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DEPARTMENT OF NATURAL RESOURCES	EFFECTIVE DATE 06/28/97	
POLICIES AND PROCEDURES	REVISION DATE	
SUBJECT: Internal Auditing, Law Enforcement Investigations, Human Resources Review		
Ted Stewart, Executive Director		

I. PURPOSE

To clarify the procedures for investigation and review of alleged serious employee misconduct in the Department of Natural Resources.

II. POLICY

The division directors are responsible for evaluating employee misconduct and in administering appropriate disciplinary action. Discretion and judgement are left up to the directors for application if disciplinary action in each of their respective areas of operation. When possible, disciplinary action should be applied uniformly within and across each division in order to insure equity for all DNR employees. The process for gathering information regarding serious alleged actions of misconduct will be performed by DNR administration as stated below. The purpose of the process is to provide the director with factual and unbiased information to make a sound judgment. Examples of serious misconduct include, but are not limited to, conflict of interest, theft, embezzlement, sexual harassment, gross mismanagement, etc.

III. PROCEDURES

DNR law enforcement internal affairs will be responsible for investigating any alleged illegal actions of a law enforcement officer. The law enforcement internal affairs group will coordinate such investigations with Human Resources. DNR internal auditing will research, perform audits of alleged illegal behavior of non-law enforcement employees, such as fraud, theft, misuse of funds, conflict of interest, etc. Internal auditing will coordinate these investigations with Human Resources. Human Resources will review issues related to mismanagement of employees, sexual harassment and other areas of human resource management.

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All research and investigation regarding employee misconduct will be documented in written form for review. Copies of the document will be provided to the executive director, assigned DNR deputy director, division director, Human Resources direction and the attorney general. A copy may be provided to employee(s) involved in the action.

Upon completion of the report, the division director will schedule a meeting with those receiving the report and the individuals who conducted the review. The purpose of the meeting to:

- A. Insure full understanding of the findings of review.
- B. Receive consultation from the attorney general regarding criminal charges and comparative severity of other similar cases processed by the department.
- C. Receive consultation from the Human Resources director regarding disciplinary action.
- D. The division director to determine action steps to be taken to discipline the employee, if necessary, and/or actions to be taken to improve controls to prevent recurrence of the problem.

It is critical that swift action be taken after all of the facts have been determined and the meeting has been concluded. After administrative action has been taken, criminal action may be pursued if it is determined that such action is in the best interest of the state of Utah. Criminal investigations against any DNR employee must be approved by the executive director.