

**EMPLOYMENT HISTORY:** Beginning with your current employment list all periods of full-time, part-time, volunteer, military service, self-employment, and periods of unemployment in chronological order over the past ten years that are not included on your resume. Include the employer's name, address and telephone number, dates of employment, your title, and your duties.

**Have you ever been discharged, asked to resign, furloughed, put on inactive status for cause, or been subject to disciplinary action while in any position of employment (except the military)?**

**If yes, explain:**

**Have you ever resigned after being told that your employer intended to discharge you for any reason?**

**If yes, explain:**

**MILITARY SERVICE:** Have you served in the armed forces, National Guard, or military reserve of the United States?

**Have you ever been the subject of any judicial or non-judicial disciplinary action or been given the option to resign in lieu of forced separation while in the military, National Guard, or military reserve?**

**If yes, explain:**

**CRIMINAL BACKGROUND:** Have you ever been convicted of a criminal offense related to the area of responsibility to which you may be appointed?

If yes, explain:

**SUBSTANCE ABUSE:** Do you now use controlled substances illegally?

**VEHICLE REGISTRATION:** Are your personal motor vehicles registered in Utah?

Explain why any are registered in a state other than Utah:

**PROFESSIONAL STATE LICENSES, REGISTRATIONS, and CERTIFICATES:** List the names of any professional state licenses, registrations, and certificates you hold, including license numbers and expiration dates that are not listed on your resume:

**ORGANIZATION AFFILIATIONS:** List all local, state, and national civic, cultural, education, charitable, or work-related organizations you have been associated with in the past five years on the reverse side. Include any position held in the organization and the date of service. To your knowledge, are any of these organizations or any other organization to which you belong restricted on the basis of race, color, religion, sex, national origin, disability, marital status, arrest, or veteran status?

If yes, explain:

## **CONFLICT OF INTEREST**

**ETHICAL CONDUCT:** Have you ever been cited for a breach of ethics for unprofessional conduct by, or been named in, a complaint to any court, administrative agency, professional association, disciplinary committee, or other professional group?

If yes, explain:

**CIVIL LITIGATION/AGENCY PROCEEDINGS:** Are you presently or have you ever been a party of interest in any civil litigation or agency proceeding that is related in any way to the position to which you may be appointed?

If yes, explain:

Has any business in which you, your spouse, immediate family member, or business associate are or were an officer, director, or partner been a party to any civil litigation or agency proceeding relevant to the position to which you may be appointed?

If yes, explain:

Is anyone currently threatening to sue you or any business in which you are an officer, director, or partner?

If yes, explain:

**FAMILY RELATIONSHIPS:** Are you, your spouse, or other immediate family members related to any state government official or employee?

If the nature of employment for your spouse or other immediate family member is related in any way to the position to which you may be appointed, please indicate the employer, the position, and the length of time it has been held:

**COMPENSATION:** During the past five years, have you, your spouse, or other immediate family member received any compensation or been involved in any financial transaction with the State of Utah or with any State government official?

If yes, explain:

**BUSINESS RELATIONSHIPS:** Describe any business relationship, dealing, or financial transaction that you had during the past five years, whether for yourself, on behalf of a client, or acting as an agent, that you believe may appear as or be an actual potential conflict of interest in the position to which you may be appointed:

**LOBBYING ACTIVITIES:** Have you participated in any compensated lobbying activity during the past five years in which you have engaged for the purpose of influencing the passage defeat, or modification of any legislative or administrative action?

If yes, explain:

Has your spouse or any immediate family member participated in any compensated lobbying activity during the past five years in which your spouse or immediate family member has engaged for the purpose of influencing the passage, defeat, or modification of any legislative or administrative action that is related in any way to the position to which you may be appointed?

If yes, explain:

**REGULATED ACTIVITIES:** During the past five years have you, your spouse, or any immediate family member been an officer, owner, director, trustee, or partner in any corporation, firm, partnership, other business enterprise, nonprofit organization, or other institution that is regulated by or receives direct financial benefits from any Department, Agency, or institution of the State of Utah?

If yes, explain:

**OTHER ACTIVITIES:** Are there any other matters that may be incompatible with the discharge of the duties of the position to which you may be appointed or that may impair or tend to impair your independence of judgment or action in the performance of the duties of that position?

If yes, explain:

## **FINANCIAL INFORMATION**

**GIFTS:** Have you, your spouse, or your dependents received gifts from anyone who is related in any way to the position to which you may be appointed, exceeding \$500 per year within the last five years?

If yes, explain, including the nature and value of the gift and donor:

**TAXES:** Have you regularly filed State and Federal tax returns?

Have you ever been convicted of tax evasion, tax fraud, or similar crime or been the subject of a

tax audit or investigation that resulted in the assessment of a penalty? If yes, explain:

**BANKRUPTCIES:** Have you, your spouse or any corporation, firm, partnership, other business enterprise, nonprofit organization, or other institution in which you or your spouse have served as an officer, director, trustee, or partner: (a) filed a petition for bankruptcy under the U.S. Bankruptcy Code; (b) been adjudicated as bankrupt under the U.S. Bankruptcy Code; or (c) been the subject of a formal or informal receivership?

