# UDOT Policies and Procedures Index

(Index based on new structure and numbering)

* indicates that a policy has an associated procedure.

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<td>Accomplishment of and Payment for Utility Relocations Required in Connection with Highway Work (Including Railroad Relocation)</td>
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**Structures (08C)**

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<td>Structural Capacity of Existing Structures</td>
<td>11/19/1998</td>
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**Geotechnical (08C1)**

| 08C1-01       | Geotechnical Engineering                                                      | 01/18/1974     | 03/19/2015    |

**Right of Way (08D)**


**Utilities (08E)**

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<th>08E-01</th>
<th>Railroad Participation and Maintenance Responsibilities for Railroad-Highway Project Agreements</th>
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<td>Plans, Specifications &amp; Estimates, &amp; Railroad Agreements for Railway-Highway Crossing Projects as Authorized by the 1973 Federal-Aid Highway Act (Sections 203 and 230)</td>
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<td>Coordination and Execution of Agreements with Railroad Companies Required on UDOT and Railroad Projects</td>
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Purpose
To define the broad guidelines by which the Utah Department of Transportation’s (Department) administrative groups develop their internal policies.

Policy
Abide by the general principles established by this policy in the development of a group’s policy and procedures. Policy owner will review all their policies every two years.

Use the numbering, format, and retention/archiving system established in this Policy to standardize all polices and procedures. The Department Policy Coordinator electronically maintains current and archived policies and procedures and maintains the Policy and Procedure Web page on the Department’s Internet site.

A policy and procedure may not affect a citizen’s rights under state law. A department must use the administrative rulemaking process to have the status of law. A policy and procedure may still be issued if it is accompanied by an administrative rule or if the policy and procedure only deals with internal management and operations.

A policy may stand alone but a procedure must be tied to a corresponding policy.

Establish guidelines for Department personnel on the process of review, approval, archive, and deletion of policies and procedures. Certain procedural actions must be taken as part of the development and review process by the area with primary responsibility (proponent) as well as those tasked by the proponent to review a particular policy and procedure so that proper coordination of Department policies and procedures is completed.

The initiating Group Leader for new or amended policies assigned to their area is responsible for following this policy and procedure.
Background
The Department believes that an organization’s best practices are those that are written down. They serve as a form of institutional memory that does not depend on a particular individual’s recollection if those practices are properly written down and reflect actual practice. Written policies allow personnel to learn from the experiences of colleagues and past experiences. Policies should be developed in areas that frequently re-occur, require the coordination of several individuals, written down in a manner that is easy to understand, created with consistency and uniformity, and allows for the development of creative solutions to unique problems.

Definitions
Policy
Policies are basic concepts that are subject to periodic review and that provide a statement of philosophy of the Department. A policy consists of a purpose, policy, and when necessary, background, definitions, and procedural information.

Procedure
Procedures are statements that provide a sequence of specific actions or methods required to accomplish a given function or work routine, provide a particular way of accomplishing something or way of acting, or an expected or established way of doing something. Procedures inform individuals of their responsibility in matters concerning the Department.

A procedure contains an outline of responsibilities and actions to be taken and names the position that is responsible for performing the action.

Numbering System
Each policy and procedure begins with UDOT to identify it as a policy and procedure of the Department. Each policy is assigned a number used to identify the main section or group within the organization and, if desired, an alphanumeric code to identify a specific division or subgroup within a particular group. This is followed by a dash (-) and a number issued for a particular policy. A procedure number repeats the policy number followed by a period and a number, in sequence, starting at one for each procedure derived from that policy.

Examples:

UDOT 01-01 (01 indicates Executive – 01 indicates the first policy)
UDOT 02-5 (02 indicates Comptroller)
UDOT 02-5.1 (a procedure supporting policy 02-5)
UDOT 08B-XX (08 indicates Project Development and B indicates Construction)
**Procedures**

**General Information**

**Responsibility:** Group Leader

**Actions**

1. Develop a method for Group employees to propose new policies and procedures or amendments to existing ones.

2. Create a small group of employees, before issuing a new or amended policy, whose job responsibilities include the area being reviewed to refine and finalize the policy.
   a. Involve the Group Leader of any groups whose expertise may be involved in the policy and procedure.
   b. All Group Leaders must approve the policy and procedure if it crosses group boundaries.

**Responsibility:** Department Policy Coordinator

3. Provide electronic files to employees creating or amending Department policies.

4. Provide assistance as needed so that all polices comply with Department guidance.

**Responsibility:** Group employees tasked to create or amend Department policies

5. Contact the Department Policy Coordinator for required files or template and a policy number for new polices

6. Create or update required policy as tasked.

7. Send draft to Department Policy Coordinator for review.

**Responsibility:** Department Policy Coordinator

8. Review draft.

9. Provide comments and updated draft to the person working on the policy.

10. Work with person working on the policy to resolve all issues.
**Responsibility:** Group employees tasked to create or amend Department policies

11. Work with the Department Policy Coordinator to resolve all issues.

12. Complete Group coordination and approval actions by working with the Group Leader responsible for the policy.

**Responsibility:** Group Leader

13. Review each Group policy and procedure for consistency with this policy regarding numbering, format, and review.

14. Request review by the Attorney General’s Office for legal issues as necessary.

15. Request review by the Comptroller’s Office if the policy involves any financial issues.

16. Present the new or amended policy to the Technical Committee for review when the policy crosses Group boundaries or as needed based on content of the policy.

**Responsibility:** Group employees tasked to create or amend Department policies

17. Work with the Group leader responsible for the policy to make any updates as needed.

18. Provide the Department Policy Coordinator with an electronic copy of the new or modified policy for it to be published after all approvals are complete.

   a. Include two files. The Track Change version and a clean copy of the policy after verifying everything is updated correctly.

19. Review each policy once every two years and complete required actions according to this policy.

**Responsibility:** Department Policy Coordinator

20. Receive new or amended policy in MS Word format.

21. Review policy file for correct format and any obvious errors.

22. Coordinate with policy owner on any format updates or corrections as needed.
23. Update policy as needed to correct information after completing Steps 20 and 21 of this Procedure.

24. Update “Revised” Date with publishing date unless the policy owner requests a different date.

25. Change “Revised” to “Reviewed” in the policy date area if the update is only to bring the policy in line with the two-year review process or for formatting changes.
   a. Leave “Revised” text for any changes submitted by the owner including editorial changes and title changes.

26. Update Index file to add new policy, change name of current policy, and update revision date.

27. Create PDF file of new or updated policy and the Index file.

28. Post PDF files of all new and amended policies and updated Index on the Internet as soon as possible based on priority workload and the number of policies to publish.
   a. Publishing may be delayed until there are sufficient policies to publish in order to maximize efficiency.

29. Update or add text and date on the Web page for each published policy.
   a. Policy reviewed or Policy revised month, day, year

30. Prepare e-mail draft for transmission Department wide and send to the UDOTWIDEW e-mail address.

**Responsibility:** Department Administration

31. Release UDOTWIDE e-mail.

**Responsibility:** Employee

32. Become familiar with policies and procedures relevant to work responsibilities and follow them.

33. Suggest changes to policies and procedures or creation of new ones as set forth by appropriate Group Leader.
Tracking and Archive Process for Policies and Procedures  

Responsibility: Department Policy Coordinator

**Actions**

1. Develop and maintain a tickler system to track policy review requirements.

2. Notify the appropriate Group Leader at least six weeks before a policy is scheduled for its two-year review.

3. Maintain electronic files on limited access shared network drive.

4. Archive most recent version of an amended policy before adding new version.
   a. Modify policy file name to be archived as follows:
      05-13_DeletedAug04_2004.doc
      08A5-1_UpdatedMay10_2005.doc
   b. Date format for archiving:
      _actionMonthDay_year
      Action is either “Deleted” or “Updated”
Purpose
To define the broad guidelines by which the Utah Department of Transportation’s (Department) administrative groups develop their administrative rules. Each group may develop their own procedures for this function but must abide by the general principles set forth in this policy. Each group must use the numbering, format, and retention system established in this Policy.

Policy
State law requires each agency to develop administrative rules. Rules are required when the agency is setting forth the manner by which members of the public may obtain services or benefits offered to the public or agency practices that affect the legal rights of a citizen. Administrative rules are not required when only internal management and operations are being discussed. The legislature encourages the development of administrative rules if there is a question about their technical legal necessity. A new rule or amendment required by a statutory provision must be filed with the Division of Administrative Rules within 180 days of the effective date of the statutory provision requiring the rule or amendment. The Department must also follow the procedures and approval process found in Utah Code Ann. Section 63J-1-504 when proposing rules that include a new fee or a change in fees.

Unlike internal policies and procedures, administrative rules are cataloged by a separate state agency, the Division of Administrative Rules (DAR), which is part of the Department of Administrative Services. DAR publishes these rules in the Utah State Bulletin where they are available for public review and comment. The agency must also hold public hearings on proposed rules under certain circumstances. The rulemaking process follows the outline available at http://www.rules.utah.gov/agencyresources/rulemakingprocess.pdf

Numbering System
The numbering system and format for administrative rules is uniform for every state agency. The Department is limited to choosing an individual number and a title for the rule. Administrative rules titles look like the following:


1. R means Rule
2. DAR has chosen the numbers 907 through 933 to indicate the title or general categories of Department rules, by subject matter. For example, R912 is a specific category (Motor Carrier, Ports-of-Entry). R912-2 is a specific rule within the Ports-of-Entry category regarding Mobile and Manufactured Homes.

Rule numbers and the relevant Department categories are as follows:

R907  Administrative
R909  Motor Carrier
R912  Motor Carrier – Ports-of-Entry
R914  Operations – Aeronautics
R916  Operations – Construction
R918  Operations – Maintenance
R920  Operations – Traffic and Safety
R926  Program Development
R930  Preconstruction
R933  Preconstruction – Right of Way Acquisition
Responsibility: Group Leader

Actions

1. Develop a method by which employees in his or her group may propose new rules or amendments to existing ones.

2. Create a small group of employees before proposing a new rule or amendment, whose job responsibilities include the area being reviewed to refine and finalize the idea. Identify the statutory authority for the new rule or amendment. Answer the question – What problem does the existing framework not address? Involve any group’s leader in development if the subject of the rule crosses into the expertise of another group. Both group leaders must approve if the rule crosses group boundaries. The initiating group leader is responsible for following this policy and procedure.

