Purpose
To outline the ethical conduct of the Utah Department of Transportation (Department) employees. The citizens of Utah rightfully demand ethical and responsible behavior from their public servants. The following policy outlines the Department's regulations for conflicts of interest, private business activities of leaders and employees, and rules and regulations which leaders and employees are expected to comply. Also, see related information in Department's policy 05-30 – Rules of Conduct and Code of Ethics.

Policy
The Department recognizes the public's right to honest State Government and strives to protect public money and property by maintaining a high level of awareness to indicators of fraud or other criminal acts impacting the Department. Any attempt by Department employees, members of the public, contractors, subcontractors, consultants or intermediaries to use their association with the Department to gain financial or other benefit to which they are not properly entitled will be promptly investigated and appropriate action taken.

Department leaders are responsible for establishing and enforcing appropriate controls and procedures for deterring and detecting wrongdoing.

Department leaders who receive audit or investigative reports from the UDOT Internal Audit Section will inform the Audit Section of action taken in response to the reports. Leaders or employees who are suspect of wrongdoing will be treated equally and without regard to position held or length of service with the Department.

Any violation of this policy can result in leave without pay suspension, demotion, termination, or criminal charges.
Responsibility: Leaders and Employees

Actions

1. State employees are responsible to ensure that taxpayer funds are spent according to state and federal laws and in proper and appropriate ways.

2. Leaders and employees will abide by all civil or criminal laws, regulations, State administrative rules governing their work or professional activities, work place rules, and policies and procedures of the Department. Employees uncertain about the application or interpretation of any legal requirement will refer the matter to their leader, who if necessary, will seek appropriate legal direction.

3. Leaders or employees will not accept preferential treatment that might be inclined to or be perceived to place them under obligation to entities or individuals that have business dealings with the Department.

4. Leaders or employees will not falsify documents.

5. Wrong doings should be reported to an individual’s supervisor, appropriate leader, the Internal Audit Section, or The State Auditor’s Office. The Department will not tolerate or condone any attempt to conceal fraud or other illegal acts.

6. Leaders and employees responsible for keeping records must fully disclose and record relevant elements of a transaction or event. Transactions or events include but are not limited to procurement documents and payment records, contractor and consultant documents, expense reimbursement reports, attendance reports, and other reports.

7. All Department leaders and employees are expected to fully and truthfully answer questions and otherwise cooperate with the Internal Audit Section, law enforcement personnel, or during investigations authorized by Department executive leadership, Human Resources consistent with applicable law and constitutional rights.
Responsibility:  Internal Audit Division

8. The Department will e-mail its employees and leaders annually to increase their awareness of fraudulent activity. Additional training and information will be provided by the Internal Audit Office as requested.

9. The Department Internal Audit Section is primarily responsible for conducting internal and external audits or investigations to resolve allegations of fraudulent or wasteful activity impacting the Department.

10. The Internal Audit Section has an anonymous e-mail address available to facilitate reporting of suspected questionable activities or wrong doings and can be found on the web-site http://www.udot.utah.gov/audit.