If yes, explain and include the type of bankruptcy, the court trustee, and the trustee's address:

**DELINQUENCIES:** Are you delinquent on any Federal, State, or local debt?

If yes, explain and include delinquencies for taxes, governmental loans, overpayment of benefits, required payments into or under governmental programs, and other debts or required payments to the government plus any defaults on or under loans that are or were guaranteed, insured, or subsidized by any unit of government.

## **EMPLOYMENT**

**FUTURE EMPLOYMENT INTENTIONS: Do you intend to sever all connections with your present employers, business firms, business associations, or business organizations if you are appointed?**

**If not, explain:**

**Do you intend to participate in compensated lobbying activities after you leave government service?**

**If yes, explain:**

**FRINGE BENEFITS: Are there any employee fringe benefits that you are now receiving and will continue to receive during your service with the State t?**

**If yes, explain:**

**OUTSIDE EMPLOYMENT: Do you have any commitments or agreements to pursue outside employment, with or without compensation, during your service with the State?**

**If yes, explain:**

**RESUMPTION OF EMPLOYMENT: Do you plan to resume employment, affiliation, or practice with your previous employer, business firm, association, or organization after completing your service with the State?**

**If yes, explain:**

**Has anyone made an offer to employ you after you leave State service? If yes, explain:**

**LENGTH OF SERVICE: If appointed, do you expect to serve out your full term or until the next gubernatorial election?**

**If no, explain.**

**Appendix C.03**

**UDAF EDUCATION ASSISTANCE CONTRACT**

Made and entered into between the Utah Department of Agriculture and Food, Hereafter referred to as UDAF, and Employee:

\_\_\_\_\_ EIN: \_\_\_\_\_, Hereafter referred to as EMPLOYEE.

Whereas, the EMPLOYEE requests education assistance from the UDAF Education Assistance Program, the EMPLOYEE and UDAF agree that UDAF will reimburse education costs as described in the contract for the course(s) listed below. (Attach documentation for any additional courses.)

Course title and number (if applicable) Undergraduate or graduate (if applicable)	School name or other entity Tax ID No:	Semester or other start and end dates	Details	Costs
			Amount billed	
			Minus funding from other sources	
			Amount paid by Employee	
			Amount submitted for reimbursement	
Course title and number (if applicable) Undergraduate or graduate (if applicable)	School name or other entity Tax ID No:	Semester or other start and end dates	Details	Costs
			Amount billed	
			Minus funding from other sources	
			Amount paid by Employee	
			Amount submitted for reimbursement	

NOW THEREFORE, it is agreed by and on behalf of the parties hereto as follows:

1. All covenants and agreements herein contained shall be binding upon all parties hereto.
2. This contract may be terminated by either party by submitting a termination notice in writing. Termination of the Educational Assistance Contract by the Department shall be at the Commissioner's sole discretion, taking into account any of the factors listed in the Department's Educational Assistance Policy (currently section 2.12 of the UDAF Policy Manual) or breach of the Education Assistance Contract by employee.

UDAF certifies that:

1. It will reimburse the EMPLOYEE \_\_\_\_\_ % [up to 75%] which is \$ for the course(s) tuition, books, and fees agreed upon above. No reimbursement will be made without receipts showing the EMPLOYEE paid expenses, and documented proof of passing grades by the EMPLOYEE as defined in the UDAF Education Assistance Program policy.
2. The course(s) agreed upon above will satisfy development needs of the EMPLOYEE and will result in additional benefits to UDAF.
3. The education assistance authorized for the above-named EMPLOYEE does not exceed the \$5,250 maximum that may be allowed and reimbursed in the calendar year in which the coursework will be completed.

The EMPLOYEE, by signing this contract, agrees to the following:

1. That this Education Assistance Contract does not include nor obligate UDAF to provide a computer, computer related or other equipment, nor Internet service provider for the EMPLOYEE to complete educational course work at the EMPLOYEE's home-office or work location.
2. With written approval of agency management, the EMPLOYEE may use State equipment (computer, printer, Internet service, etc.) during non-work time of the EMPLOYEE, for the completion of course work. The EMPLOYEE is responsible to pay UDAF for any photo copies or printing done with State equipment.
3. By signing this contract, EMPLOYEE declares to UDAF management that EMPLOYEE is not receiving duplicate financial assistance (such as stipends or scholarships, etc.) at the time of application nor expects to receive such during the calendar year. Any duplicate financial assistance must be disclosed on this form and by entering into this Contract EMPLOYEE gives UDAF the right to contact the educational institutions listed herein to verify the information provided.
4. That the EMPLOYEE will successfully complete the course(s) agreed to above and will provide required documentation for proof of passing grade(s), which is at least a C- or "pass" in a pass/fail grading system, or other official written documentation from

the school or educational entity showing successful completion of the coursework by the EMPLOYEE.