3. Ensure that the proposed rule or amendment is consistent with other state rules, federal standards, and this general policy regarding numbering, format, and review. Guidelines are included in the Rulewriting Manual for Utah Rulewriters which is available at http://www.rules.utah.gov_agencyresources/manual.htm. Provide an electronic copy of the proposed rule to the Attorney General’s Office (in-house) for legal review and preparation for submission to DAR.

4. Provide a copy for review and comment by the Comptroller’s Office if there are or may be financial issues involved with the proposed rule or amendment.

5. Prepare the rule analysis that summarizes the rule or change; explains its purpose; addresses anticipated costs to the state budget, local government, small businesses and others; and outlines the compliance costs for affected persons and the fiscal impact on businesses. Involve impacted groups in drafting the rule.

6. Present the proposed rule to senior Department leaders for review and input if the group leader believes doing so would be helpful.

7. Provide final version to In-House Assistant Attorney General’s Office for Executive Director's approval before Commission review.

8. Present the proposed rule to the Transportation Commission for its review.
9. Notify all affected employees when a new or amended rule is made effective.

**Responsibility:** In-House Assistant Attorney General

10. Assist group leader or designee in developing proposed rule or amendment and in carrying out group or division responsibilities.

11. Ensure that purposed rule passes legal review and meets formatting requirements of DAR and is approved by the Executive Director.

12. Submit rule and analysis to DAR.

13. Convey to initiating group or division any concerns or comments provided by public, DAR, or the Governor’s Office of Planning and Budget.

14. Issue Notice of Effective Date as soon as possible using schedule developed by DAR.

15. Inform initiating Group or Division that the rule has become effective.

16. Maintain the official version of the rule on file as required by law.

17. Receive from DAR notices of continuations and five-year reviews on all Department rules.

18. Coordinate with appropriate group or division in reviewing rule.

19. Submit to DAR the appropriate Notice of Continuation and Five-Year Review.

**Responsibility:** Transportation Commission

20. Review administrative rules made, amended, or repealed by the Department.

**Responsibility:** Employee

21. Be familiar with rules relevant to work responsibilities and comply with them.

22. Suggest changes to rules or new rules pursuant to guidelines set forth by appropriate group leader.
Purpose
This policy sets the guidelines for personal use of cell phones and for procurement of cell phone services.

Policy

Regarding Personal Use

A. Personal use of cell phones is permitted if it does not:

1. Interfere with existing rules or policies (see below);
2. Disrupt or distract the conduct of UDOT business; e.g., due to the volume or frequency of calls; or
3. Involve or support illegal activities.

B. Rule R875-7 of the Utah Administrative Code specifies the conditions under which State-owned technological devices may be used. In part, the rule says that an employee may not use work-issued Information Technology equipment, including cell phones, when:

1. The use disrupts or distracts from the employee’s carrying out Departmental business;
2. The employee uses the cell phone for solicitations;
3. The call involves personal business activities;
4. The call is intended to harm or otherwise disadvantage the State;
5. The use involves any illegal or otherwise prohibited activities, including harassment, stalking, or threats;
6. The call is used to make offensive, disparaging, or harassing remarks that may incite violence or are based on race, national origin, gender, sexual orientation, age, disability, or political or religious beliefs;
7. The cell phone is used to view, transmit, retrieve, save, print, or solicit sexually-oriented messages or images;
8. The call is used for religious or political functions, including lobbying as defined by Utah Code Annotated § 36-11-102 and Utah Administrative Code R623, although this prohibition does not apply to calls made by those employees whose job duties include providing information or the Department’s opinion to other governmental officials or the media;
9. The cell phone is used to knowingly or recklessly spread computer viruses; or
10. During the call, the employee represents himself or herself as someone else.
Regarding Distribution of Cell Phones to Employees

Individual Groups and Regions may provide cell phones to the Department employees who they believe need the cell phone for justifiable business reasons. Those employees who may be needed for emergency callback to duty or for consultation are most likely to be assigned a cell phone, but cell phones may be assigned to other employees as well if the Group or Region Leader determines there is a need for an employee to have a cell phone.

When an employee leaves the Department or goes into a position for which a cell phone is not justified, as determined by the Group or Region Leader, he or she shall return the cell phone. An employee’s supervisor may also require an employee to return his or her cell phone at anytime, for any reason.

Procuring Cell Phone Service

Cellular telephones and service agreements must be purchased in accordance with general State procurement requirements. During the procurement process, the individual Groups and Regions shall consider rate plans appropriate to their specific business needs and the specific usage history of their employees.

Charges Covered by UDOT – Personal Charges. In conjunction with cell phones, UDOT currently buys from various service providers, various plans. Most of these plans are for pooled minutes for calls made from the contiguous 48 states to locations in the contiguous 48 states. However, the current service providers impose additional charges per cell phone for items not included in the monthly fee. Any fee that is in addition to the basic contract will be the responsibility of the employee using the cell phone unless it is work related and approved by the employee’s supervisor.
Procedures
Cell Phone Personal Use and Procurement of Plans

Responsibility: Individual Groups and Regions

Actions

1. Periodically identify and review rate plans and airtime to ensure the best use of State funds. Consider callback and consultation in this review process.

2. Each Group or Region should use its best efforts to purchase plans that avoid charges beyond the minutes allowed under the basic rate plan. Because plans differ by area, Groups and Regions may select the plans most appropriate to their needs.

3. Individual Group and Region Leaders or their designees shall either personally select a cell phone plan or appoint a group of employees to evaluate plans and make a recommendation for approval.

Responsibility: Supervisor or Person Designated by Group/Region Leader

4. Provide a copy of this policy to all employees who are assigned a cell phone.

5. Monitor cell phone usage when considered necessary for any particular employee.

6. If an employee is violating this policy, inform the Group or Region Leader of the violation.

7. If, after review with Human Resources staff, the Leader determines that the situation warrants, take appropriate disciplinary action.

Responsibility: Employees Assigned Cell Phones

8. Read and familiarize yourself with this policy.

9. Return the cell phone to your supervisor when:
   (a) You are terminated;
   (b) You are transferred to a position that does not require a cell phone;
   (c) You transfer to a different Group or Region; or
   (d) Your supervisor otherwise requests its return.
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.
Purpose
To ensure that correspondence is written, signed, and handled in an efficient process within the Utah Department of Transportation (Department).

Policy
It is the Department policy to devise and design methods to write, sign, and handle all correspondence.

Text messaging is not an acceptable medium for official correspondence.
Responsibility: Executive Director or Deputy Director

Actions

1. Letters in the following classifications must be prepared for the signature of the Executive Director, the Deputy Director, or an authorized designee:
   a. Letters to the Governor's Office and the Congressional Delegation. **ALL** letters addressed to members of the Congressional Delegation must be routed through the Executive Director's Office. The Executive Director’s Office will then coordinate with the Governor’s Office before sending the correspondence to the Delegation.
   b. Policy letters committing the Department to a definite course of action.
   c. Letters regarding Human Resources policies such as terminations or actions.
   d. Letters to Federal Highway Administration (FHWA) in response to letters that were signed by their Division Administrator.
   e. All other letters where protocol would indicate the signature of the Executive Director.

2. Responses to correspondence received by the Executive Director or Deputy Director by e-mail may be made in turn by e-mail. Letters should be prepared in standard letterhead format, signed, and included as an electronic attachment to the e-mail when preparing policy letters or other official responses requiring a signature.

3. Official correspondence of the Executive Director or Deputy Director, including official e-mails, will be maintained indefinitely in the ProjectWise System and in hard copy (locally and in State Archives). Each Group and Region is responsible to appoint a representative to work directly with State Archives on its records retention both electronic and hard copy.

4. Employees should send copies (cc) of emails and official correspondence to appropriate staff members and their assistants to ensure proper internal communication has occurred and files are complete.
Responsibility: Senior Leaders or Authorized Designee

5. It is the responsibility of each Senior Leader to establish well-defined and observed lines of authority within his or her own Group or Region for writing or signing correspondence.

6. Senior Leaders may issue memorandums on routine matters within his or her own Group or Region.

7. Policy letters must be prepared for the signature of the Executive Director.

8. Senior Leaders are authorized to address correspondence relating to their Group or Region directly to Utah State Legislators and heads of federal, state, county, or city agencies with the understanding that copies of all such correspondence will be forwarded to the Executive Director’s Office.

9. Senior Leaders are also authorized to directly address correspondence relating to their Group or Region that affect personnel (not to include termination) or that affect operating procedures of the Department.

10. Official correspondence of Region or Group Directors, including official e-mails, will be maintained indefinitely in the ProjectWise System and in hard copy both locally and in State Archives. Each Group and Region is responsible to appoint a representative to work directly with State Archives on their records retention both electronic and hard copy.

11. Employees should send copies (cc) of e-mails and official correspondence to appropriate staff members and their assistants to ensure proper internal communication has occurred and files are complete.
Responsibility: All Department Employees

Actions

1. Use official Department letterhead for correspondence between the Department and outside individuals and agencies.

2. Meet all requested due dates. Extensions must be negotiated before the original due date requested. Indicate the date complete information will be mailed if an interim reply is necessary.

3. Subject/Reference Line. The subject line should be placed two lines below the salutation at the left margin.

4. Opening Sentence (first paragraph) for Correspondence. The first sentence of correspondence replying to a request should reference the original request, date, and any other previous correspondence relating to the subject. For example, “Thank you for your letter dated August 1, 2013.” If you have been asked to respond directly to a letter that was originally sent to the Executive Director, begin your letter by saying, “Carlos Braceras has asked me to review and respond to your letter dated August 1, 2013.”

5. Identification Line (reference initials). Names of the originator and the initials of the typist will be typed on the original letter or memorandum as well as all copies retained within the Department. They will be typed two lines below the signature block at the left margin.

Example: CMB/BB/dej
Name signed to the letter is not that of the dictator

CMB/dej Usual form

6. Enclosures or Attachments. Identify within the correspondence enclosures mailed with a letter or an attachment to a memorandum. Place the word “Enclosure” or “Attachment” two lines below the identification line at the left margin. Identify enclosures or attachments not mentioned in the body of the correspondence by listing them directly below the word Enclosure or Attachment.
Responsibility: All Department Employees

Actions

1. The copy (cc) designation will be placed two lines below the identification line or enclosure line, whichever appears last, at the left margin. Blind copies of letters written to outside organizations may be routed to staff members by typing “bcc” below “cc” line on copies only. Copies of letters for the Executive Director will include copies of all attachments.

2. The originator of the letter will ensure that adequate consideration is given to sending copies to the people with a need for a copy. Copies must always be sent to Region and Group Directors on matters involving their Regions or Groups.

3. Courtesy copies may be furnished to those people requesting them.

Examples: Attached is Exhibit A, representing an example of the procedures to follow as prescribed above.

4. Region Procedure. Region Offices should follow procedures similar to these for correspondence within their Region.

5. Project Identification for Filing Purposes. The project identification number (PIN), title of the project, and the contract number are absolutely necessary for proper record keeping procedures and must be shown when applicable on memorandums and outgoing correspondence.
Responsibility:  All Department Employees

Actions

1. Draft letters for the Governor’s signature should contain no more specialized knowledge than the Governor could plausibly furnish himself. Occasionally this may mean drafting a brief Governor’s letter stating merely that the matter has been referred to this Department and a second, more detailed response from a member of the staff for the Executive Director’s signature.

2. The format for letters requiring the Governor’s signature is dictated from that office and should adhere to the example shown in Exhibit E. ALL letters for the Governor’s signature must be routed through the Executive Director’s Office.
Memorandums

Responsibility: All Department Employees

Actions

1. Memorandums are used for correspondence within and between state agencies and may also be used for correspondence between the Department and the FHWA.

2. Memorandums to the Governor's Office, FHWA, or other state agencies must be printed on Department letterhead. See Exhibit C and D.

3. Interoffice memorandums may only be used for correspondence within the Department. They are printed either on white office paper by using a properly formatted template or on Department memorandum stationery. See Exhibit B.

4. Email is an acceptable form of correspondence for interoffice communication within the Department in place of memorandums. Use a hard-copy memorandum or a printout of the email when a correspondence file needs to be maintained long term.

5. An e-mail will be sent by those approving the changes to all Department employees notifying them of changes to websites, changes in how documents are handled such as travel, and other procedural items within the Department.

6. All e-mail intended for Department-wide distribution must be routed through the Executive Director’s Office.
Correct Use of Organizational Nomenclature

Responsibility: All Department Employees

Actions

1. The word “Department” will be used in writing or speaking only when talking about the Utah Department of Transportation as a whole and not in referring to a Region or Group or any other organizational subdivision.
Mr. J. E. Smith  
White, Brown & Smith Company  
P.O. Box 576  
Richfield, UT  84118-6773  

Dear Mr. Smith:  

SUBJECT:  Project S-0402(1), 2nd Contract, Hilltop to Indian Junction  

This letter is to certify that the work covered by your contract in connection with the construction of the above project has been completed in a satisfactory manner in accordance with the terms of the contract.  

A copy of the final estimate, approved for payment on June 2, 2011, is enclosed.  

Sincerely,  

Carlos M. Braceras, P.E.  
Executive Director  

CMB/RW/dej  
Enclosure  

cc:  James Christian, FHWA Division Administrator
Exhibit B:

- INTEROFFICE MEMORANDUM -

MEMORANDUM    UTAH DEPARTMENT OF TRANSPORTATION

DATE:    August 1, 2013

TO:    

FROM:    

SUBJECT:    

MEMORANDUM

TO: James Christian, Division Administrator
    Federal Highway Administration

FROM: Carlos M. Braceras, Executive Director
      Utah Department of Transportation

SUBJECT: Revisions to Portland Cement Concrete
         Pavement Special Provisions

The revisions we agreed to make are included in the attached Special
Provisions. Please review the attachment and give us your comments and/or approval.
Thank you.

CMB/dej

Attachment

cc: Jason Davis
    Diane Josie
MEMORANDUM

TO: Kristen Cox, Executive Director
Office of Management and Budget

FROM: Carlos M. Braceras, Executive Director
Utah Department of Transportation

SUBJECT: Executive Fee Study

August 1, 2013

I have attached our response to the request by the Office of the Legislative Fiscal Analyst to review Senate Bill 190, User Fees. Point of contact for the Utah Department of Transportation is Becky Bradshaw, Comptroller, 965-4358, P.O. Box 141510, Salt Lake City, Utah 84114.

CMB/dej
Attachment
cc: Becky Bradshaw
Exhibit E:

- GOVERNOR’S LETTERHEAD -

August 1, 2013

Mr. Robert P. Kelleher, Division Administrator
Federal Motor Carrier Safety Administration
2520 West 4700 South, Suite 9B
Salt Lake City, UT 84118

Dear Mr. Kelleher:

SUBJECT: Size and Weight Certification

I designate the Executive Director of the Utah Department of Transportation, Carlos M. Braceras, as my agent to certify vehicle size and weights, as required by published Federal Rules and Regulations.

Sincerely,

Gary R. Herbert
Governor of Utah
Purpose
To establish a policy governing the treatment of electronic signatures by the Utah Department of Transportation (Department) in accordance with the Uniform Electronic Transactions Act (UETA).

Policy
A signature will not be denied legal effect or enforceability solely because it is electronic. The Department will recognize the validity of an electronic signature unless specifically prohibited or restricted by law, rule, or policy.

The Department will specify in this policy any exceptions to or restrictions on its acceptance of a handwritten signature, electronic signature, digital signature, or digital certificate.

Electronic signatures encompass any sound, symbol, or process that conveys a person’s intent to sign a record. Electronic signatures indicate consent, but do not provide any assurance regarding the identity of the signer or the veracity of the signature. Digital signatures are a subset of electronic signatures, and offer some type of mechanism to verify the identity of the signer. Digital certificates are digital signatures that use Public Key Infrastructure (PKI) technology to guarantee the identity of the signer.

The Department will not accept electronic signatures that are not digital signatures for:
- Contracts and agreements with vendors and other government agencies;
- Documents requiring a signature relating to employment, terms of employment, and employment actions; or
- Documents requiring a signature relating to employee time reporting, leave balances, and payroll actions.

The Department will accept only digital signatures, unless an exception is granted by the Standards and Design Engineer or designee, for:
- Standard Drawings;
- Design Exceptions, Design Waivers, and Deviations from Department Standards; or
- Plan Sheets.
Background
The Utah Legislature enacted the UETA (UCA 46-4) during the 2000 General Session. The UETA does not require any state governmental agency to conduct transactions by electronic means or to use or permit the use of electronic records or electronic signatures except as provided in Subsection 46-4-301(6). The UETA does allow a state governmental agency to make rules to specify transactions that may be conducted by electronic means, transactions that will never be conducted by electronic means, the manner and format used for electronic communications, and the type of electronic signature required if law or rule requires that the electronic records be signed by electronic means.

Definitions
Electronic signature
An electronic sound, symbol, or process, attached to or logically associated with an electronic record and executed or adopted by a person with the intent to sign a record
Digital signature
An electronic signature that can be used to authenticate the identity of the signer through password protection or other process

Digital certificate
A digital signature that uses Public Key Infrastructure (PKI) technology to guarantee signer identity

PKI technology
Basis for digital signature. PKI provides each user with a public key and a private key

Private Key
A value provided by a designated authority to be used by the signer to apply an electronic signature to a record

Public Key
A value provided by a designated authority as a key for others to use to validate the signer’s electronic signature and identity
Unmanned Aircraft Systems (UAS) 
UDOT 01-07
Effective: March 22, 2017 
Revised: New

Purpose
To define the use of Unmanned Aircraft Systems (UAS) for the purposes of conducting Utah Department of Transportation (Department) business.

Policy

UAS Use
- UAS may be used when it provides cost efficiency, improved data quality, or improved personnel safety over an existing method or process. Examples of permitted uses include, but are not limited to, aerial photography, photogrammetry, bridge inspections, geotechnical field investigations, Light Detection and Ranging (LiDAR) applications, public outreach, mapping construction sites and conditions, asset management, asset inspections, traffic monitoring, incident management, disaster response, and training exercise.

- Employees are prohibited from using privately owned UAS for Department business.

- Employees operating agency owned UAS will document compliance with FAA policies, to include airworthiness of the UAS, licensing, training, notifications and acquisition of all waivers and approvals prior to any UAS operation.

- Employees requiring assistance complying with Federal Aviation Association (FAA) policies and Certificate of Waiver or Authorization (COA) process will consult with the UAS Coordinator.

- Aspects of this policy will not be construed as to restrict the safe, rapid deployment of an agency owned or contracted UAS in response to an emergency or exigent situation to protect life and limb, critical transportation infrastructure, or the environment.

- Employees and UAS service providers are required to follow the UAS Procedures.

UAS Procurement
- The procurement of a Department owned UAS requires the approval of the Deputy Director or designee.

- Procurement will be in accordance with applicable statutes, rules and Department Procurement policies and procedures.
UAS Contracting Services
- Contracting for UAS services requires the approval of the Deputy Director or designee.

- UAS service providers contracting will be in accordance with Department Consultant Services policies and procedures or Department Procurement policies and procedures based on need.

Operational and Training Requirements
- Employees and UAS service providers operating UAS will meet FAA UAS pilot or operator certification requirements.

- Department owned and UAS service provider flights will be logged and tracked following the UAS Procedures.

- Training for employees involved in UAS operations will be in accordance to the defined training requirements in the UAS Procedures.

Safety Procedures
- Employees and UAS service providers operating an UAS will comply with Department safety policies and FAA safety regulations. Refer to the UAS Procedures.

Protection of Individual Privacy and Personal Information
- UAS operators will limit operations to the specific approved purpose of the project and employ reasonable precautions to avoid capturing images of the public except those that are incidental to the project.

Background
The use of UAS is expanding rapidly, as are the agencies using them. The Federal Aviation Administration has worked to standardize UAS policies and integrate unmanned aircraft into the National Airspace System (NAS). The Department is establishing the policy, roles and responsibilities, and procedures for operating UAS.
Definitions

Certificate of Waiver or Authorization (COA)
An authorization issued by the FAA to grant NAS access for a specific UAS activity. COAs contain requirements the holder must follow. The FAA issues COAs for both public UAS operations and civil UAS operations.

Flight
An individual operation of the UAS from takeoff to landing. Each flight is required to have defined parameters for area of operation, altitudes, flight plan, and length of flight.