5. The EMPLOYEE shall submit the required documentation for reimbursement within 60 calendar days after the completion date of the course(s) or the Education Assistance Contract will be voided and UDAF will not provide reimbursement.
6. That the EMPLOYEE will remain in the employment of UDAF for two (2) full years following the completion date of the above course(s).
7. If the EMPLOYEE voluntarily terminates employment with UDAF for any reason within one year of the course(s) completion date, the EMPLOYEE must repay 100% of the education assistance received. If the EMPLOYEE voluntarily terminates employment with UDAF within two years of the course(s) completion date, the EMPLOYEE must repay 50% of the education assistance received.
8. If the EMPLOYEE fails to repay the education assistance amount within the time determined by UDAF, the State of Utah is authorized to withhold from the EMPLOYEE'S paycheck the amount of education assistance to be repaid.
9. The EMPLOYEE will comply with the UDAF Education Assistance Program policy.

IN WITNESS WHEREOF, UDAF and the EMPLOYEE have caused this Education Assistance Contract to be signed by the proper officials thereunto duly authorized.

Employee	Date
Supervisor	Date
Division Director	Date
Administrative Services Director	Date
Commissioner	Date

Date reimbursement paid: \_\_\_\_\_  
Amount paid: \_\_\_\_\_  
Unit/org #: \_\_\_\_\_  
Processed by: \_\_\_\_\_

UTAH DEPARTMENT OF AGRICULTURE AND FOOD  
**POLICIES AND PROCEDURES**

**INDEX**

Acceptable Use Policy, Information Technology Resources 04.02	102
Accidents and Injuries 02.01	29
Accounts Receivable 01.01	7
ADA and Civil Rights Grievance Policy 05.06	113
Adjudicative Hearings 05.08	117
Adoption of DTS Policies 04.01	101
Advisory Boards/Committees and Internal Meetings 06.01	121
Assets 01.06	15
Appropriate Vehicle Use 08.05	140
Authorized Passengers and Vehicle Operations 08.01	132
Authorized Personal Use of Public Property 03.10	98
Building Use 06.02	124
Cash Receipts and Mail 01.02	9
Cellular Phones and Tablets 04.03	104
Claims Against the State 05.01	107
Comments on Federal Laws 05.02	108
Commute Policy and Procedures 08.02	134
Computer Hardware and Software Purchase and Installation 04.04	106
Conference Room Scheduling 06.03	125
Conferences – Travel 07.01	129
Conflict of Interest 03.01	78
Conflict of Interest Form C.01	179
Contract/grants 05.03	109
Correspondence with Other Agencies; Requesting Attorney General’s Opinions 05.04	111
Debt Collection 01.03	11
DHRM Disclosure Statement C.02	196
Dress Code and Personal Hygiene Policy 02.02	30
Education Assistance Contract C.03	207
Educational Assistance Policy 02.04	41
Employee Acknowledgement and Remote Work Agreement B.04	180
Employee Provided Phone Allowance Agreement B.02	176
Employee Provided Internet Agreement B.03	178
Employee Responsibility for Vehicle Care and Maintenance 08.03	138
Exercise Release Time 02.04	40
Exiting Employee Checklist B.06	190
Federal Grants 01.04	13
Fixed Assets 01.06	15
Fleet Expansion Request A.01	165
GRAMA Requests 03.04	84
Grievance Policy 05.05	112

Guide for Drivers Involved in Motor Vehicle Accidents A.02	166
Identification Cards 03.02	81
Incentive Award Policy 02.05	45
Laws and Rules 05.07	115
Leave Allocation Policy and Procedures 01.08	20
Meals for Department Meetings 06.04	127
Media Relations 03.03	82
Minimum Requirements for Operation of a Vehicle 08.04	139
Mission Statement and Core Values 00.02	6
New Employee Checklist B.05	188
Office Procedures 03.06	89
On – Call Policy 02.09	55
Phased Retirement Policy 02.11	63
Preface 00.01	5
Privacy Protections 05.09	119
Public Meeting Compliance 03.05	86
Purchasing Cards (P-Cards) 01.07	18
Regulatory Enforcement Procedures 03.07	91
Relocation Bonus 02.07	49
Request to Transport Passengers A.03	167
Returnships 02.15	75
Security 06.05	128
Service/Retirement Cash Awards 02.06	48
Sick Leave Assistance Policy 02.08	38
Social Media Policy 02.12	66
Standards of Conduct 02.03	32
State Motor Pool Vehicle Special Use Request A.05	169
State Provided Cell Phone or Tablet Agreement B.01	174
State Vehicle Tele-Accident/Incident Report A.04	168
Subrecipient Requirements Training Policy and Procedures 01.05	14
Telework Policy 02.10	56
Training 03.08	94
Transit Benefits 02.04	43
Transportation of Cannabis 08.06	146
Unmanned Aerial Vehicles 08.07	148
Weapons Policy 03.09	95