Pilot in Command (PIC)
A person who holds a pilot certificate with an UAS rating and has the final authority and responsibility for the operation and safety of an UAS operation conducted under part 107.

Project
A project normally has a specific purpose, timeframe, and defined location. A project may require multiple flights.

Unmanned Aircraft (UA)
The flying portion of the system, flown by a pilot via a ground control system, or autonomously through use of an on-board computer, communication links, and any additional equipment that is necessary for the UA to operate safely.

Unmanned Aircraft System (UAS)
The UA and all the associated support items such as equipment, control station, data links, telemetry, communications, and navigation equipment necessary to operate the unmanned aircraft.

Visual Observer (VO)
A person acting as a member who assists the PIC to see and avoid obstacles.
Responsibility: Deputy Director or Designee

Actions

1. Provide approval or disapproval for all UAS requests
2. Provide updates on UAS use to the Governor and legislature as requested

Responsibility: UAS Committee

3. Coordinate UAS Committee business related to UAS needs
4. Review UAS requests
5. Recommend approval or disapproval of UAS use requests
6. Maintain and update the UAS Procedures
7. Approve UAS Procedures updates

Responsibility: UAS Coordinator

8. Manage all agency owned UAS
9. Coordinate purchases of UAS
10. Coordinate UAS flights
11. Facilitate training as needed
12. Verify proper individual credentials in place prior to flights
13. Review flight plans and compliance with FAA regulations
14. Maintain UAS database of flights, captured data, and equipment
Purpose
To determine the accounting system of the Utah Department of Transportation (Department).

Policy
The Department will use the comprehensive state accounting system established by the Department of Administrative Services Division of Finance (DAS/Finance): FINET.

The Comptroller’s Office will work with the DAS/Finance to make revisions or to develop new policies and procedures relative to State Accounting Policies and Procedures not addressed or allowed for unique Department operations.

Department business systems will work with the Comptroller’s Office to develop or alter any interface to or from FINET.

Background
Utah Code 63A-3-202 grants the director of DAS/Finance the authority to implement a comprehensive state accounting system to be used by all state agencies. Only the director of DAS/Finance may permit the development of a department-specific accounting system.

DAS/Finance established FINET as the statewide accounting system in 1994. FINET has the following capabilities: financial reporting, budgeting, general ledger, purchasing, encumbrances, accounts payable, accounts receivable, project accounting, cost accounting, federal highway billing and reporting, inventory accounting, and fixed asset accounting. The Dunn and Bradstreet time and attendance subsystem which was purchased by the State shortly before the FINET acquisition was integrated with the FINET system. The Department implemented the FINET system one year later because major modifications were required to meet its specialized needs. The Department phased out its Accounts Receivable and Contract Management System (ARCM) and began using the corresponding FINET functionality after the FINET version 3 upgrade in 2007.

The Department currently supports a number of business systems which rely upon the exchange of data between FINET and the business systems. These systems include: Fleet Focus, Operations Management System (OMS), and Electronic Project Management (ePM). The operation and maintenance of each business system is the responsibility of the Department user, agency, or group.
Purpose
To provide general guidelines for when the Utah Department of Transportation (Department) should seek approval to buy land for maintenance stations.

Policy
The Department does not need approval from the Building Board, the Legislature, or the Governor’s Office to purchase land for maintenance stations. The Department will submit the request through the standard budgetary process if the Department requires additional funding to make the land purchase.

The Department will coordinate the location and purchase of the land with the Department of Administrative Services Division of Facilities Construction and Management (DAS/DFCM).

The Department will notify the Governor’s Office of Management and Budget (GOMB) and the Legislative Fiscal Analyst’s Office (LFA) before purchasing land for building maintenance stations.

All Maintenance Station land purchases must go through the Right of Way Division and be coordinated with Central Maintenance.

Background
The Department contacted the GOMB, DAS/DFCM, and the LFA to put current practice into policy. The policy reflects the understanding of all parties.
Purpose
To clarify when the Utah Department of Transportation (Department) needs the oversight of the Department of Administrative Services Division of Facilities Construction and Management (DAS/DFCM) to construct salt sheds and other buildings.

Policy
The Department has authorization to construct buildings costing up to $350,000 without oversight of DAS/DFCM.

Background
The Department has received delegation over the years from DAS/DFCM for small projects. The delegation started at $40,000 and was subsequently increased to $100,000. The Utah State Building Board increased the delegation limit to $250,000 in a meeting on October 16, 2002. On November 28, 2007, the Board increased the delegation limit to $350,000.
Purpose
The purpose of this policy is to implement and maintain a system for controlling expenditures of UDOT grants and projects utilizing State and Federal construction funds. Grant and project accounting involves maintaining accounting records necessary to support grants and other reimbursable program reporting.

Policy
The Department of Transportation will comply with the current State Division of Finance Policies and Procedures for Grant Accounting (FIACCT14-00.00) and Project Accounting (FIACCT15-00.00). The FINET appropriation and budget control processes establish spending controls and authorization levels. They are invoked by the system every time a transaction that expends funds is processed. Authorities for such expenditures will insure compliance with State and Federal laws or regulations.
Purpose
To outline the process of closing State and Federal-aid projects.

Policy
A. The goal of the Comptroller’s Office is to complete the financial closeout of Federal-aid and State projects within one year of the notice of termination of authority. Current utility contracts allow the utility to bill within one year of when the work is completed and post audits are currently more than a year out. Program Development issues the notice of termination of authority upon completion of the project construction phase.

B. The Comptroller’s Office will track and report monthly to Divisions any items pending for project financial closeout. Refer to the post audit policy for consultant and utility relocation contracts.

C. Program Development will de-obligate excess funding at award, with adjustments being made according to the need in the Project Manager’s estimate shown in ePM on the 505 Screen. A review is also made at final voucher, where the project’s funding is balanced to actual costs. When Program Finance receives notice for a budget recovery on a project, when the Project Manager has determined that there is an excess of $250,000 or more, Program Finance will perform a cursory review, and if it is shown to be available, the excess funding will be removed within 90 days.

D. The Comptroller’s Office will send out a quarterly report of state and federal inactive projects. An inactive project is one that has had no cost activity for over 360 days.

Procedures
Detailed procedures for closing projects are included in the Project Accounting continuity file.
Purpose
This policy describes how the Utah Department of Transportation (UDOT) intends to comply with the Utah Code requirement to conduct an internal performance audit.

Policy
UDOT will conduct an internal performance audit annually.

Background
On February 2, 1995, the Utah State Legislature passed House Bill 48 to fund an internal performance audit at UDOT, effective July 1, 1995. The bill was approved on March 10, 1995. The bill allows the department to hire outside consultants to assist in the audits.

The legislature appropriated $129,000 for the audits.

Due to efforts of the Performance Evaluation Quality Improvement Team (PEQIT), no contract audits were performed in fiscal year 04. In fiscal year 05, the budget was permanently reduced to $64,500 per year based on the recommendation of the PEQIT.
Purpose
To establish guidelines for conferences of the Utah Department of Transportation (Department).

Policy
A. Sponsorships: Department employees will not solicit sponsorships from outside sources for conferences and other Department functions. This includes money, food, and other items.

B. Exhibition Booths: The Department may continue to offer booths at conferences but will charge only the cost for the booth.

C. Registration Fees: The Department may continue to charge non-Department attendees reasonable fees to attend Department-sponsored conferences.

D. A representative from the Comptroller’s Office will act as treasurer or financial reviewer for the all major Department conferences.

Background
The Quality Improvement Council (QIC) met on April 5, 2005, and agreed on this policy.
Fixed Asset Control
Effective: October 25, 1985

Purpose
To approve the fixed asset system used by Utah Department of Transportation and to identify the policies and procedures needed to safeguard the assets owned or controlled by the department.

Policy
The Department of Transportation will adopt the current State Division of Finance Policies and Procedures for fixed assets. UDOT will, also, implement the current fixed asset system supported by State Finance.

In addition, each division, office, region, or district will inventory and track all “sensitive property” assigned to it, regardless of cost. Such items will be conspicuously tagged with a UDOT property tag.

Background
The Federal Highway Administration (FHWA) has provided and continues to provide funding for many highway projects. Because some of these funds are used to acquire various assets needed for projects, FHWA has requested that UDOT safeguard all “sensitive property,” regardless of cost.

Definitions
**Fixed assets** are assets that are acquired for use in the operations of the department and are not for resale nor investment purposes. The fixed asset classification includes land, buildings, equipment, furniture, and vehicles; it does not include **infrastructures**. Each asset should have a **useful life of greater than one year and cost $5,000 or more**.

**Fixed asset components and related costs** are as follows: **Components** are grouped assets that cannot function independently. Example (1) Data processing equipment purchased as a **component system** will include all hardware, software, connection components, installation costs, set-up costs, freight, and related expenses which are part of the systems budget. Example (2) **Related costs** of equipment and machinery include freight charges, installation costs, and set-up costs. **Related costs** for land and buildings include title search costs, attorney fees, architect fees, etc.

**Infrastructures** are immovable assets such as bridges, walkways, drainage systems, right-of-ways, and lighting systems. These assets are owned/controlled by the state and local government; however, infrastructures are not recorded in the fixed asset system.

**Sensitive property** is defined as items having popular appeal which are difficult to control. Examples include cameras, video equipment, laptop computers, surveying equipment, etc.
Fixed Asset classifications of equipment, furniture, and vehicles are categorized as follows:

**Non-Rate Reimbursed Equipment**: This includes lab equipment, office equipment, copying equipment, and small tools. The lab equipment referred to here is that which is owned by the Materials Division, Region Material Labs, District Materials Labs, or Project Labs. Lab equipment considered as fixed assets will be identified with a UDOT tag number beginning with code 40, 43, or 44. Office equipment considered a fixed asset will be tagged with UDOT identification code number 50, copying equipment will be tagged with UDOT identification code number 41. For these assets, inventory control is the responsibility of the owner/user in that division, region, or office.

**Rate Reimbursed Equipment**: This group of assets includes vehicles, heavy equipment, construction and engineering equipment, and shop and plant maintenance equipment. These assets will be marked with UDOT identifications numbers beginning with codes 01 through 38, and 45 through 46. The Equipment Operations Manager in the Maintenance Planning Division has department-wide authority and inventory control for these types of assets.

**Data Processing Equipment**: All computer equipment is considered the property of UDOT Information Systems Services (ISS). The ISS management maintains inventory control for all computer equipment in the department. All data processing equipment will be labeled with a UDOT tag number 42.
Responsibility: Procurement

Actions

1. Purchases of accountable fixed assets (cost of $5,000 or more) will be coded with the following capital outlay object codes on the payment voucher when the assets are purchased:

   6600 through 6687 - Data Processing Equipment, Software, and Components

   6700 through 6787 - Equipment, Furniture, and Vehicles

   6800 through 6803 - Buildings

   6900 through 6902 - Land

2. Refer to the current State Division of Finance Policies and Procedures for purchases more than $5,000. See FIACCT 04-05.00.

Responsibility: Fixed Asset Accountant - Comptroller’s Office

3. Use the UDOT identification number to track and maintain records of fixed assets from purchase to surplus to retirement.

4. Refer to current State Division of Finance Policies and Procedures for fixed assets. See FIACCT 18-00.00.

Responsibility: Divisions, Offices, Regions, or Districts (Any organization that purchases or has responsibility for non-rate reimbursed fixed assets or sensitive property)

5. Contact the Fixed Asset Accountant in the Comptroller’s Office for equipment tags and log sheets.

6. Refer to the current State Division of Finance Policies and Procedures for fixed assets. See FIACCT 18-00.01.

7. When equipment is no longer useable and will be sent to State Surplus Property, be sure to advise Fixed Asset Accountant of the asset identification numbers on all equipment costing more than $5,000. See UDOT 02-40 for Surplus Property Policy and Procedures.
Responsibility: Equipment Maintenance Management (Personnel responsible for rate-reimbursed equipment)

8. Provide the Fixed Asset Accountant in the Comptroller’s Office with monthly Equipment Management System (EMS) Added Equipment Reports showing equipment identification numbers.

9. Refer to current State Division of Finance Policies and Procedures for fixed assets. See FIACCT 18-00.01.

10. As equipment becomes exhausted and turned over to State Surplus Property, send lists of asset identification numbers to Fixed Asset Accountant. See UDOT 02-40 for Surplus Property Policy and Procedures.

Responsibility: Information Analyst Supervisor (Personnel responsible for Data Processing Equipment)

11. Provide the Fixed Asset Accountant in the Comptroller’s Office with a listing of data processing identification numbers.

12. Refer to current State Division of Finance Policies and Procedures for fixed assets. See FIACCT 18-00.01.

13. When data processing equipment is no longer useable and will be sent to State Surplus Property, inform Fixed Asset Accountant of the asset identification numbers on all equipment costing more than $5,000. See UDOT 02-40 for Surplus Property Policy and Procedures.

Responsibility: Facilities Maintenance Manager (Personnel responsible for buildings, and land with buildings)

14. At completion of construction, provide information of new facilities or facility improvements (including Risk Management building number) to the Fixed Asset Accountant in the Comptroller’s Office.

15. Refer to the current State Division of Finance Policies and Procedures for fixed assets. See FIACCT 18-00.01.

16. When land or buildings are sold or destroyed, advise Fixed Asset Accountant of the property identification numbers so they can be removed from FI-NET records.
Purpose
To set Department-wide policy for the Utah Department of Transportation (Department) regarding the requirement for employee provided cell phones, allowances for the employee-provided cell phones used for business purposes, and access to the state system.

Policy
The Department will evaluate an employee’s State of Utah business need for cell phone services. No cell phone allowances or services will be provided if the business need cannot be clearly identified. The Department will no longer issue cell phones or appurtenances to employees and will require employees to provide their own cell phones by employing a practice of BYOD (bring your own device). Exceptions to this policy must be approved by the Executive Director or Deputy Director.

Mobile devices represent a risk to agency information security and data protection. When the appropriate security applications and procedures are not applied, they can be a conduit for unauthorized access to the organization’s data and IT infrastructure. This can subsequently lead to costly data leakages and system infection. Installation of DTS approved security software will be required for individuals to access the state system from their personal devices. The Department reserves the right to restrict the use of mobile devices if users do not abide by the policies and procedures outlined herein.

Employee-provided cell phone
A. An eligible employee will receive a monthly taxable allowance to cover the cost of business-related use of an employee provided cell phone. The allowance amount is set by the Executive Director and defined on the Employee-Provided Taxable Cell Phone Allowance Agreement (Adobe Form PLCY-26A).

B. A list of eligible employee titles is kept by the comptroller. Employee’s eligibility is determined by the Region Director or Group Leader. An approved list of employee titles should be updated annually and submitted to the comptroller. (Document PLCY-26C).

C. An employee with a clearly identified business need for cell phone services must fill out the Employee-Provided Taxable Cell Phone Allowance Agreement (Adobe Form PLCY-26A) to receive a monthly taxable allowance for the use of their employee provided cell phone. The agreement must be signed by the employee, supervisor, Administrative
Manager or Finance Manager and the Region Director or Group Leader. A new agreement must be completed if the business need changes or the employee changes positions.

D. The employee is responsible for the purchase of and payment for all cell phone equipment, accessories, and service plans.

E. The employee must retain an active cell phone contract that provides data, talk and text capabilities for as long as the allowance is in place.

F. The allowance will be paid through the payroll process and is considered taxable income. The allowance does not constitute an increase to base pay and will not be included when calculating retirement contributions.

G. An employee’s supervisor may terminate the allowance agreement if the employee is not using the phone for essential functions it was approved for according to policy and the Employee-Provided Cell Phone Allowance Agreement.

H. Any personal information on the cell phone is considered private when an employee receives an allowance for business use of a personal cell phone. However, because personal data is commingled with business data, the personal data may be viewed by a state officer or court in response to a GRAMA request or court action related to the business data as defined by Utah Law.

I. The employee agrees to abide by any applicable security policy or rule issued by the Department or by the Department of Technology Services. Installation of DTS-approved security software will be required for individuals to access the state system from their personal devices.

J. Employees are not allowed to use state-provided cell phones, issued by the Department, upon moving to the BYOD Employee-Provided Cell Phone option, upon termination, or transferring to a position that does not warrant a cell phone.

State-provided cell phone
The Department does not issue cell phones or appurtenances to employees and will require employees to provide their own cell phones. The agency employs a practice of BYOD (bring your own device). Exceptions to issue any state-provided cell phone must be approved in writing by the Executive Director or Deputy Director.

An employee with a clearly identified business need for a cell phone, who receives an exception to be issued a state-provided cell phone, will fill out the State-Provided Cell Phone Agreement (Adobe FormPLCY-26B). The agreement
must be signed by the employee, supervisor, and the Administrative Manager or Finance Manager and the Region Director or Group Leader.

The following will apply for employees that currently have a state-provided cell phone:

A. The Department will not upgrade any phones for employees. In addition all cell phone accessories, not provided in the original packaging, except screen protector and case, must be purchased by the employee.

B. Employees will read, understand, and comply with Administrative Rule R895-7, Acceptable Use of Information Technology Resources. Failure to abide by these rules puts employees and the Department at risk. The rule only permits “incidental and occasional personal use of IT resources” and should not be abused.

C. Employees will return state-provided cell phones to the Department upon moving to the Employee-Provided Cell Phone allowance, upon termination, or transferring to a position that does not warrant a cell phone.

D. An employee’s supervisor may require an employee to return a state-provided cell phone at any time, for any reason.

E. An employee with a state-provided cell phone is responsible to reimburse the Department for any additional charges beyond the standard monthly fee, unless the charges are work-related and approved by the employee’s supervisor. This includes but is not limited to international service fees, texting and messaging fees, and overage fees.

Forms, Document, and Rule (for Reference)
Employee-Provided Taxable Cell Phone Allowance Agreement (PLCY-26A)
State-Provided Cell Phone Agreement (PLCY-26B)
Approved List of Employee Titles (PLCY-26C)
Acceptable Use of Information Technology Resources (Admin Rule R895-7)
Procedures
Employee-provided cell phone

Responsibility: Region Director/Group Leader

Actions

1. Identify business needs for cell phone service and prepare the list of eligible employee titles.

2. Submit updated approved employee title (PLCY-26C) list to Comptroller’s Office annually.

Responsibility: Employees, Supervisors, Administrative Manager/Finance Manager and the Region Director/Group Leader

3. Complete the Employee-Provided Taxable Cell Phone Allowance Agreement (PLCY-26A).

4. Provide a copy to the Comptroller’s Office Payroll Coordinator.

Responsibility: Comptroller’s Office/Payroll Coordinator

5. Verify with the appropriate Administrative Manager / Financial Manager that the employee does not have a State-provided cell phone.

6. Enter the recurring allowance in the State payroll system.

Responsibility: Employees

7. Purchase and pay for all necessary equipment, accessories, and service plans to maintain cell phone service level with data, talk and text capabilities.

Responsibility: Employees/Supervisors

8. Complete a new agreement if the employee changes positions.
Responsibility: Administrative Manager/Financial Manager

Actions

1. Obtain and maintain copy of exception authorization for a state-issued device in a file.
2. Maintain the completed State-Provided Cell Phone Agreement (PLCY-26B) in a file.
3. Periodically review services plans and pools to guarantee the best use of State funds.
4. Review monthly bills, and provide detail to employees and Group/Region leaders as needed.

Responsibility: Accounts Payable/Accountants

5. Pay monthly invoices via FINET or a p-card, and allocate costs as necessary.

Responsibility: Employees with State-provided cell phones

6. Reimburse UDOT for any personal use that increases the cost of service.
7. Return the cell phone to the supervisor upon moving to BYOD allowance, termination, transfer to a position that does not require a cell phone, transfer to a different Group or Region, or request by the supervisor for return of the phone.
Purpose
To ensure accountability and consistency in financial reporting, this policy clarifies how costs for Region and District Office building operation should be allocated. This policy also clarifies how to share, between Operations and Region Administration, the budgetary impact of not receiving increases in budgets for administrative expenses.

Policy
A. Region and District Office building expenses and related costs will be allocated between region Administration and Operations. The allocation will be based on the ration of FTE (full-time equivalent employees) in the building that are assigned to Operations and Administration.

B. Salaries for District Engineers should be budgeted with Administration.

Definitions
FTE: This is the budgetary equivalent of one full-time position filled for one year.
Purpose
To provide general guidelines for allocating full-time equivalent employees (FTE) in the Utah Department of Transportation (Department).

Policy
A. Every vacancy should be reviewed before it is filled to determine if the duties can be reassigned and if there is a better use for that FTE in the agency or Department.

B. The Deputy Director and the Senior Leader who is giving up the position will consult with the Comptroller’s Office Budget Office to determine the amount of funding that will accompany the position if it is decided that the FTE should be given to the Department-wide FTE pool.

C. A work program change will be made and the sending organization’s budget and FTE allocation will be reduced after the position and funding are determined. Work program changes will be made under the direction of the Comptroller’s Office Budget Manager.

D. The Deputy Director and that Senior Leader will consult with the Comptroller’s Office Budget Office to determine how much funding will accompany the position when a Senior Leader receives an FTE from the pool.

E. The Comptroller’s Office Budget Manager will explain and discuss implications of the funding with the Senior Leader if the position crosses line items.

Definitions
FTE: The budgetary equivalent of one full-time position filled for one year.
Personnel Expenses
Effective: July 1, 2008

Purpose
To establish guidelines for the coding of personnel expenses of the Utah Department of Transportation (Department).

Policy
A. All personnel expenses will be charged to the Unit to which the employee is assigned.

B. The Comptroller’s Office will work with the relevant areas or groups to devise a coding block to track labor when a more complete accounting or tracking of employees’ time is necessary or appropriate. Such a coding block will not charge labor to a Unit other than that to which the employee is assigned.

Background
Labor costs for every employee should be budgeted and accounted for in the Unit field of the FINET accounting block.

The FINET coding block allows personnel expense to be reported in various ways. It is possible to prepare management and other reports that include the cost of labor and still allow for personnel services to be managed and budgeted at the Unit level where the Legislature appropriates the funds.
Purpose
   To ensure accountability and consistency in financial reporting, this policy identifies how to develop the labor rate and how to apply it to project costs.

Policy
   Employees do not charge leave time (compensated absences) to projects. In order to charge projects an appropriate amount for compensated absences (sick leave, vacation, holidays, and administrative leave), a labor rate additive is developed. This rate is approved by the Federal Highway Administration (FHWA) and is a fixed percent added to labor charges on projects.

Background
   Compensated absences are part of the cost of labor. In the attempt to fairly add this cost to projects, it was determined that a labor rate additive should be added to the actual labor charged to projects. The labor rate additive is included as an eligible cost for FHWA reimbursement.
**Procedures**

**Labor Rate Additive**

**UDOT 02-33.1**

**Responsibility:** Cost Accountant

**Actions**

1. At the end of the year, determine the labor rate that will be applied to the following year by dividing the total paid leave amount by the direct labor amount.

**Responsibility:** State Finance

2. Set the labor rate in FINET.

3. As payrolls are processed, apply the rate to direct labor. The additive shows in object 9901 on project accounting.
Purpose
This policy establishes reasoning to address questions that may arise in the future regarding why the Department does not maintain a formal cost allocation plan to allocate overhead expenses to projects.

Policy
The Department of Transportation (UDOT) will not perform cost allocation and charge overhead to projects.

Background
During the 1990s, the decision was made not to allocate overhead to projects. In conducting research to understand the decision, we have determined the following:

- Federal funds are a fixed amount and do not increase if overhead is allocated to a Federal project.
- The Department is using State funds in addition to Federal funds for projects; thus, there is no advantage to charging overhead to Federal projects.
- Overhead costs are budgeted and paid as part of the base budget.
- Charging overhead to projects would require an additional set of books or would require base budgets to be reduced and to include revenue for overhead.
- This process creates challenges in the budgeting process because one does not know how much overhead will be recovered each year from projects and what the source of revenue will be.
- By not charging overhead, the budgeting process is much simpler and easier to control and monitor.
- Overhead costs are immaterial in relationship to the total cost of a project.

Local Government projects are not charged overhead for the reasons listed above, as well as to show the Department’s willingness to create a partnership with the locals and help them put as much funding as possible into their communities.
Purpose
The purpose of this policy is to provide an overview of the procedures used by UDOT to dispose of surplus assets.

Policy
The Department of Transportation is required by Utah Law to comply with the policies and procedures for surplus property established by the Utah State Division of Surplus Properties. In addition, the department will follow the procedures in this section to ensure that surplus assets are properly accounted for and efficiently transferred to the Division of Surplus Properties.

Background
Surplus assets fall into five groupings: rate reimbursed equipment, non-rate reimbursed equipment, data processing equipment, surplus inventory, or scrap metal. The responsibility for processing and transferring these assets to State Surplus Properties is shared between the asset custodian and the surplus properties coordinator.

Definitions
Non-Rate Reimbursed Equipment: This includes lab equipment, office equipment, copying equipment, and small tools. The lab equipment referred to here is that which is owned by the Materials Division, Region Material Labs, District Materials Labs, or Project Labs, refer to UDOT 02-42. The office equipment, copying equipment, and other small tools not defined in the other groups are the responsibility of the owner/user in that division, region, or office, refer to UDOT 02-41.

Rate Reimbursed Equipment: This group of assets includes vehicles, heavy equipment, construction and engineering equipment, and shop and plant maintenance equipment. These assets are marked with UDOT identification numbers beginning with codes 01 through 38, and 45 through 46. The Equipment Operations Manager in the Maintenance Planning Division has department-wide authority for this type of asset and oversees all phases of the surplus process. For further information, refer to UDOT 02-43.

Data Processing Equipment: All computer equipment is considered the property of UDOT Information Systems Services (ISS). The ISS Administrative Manager maintains inventory control for all computer equipment in the Department. For detailed information, refer to UDOT 02-44.

Fixed Assets: Includes land, buildings, equipment, furniture, and vehicles having a useful life of greater than one year and costing $5,000 or more. Refer to UDOT 02-25.
**Surplus Material:** All inventory materials in the warehouse are the responsibility of the UDOT Procurement Office. The Inventory Control Supervisor identifies surplus inventory materials, prepares the Surplus Property Form (SP-1), arranges for moving and storage, and coordinates pickup/delivery with Division of Surplus Properties. For more information, refer to **UDOT 02-45**.

**Scrap Metal:** Scrap metal is collected by the regions, districts, and the central shops and is sold to local dealers. An annual summary of these activities is prepared for each region or shop and sent to the Surplus Property Coordinator. For details, refer to **UDOT 02-46**.
Purpose
To establish procedures for the handling of surplus assets which are classified as non-rate reimbursed equipment. This type of equipment includes office equipment, copying equipment, and other small equipment or tools not defined in other groups. The responsibility for processing and transferring these assets to State Surplus Properties is shared between the asset custodian and the Surplus Properties Coordinator.

Policy
The responsible manager within the Regions, Districts, or Complex will determine if equipment is excess or unusable. All equipment determined to be excess will be reported to the Surplus Properties Coordinator, in the Comptroller’s Office. The Surplus Properties Coordinator will advertise (see UDOT 02-47) and make the final determination of all surplus items.
Procedures
Surplus Property - Non-rate Reimbursed Equipment

Responsibility: Responsible Manager

Actions
1. Determine if equipment is not usable or no longer needed.
2. Contact Region Support Services Manager or Division Coordinator and notify of the surplus assets.

Responsibility: Region Support Services Manager or Division Coordinator

3. Fill out Transfer of Material and Equipment Form (R-20), and forward to department Surplus Properties Coordinator.
4. Coordinate moving, storing, and delivery or pick-up with the department Surplus Properties Coordinator.

Responsibility: Department Surplus Properties Coordinator

5. Receive R-20 and review. If asset may have additional usage/life, advertise within the department (see UDOT 02-47) and attempt to transfer usable items to another division or region.
6. If the asset is not needed or unusable, complete Surplus Property Form (SP-1). On SP-1, include asset condition so State Surplus Properties can determine if the item should be destroyed rather than incurring the cost of pick up. Distribute a copy to signer on R-20.
7. If temporary storage is required, send a copy to the Central Shops Manager. Send top three form copies to State Surplus Property, and file the fourth form copy.

Responsibility: Central Shops Manager/Region Warehouse Manager

8. Receive copy of SP-1 and arrange for temporary storage of equipment until State Surplus Property can pick up the equipment.

Responsibility: State Surplus Property

9. Receive SP-1, arrange for pick up of assets. If asset is “junk” and is to be destroyed, complete and forward a Surplus Property Disposal Authorization (SP-3) to the department.
Responsibility: Department Surplus Property Coordinator

10. Coordinate the pick-up or delivery of surplus assets with State Surplus Properties and the asset custodian.

11. If form SP-3 is received from State Surplus Properties, arrange for destruction of equipment. Have appropriate Region or Division complete and sign the SP-3 form and return it to State Surplus Properties.

12. Complete the procedures for fixed asset disposition outlined in FIACCT18-03.00.
Purpose
To establish procedures for the handling of surplus assets which are classified as non-rate reimbursed lab equipment. This type of lab equipment includes equipment owned by any of the Region, District, or Central Material Labs or any of the Project Labs.

Policy
The responsible manager/engineer within the Regions, Districts, or Complex will determine if equipment is excess or unusable. The Central Materials Equipment Certification Manager will approve disposal of such equipment, and the department Surplus Property Coordinator will arrange for the transfer to State Surplus Properties.
**Procedures**  
*Surplus Property - Non-Rate Reimbursed Lab Equip.*  
**UDOT 02-42.1***

**Responsibility:** Project Engineer, Region, District, or Central Materials Engineer

**Actions**

1. Determine if equipment is not working or no longer needed. Send a signed Transfer of Material and Equipment Form (R-20) to Central Materials Equipment Certification. Make arrangement for transfer of equipment.

**Responsibility:** Central Materials Equipment Certification

2. Determine if equipment can be repaired and recertified, or if it must be property surveyed.

3. If reusable with cost effective repairs, schedule repair and recertify equipment. Then return or reassign.

4. If unusable, prepare Transfer of Material and Equipment Form (R-20) for property survey of equipment and forward to the Central Materials Equipment Certification Manager.

5. Notify Project Engineer, Region, District, or Central Materials Engineer of the disposition of equipment.

**Responsibility:** Central Materials Certification Manager

6. Complete and sign R-20 form for disposal of unusable equipment. Forward form to the department Surplus Properties Coordinator.

**Responsibility:** Department Surplus Properties Coordinator

7. Receive R-20, complete Surplus Property Form (SP-1), distribute a copy to signer on R-20, send a copy to the Central Shops Manager if temporary storage is required, send top three form copies to State Surplus Property, and file the fourth form copy.

**Responsibility:** Central Shops Manager

8. Receive copy of SP-1 and arrange for temporary storage of equipment until it can be picked up by State Surplus Property.
**Responsibility:** State Surplus Property

9. Receive SP-1 and arrange for pick up of assets. If assets are “junk,” complete a Surplus Property Disposal Authorization (SP-3) and forward it to the department.

**Responsibility:** Department Surplus Properties Coordinator

10. Coordinate the pick-up or delivery of surplus assets with State Surplus Properties and the asset custodian.

11. If form SP-3 is received from State Surplus Properties, arrange for destruction of equipment. Have appropriate Region, District, or Complex complete SP-3 form and return it to State Surplus Properties.

12. Complete the procedures for fixed asset disposition outlined in **FIACCT 18-03.00**.
Purpose
To establish the procedures for the handling of surplus rate reimbursed equipment. This group of assets includes vehicles, heavy equipment, construction and engineering equipment, and shop and plant maintenance equipment. These assets are identified by UDOT ID numbers beginning with codes 01 through 38, and 45 through 46.

Policy
The responsible manager within the Regions, Districts, or Complex will determine if equipment is excess, trade-in, or unusable. All equipment determined to be excess will be reported to the Equipment Operations Manager in the Maintenance Planning Division. The Equipment Operations Manager has department-wide authority for this equipment, will make the final determination of all surplus rate reimbursed items, and oversee all phases of the surplus process for rate reimbursed equipment.
Procedures
Surplus Property - Rate Reimbursed Equipment

Responsibility: Responsible Manager

Actions

1. Determine if equipment is not working, is no longer needed, or is available for trade-in.

Responsibility: Region/District Equipment Coordinator

2. Transfer the equipment and completed Transfer of Material and Equipment Form (R-20) to Equipment Operations Manager.

Responsibility: Equipment Operations Manager

3. Receive R-20 and equipment and determine if equipment is usable in another department location.

4. If the equipment is not usable or needed in the department, complete Surplus Property Form (SP-1) and send to State Surplus Property.

5. Send a copy of the SP-1 to the department Fixed Asset Accountant.


Responsibility: State Surplus Property


Responsibility: Equipment Operations Manager

Responsibility: Fixed Asset Accountant

9. Receive SP-1 from equipment operations. Complete the procedures for fixed asset disposition outlined in FIAACCT 18-03.00.
Purpose
To establish the procedures for the handling of surplus Data Processing Equipment.

Policy
The Technical Support Specialists within the Regions will determine the useability of data processing equipment. All equipment determined to be unusable or not needed will be returned to Information Systems Services (ISS) at the Complex. The ISS Administrative Services Manager is responsible for the final determination of all surplus items.

Background
ISS owns and maintains the data processing equipment throughout the department; therefore, these units are not advertised. All requests for disposal or replacement must be requested through the Information Analyst Supervisor who is responsible for all data processing equipment. The Information Analyst Supervisor will arrange maintenance or surplus of the equipment.
**Procedures**

**Surplus Property - Data Processing Equipment**

**Responsibility:** Region Technical Support Specialist

**Actions**

1. Determine if data processing equipment is not working or no longer needed.

2. Contact ISS Information Analyst Supervisor and make arrangements to send data processing components to the central Complex.

**Responsibility:** ISS Information Analyst Supervisor

3. Receive data processing equipment and determine if it can be used in another location.

4. If the asset is no longer needed, complete Transfer of Material and Equipment Form (R-20) and forward to the department Surplus Properties Coordinator.

**Responsibility:** Department Surplus Properties Coordinator

5. Receive R-20, complete Surplus Property Form (SP-1), forward three copies to State Surplus Property, and file the fourth form copy.

6. If needed, contact Central Shops Manager and arrange for moving and storage.

**Responsibility:** Central Shops Manager

7. Receive copy of SP-1 and arrange for temporary storage of equipment until State Surplus Property can pick up the equipment.

**Responsibility:** State Surplus Property

8. Receive SP-1 form and contact department Surplus Properties Coordinator to set up a pick-up or delivery date.
Responsibility: Department Surplus Properties Coordinator

9. Coordinate the pick-up of surplus assets with State Surplus Properties and the asset custodian.

10. If Surplus Property Disposal Authorization Form (SP-3) is received from State Surplus Properties, arrange for destruction of equipment. Have appropriate personnel complete SP-3 form and return it to State Surplus Properties.

11. Complete the procedures for fixed asset disposition outlined in FIA CCT 18-03.00.
Purpose
To establish policy and procedure for uniform handling of surplus materials. This includes all inventory materials stocked in the Central Warehouse, Region, or District Warehouses. These materials are the responsibility of the UDOT Procurement Office.

Policy
Obsolete and low turnover stock items will be identified on the report titled “Last Activity.” The Inventory Management Supervisor will make the final determination of all surplus items.

Background
Inventory Management identifies low turnover and obsolete stock items. For returning and transferring instructions of non-active and obsolete items, refer to FIACCT 08-08.00. All inventory materials declared as surplus are the responsibility of the Inventory Management Supervisor.
Procedures
Surplus Property - Surplus Materials

Responsibility: Region, District, or Central Warehouse

Actions

1. Fill out a Property Survey Form listing any items classified as surplus/obsolete at the warehouses within your range of responsibility, and submit to the Inventory Management Supervisor.

Responsibility: Inventory Management Supervisor

2. Following Inventory Procedure FIACCT 08-08.00, prepare an Over the Counter (DE) Form and a Surplus Property (SP-1) Form. Distribute copies to appropriate personnel and to the Division of Surplus Property. Note: Use a separate SP-1 for items that are damaged or unrecoverable.

3. Coordinate with the Region, District, and Central Warehouse personnel for the delivery of surplus/obsolete materials to State Surplus Properties.

Responsibility: State Surplus Property

4. Receive surplus materials and copy of SP-1. If assets are damaged or unrecoverable, complete and forward a Surplus Property Disposal Authorization (SP-3) to Inventory Management Supervisor.

Responsibility: Inventory Management Supervisor

5. The following accounting code should be used for the disposal of surplus/obsolete inventory materials.

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<tbody>
<tr>
<td>280</td>
<td>810</td>
<td>8890</td>
<td>XYC</td>
<td>7SUR</td>
<td>7356</td>
</tr>
</tbody>
</table>

6. Enter adjusting inventory transactions required for surplus/sold materials on FI-NET.
Purpose
To establish policy and procedure for uniform handling of scrap metal collection. Scrap metals accumulated by the regions, districts, and the central shops is treated as surplus property and sold to local dealers.

Policy
Department employees will collect and stockpile all scrap metal at various locations within Regions/Complex. Sale of scrap metal will be authorized by an appropriate supervisor on an as-needed basis. All sales will be reported by submitting the weigh ticket and the funds collected to the Region Support Services Managers or the Procurement Supervisor at the Complex. The information from the sale will be entered on the Scrap Metal Sales Log. A copy of this log will be sent to the Fixed Asset Accountant in the Comptroller's Office at fiscal year end.

Background
Department forces collect and sell scrap metal on an on-going basis. The scrap metal is collected by the Regions/Districts and Divisions and sold to various vendors throughout the state. The scrap metal is either delivered to or picked up by vendors. Money is collected in check or cash, receipted in the Region/District or Division offices, and deposited to the bank link as revenue.
**Procedures**  
Surplus Property - Scrap Metal  
UDOT 02-46.1

**Responsibility:** Department Employees

**Actions**

1. Collect scrap metal and stockpile at locations designated by appropriate supervisor.

   **Responsibility:** Shed Foreman

2. Contact scrap metal dealer and make arrangements for dealer to pick up the scrap metal stockpile, or assign employees to load and deliver scrap metal to dealer.

   **Responsibility:** Scrap Metal Dealer

3. Weigh metal, issue weigh ticket, and make payment.

   **Responsibility:** Shed Foreman

4. Receive weigh ticket and funds. Forward weigh ticket and funds to Region Office or Comptroller’s Office at Complex.

   **Responsibility:** Region Office or Comptroller’s Office at Complex

5. Receive funds and handle as Cash Receipts.


7. Send a copy of the Scrap Metal Log to the Fixed Asset Accountant in the Comptroller’s Office annually, at fiscal year end.

   **Responsibility:** Fixed Asset Accountant

8. At year end, receive all copies of the Scrap Metal Logs, prepare Surplus Property Form (SP-1), and send to State Surplus Property.
Purpose
To define the policy and procedures for the most effective disposal or placement of office furniture and equipment no longer needed by a division, office, region, or district.

Policy
The department Surplus Properties Coordinator shall advertise “useable” office furniture and equipment (not including rate reimbursed equipment, see UDOT 02-43) within the department to determine if the item can be used by another division, office, region, or district. Such advertisements shall expressly state that the items advertised are for department use only and are not for sale or personal use. If there is no response, the item will be scheduled for transfer to the Utah State Division of Surplus Properties.
Procedures
Surplus Property - Advertising

Please refer to department policy, UDOT 02-41, for procedures defining responsibilities and actions once an asset is no longer needed in a work area.

Responsibility:  Department Surplus Properties Coordinator

Actions

1. To advertise, see UDOT 02-41.1 item 5. It is recommended that the computer E-Mail system be used to maximize coverage.

2. The department Surplus Properties Coordinator “SHALL NOT ADVERTISE OR OFFER FOR SALE ANY SURPLUS OFFICE FURNITURE OR EQUIPMENT TO ANY UDOT EMPLOYEE.”

Note: State Law requires that all surplus property must be transferred to the State Division of Surplus Properties (DSP). It is expressly understood that the department Surplus Properties Coordinator has no authority to sell surplus property or negotiate for the Division of Surplus Properties. Interested parties may request a copy of a Surplus Properties Form (SP-1) from the department Surplus Properties Coordinator. However, the prospective buyer should then submit their offer, along with a no-conflict statement from their division director, to the Division of Surplus Properties. The buyer must transact all business with DSP.
Subsistence and Travel Allowances

Effective: July 1, 1997

Purpose
The purpose of this policy is to establish the procedure in which Utah Department of Transportation (UDOT) employees receive subsistence and travel allowances. Subsistence allowances will be provided when an assignment temporarily alters an employee’s reporting station from his/her permanent headquarters or home base station.

Policy
The Utah Department of Transportation has implemented the State of Utah Policies and Procedures for Travel (FIACCT 10-00.00) except for the special rules implemented in this section. Subsistence and travel allowances for special circumstances shall be approved by the Department of Transportation Director or his authorized representatives.

Travel assignments will be classified as short-term or long-term by the District Director, Division Head and/or Designee. Reimbursement for subsistence, travel and per diem shall be determined based upon the assignment classification.

Definitions
Assignment is a temporary change in an employee’s reporting station from the permanently appointed headquarters or home base station. To be eligible as an assignment, this change must exceed 30 miles and must increase the employee’s distance for commuting from his/her residence.

Short-Term Classification is an assignment away from the employee’s home base for less than 90 days. Meals and lodging subsistence will be based on the current state rates issued by the Division of Finance. Refer to FIACCT 10-02.04 and FIACCT 10-02.05.

Long-Term Classification is an assignment away from the employee’s home base for longer than 90 days. The 90 days include travel to and from home on weekends. Meals and lodging subsistence will be based on one of three options. Refer to UDOT 02-50.1 Action 3.

Commuting is travel in a state vehicle between the employee’s home and place of work more than four times a month. Commuting includes driving from an employee’s office or principal place of assignment to a location closer to the employee’s home. Commuting is considered personal use of a vehicle even if it is required by the employer. The commute use of a state vehicle should not be used for providing a fringe benefit to employees. Refer to FIACCT 10-01.00.
New Permanent Work Location is an assignment change where the distance between the employee’s old residence and new job site increases at least 50 miles over the distance between the old residence and the old job site. An employee assigned to a new permanent work location may be eligible for relocation assistance. If an employee receives relocation assistance, he/she must remain in UDOT employment for at least one year following the relocation. Refer to Fiacct 05-04.03.

Review Board shall be composed of the Engineer for Construction, the Engineer for Maintenance, and the Comptroller.

Special Circumstance is a long-term assignment which creates a personal hardship on an employee. The affected employee may petition for financial relief by submitting a letter of explanation and justification to the District Director for assessment by the Review Board. If the Review Board approves, they will recommend their decision to the Director for approval.

Subsistence Allowance is a provision of meals, lodging, and travel reimbursement to an employee who is given a temporary assignment away from his permanent headquarters and is in a place other than where he is maintaining a permanent home for himself or his family. Subsistence allowance will be determined by the department on a short-term or long-term basis.

Work Location is an employee’s assigned headquarters. Each employee will report to his/her assigned work location on their own time and in their own vehicle. Commuting to work in a state-owned vehicle is considered personal use of that vehicle and is considered a taxable fringe benefit. Refer to Fiacct 10-01.02.
Responsibility: District Director, Division Head, or Designee

Actions

1. When making employee assignments, classify as short term or long term. If the assignment is long term, determine which subsistence allowance option the employee prefers.

2. If assignment is less than 90 days, the employee qualifies for short-term.

   **Short-term basis:** Follow standard state travel rules for lodging and meals. Lodging receipts required. Refer to [FIACCT 10-02.05 and 10-02.06](#).

3. If assignment is more than 90 days, then the following long-term options apply.

   **Long-term basis:**
   - **First 30 days** - Follow standard state travel rules for lodging and meals. Lodging receipts required.
   - **Option 1:** *After 30 days* - $25 per day for lodging and $26 per day for meals. No receipts required.
   - **Option 2:** *After 30 days* - $100 per week for lodging and $26 per day for meals. If authorized and the employee is obligated to pay for lodging by the week or by the month, the $100 is intended to cover lodging for holidays, sick leave, and other approved leave.
   - **Option 3 Special Circumstances:** *After 30 days* - Receive and review employee letters. Submit letters and any recommendations to the Review Board. The board may recommend an equitable financial arrangement which does not exceed the standard short-term rates. The board should submit their recommendation to the Director for approval.

Responsibility: Employee

4. **Receipts and Documentation:** Maintain logs of vehicle usage, retain lodging receipts, and incidental receipts. Refer to [FIACCT 10-00.00, 10-02.05, and 10-02.06](#). Submit required receipts with FI-51A Travel Reimbursement Request form.
5. **Special Circumstances:** Initiate a letter of explanation and justification to the District Director requesting a hearing by the Review Board. If approved, submit copy of approval to district headquarters. If equitable arrangements involve lodging lease or contract, submit copy to district headquarters for record retention for duration of assignment. Submit FI-51A Travel Reimbursement Request forms.

6. **Lease for Long-Term Lodging:** Submit copy of lease agreement to district headquarters for record retention for duration of assignment. Submit FI-51A Travel Reimbursement Request forms noting Long-Term classification.
**Purpose**

To establish the mileage rate at which an employee of the Utah Department of Transportation (Department) will be reimbursed when using his or her own personal vehicle for State business.

**Policy**

The Department encourages employees to use fleet vehicles whenever practical. Travelers may use private vehicles with approval from the Executive Director or designee. The employee must have an active auto insurance policy which will be the primary policy covering any claim that may result from an accident while driving a personal vehicle for Department business.

The Department will reimburse private vehicle use at the rates listed in the Utah Administrative Code (UAC) R25-7-10 and Department of Administrative Services Division of Finance (DAS/Finance) policy FIACCT 10-02.06 (Private Vehicle – High, Private Vehicle – Low, and Private Motorcycle).

The following Department-specific clarifications apply:

1. Commission members will be reimbursed at the Private Vehicle – High rate since fleet vehicles are not readily available to them.

2. Trips to and from airports when an employee is departing on a flight will be reimbursed at the Private Vehicle – High rate. It is to the State’s benefit to have a personal vehicle used rather than have a state vehicle left in the airport parking for extended periods.

**Background**

DAS/Finance issued UAC R25-7, effective August 15, 2000, relating to the payment of travel-related reimbursements to state employees. UAC R25-7-10(3)(b) sets the maximum reimbursement rates, and UAC R25-7-10(3)(c) permits agencies to establish more restrictive rates. The Department has elected to use the same rates in the Rule.

**Definitions**

- **Commission Member**
  An appointed member of a board, particularly the Transportation Commission and the Utah Passenger Ropeway Safety Committee (formerly TRAMWAY).

- **Fleet Vehicle**
  A vehicle owned by State Fleet or the Department.

- **Personal Vehicle**
  A vehicle owned by an employee or a private individual. It does not reside in the Department motor pool.
Purpose

To establish the requirements under which an employee of the Utah Department of Transportation (Department) will be issued an advance when traveling on State business.

Policy

Effective July 1, 2004, State Finance policy FIACCT 10-02.01, Travel Advances, has been modified to clarify the allowable advance amounts for lodging and to increase state credit card usage by travelers.

The new restrictions are considerably different than previously established at the Department. The following rules apply:

1. Employees who travel three or more times a year will be issued a travel credit card.
2. Employees with State issued credit cards will no longer qualify for cash advances.
3. Employees who travel fewer than three times in a year on State business will not be required to have a State issued credit card. These employees will qualify for cash advances.
4. Only 90 percent of all anticipated costs are to be advanced. The 90 percent rule previously applied only to anticipated meals and incidental costs now include lodging cost.
5. An agency Director or his designee may issue a written exception to item #1 above.
6. No cash advance is allowed for car rental on a State trip. Car rental companies will not accept cash deposits or payments.

Department policy encourages the use of the travel card. Some employees may elect not to apply for the card for personal reasons. According to item #5 above, Department management will issue a written exception that will apply to employees who are on Department payroll as of July 1, 2004 and who request an exemption to not apply for a travel card from their Region or Group Leader. This letter of exception will be sent to State Finance and maintained in Department administrative offices where it will be available as a reference during audits.
Future exceptions will be considered on an individual basis for employees with hire dates after July 1, 2004. Written request for exemption will be submitted for consideration to the Department Deputy Director.

**Background**

Effective July 1, 2004, Department of Administrative Services through State Finance issued an amendment to FIACCT 10-02.01, Travel – Advances, relating to the issuance of travel advances to State employees. The revised policy states that an employee traveling three or more times a year is not eligible for a cash advance although the State credit card is not mandatory. These changes affect all State travelers.

State Finance cites several reasons for the changes:

1. Industry practice for hotels/motels and restaurants has changed. Hotels/motels require a corporate credit card to secure a room deposit. Restaurants accept credit cards.

2. Checking accounts have been established for agency advance funds. This necessitates administrative oversight and clerical responsibilities to continually replenish and reconcile the accounts.

3. Finance audits have identified some employees receiving advances for lodging costs and then paying for their rooms with either the State card or their own personal credit card.

**Definitions**

State or corporate credit card: A card issued by the State of Utah under agreement with a major credit card company. The card is intended for use whenever a State employee travels in or out of state.

Letter of exception: A written statement issued by an agency director to clearly state the circumstances under which a certain policy may not apply to one employee or an entire group of employees.

Finance audits: The process performed by State Finance after travel vouchers are prepared and entered on the financial system. This ensures that State policies and procedures are enforced at the agencies.

Purpose
To ensure accountability and consistency in financial reporting, this policy defines how to code construction projects in the Transportation Fund construction line item.

Policy
Construction costs will be recorded to the units described below:

A. Capital Payments:
   1. Construction Contractor: 2800 7005 XEC 6961/6965 XXXXX 06K
   2. Consultants: 2800 7005 XEC 6861/6965 XXXXX 15D or XXXXX 13C or XXXXX 25N
   3. Utility Relocations: 2800 7005 XEC 6816 XXXXX 10U
   4. Right of Way Expenditures: Appraisals, Moving Expenses, Utilities, Acquisitions, Attorney’s Fees (Condemnation), and Taxes (See Right of Way Guide for Account Coding)

B. Operating and Local Government Payments:
   1. Construction Contractor: 2800 7201 XED 6961-6965 XXXXX 06K
   2. Consultants: 2800 7201 XED 6861/6965 XXXXX 15D or XXXXX 13C or XXXXX 25N
   3. Utility Relocations: 2800 7201 XED 6816 XXXXX 10U

C. Contractual Maintenance Payments:
   1. Code 1 Project: 2800 7203 XED 6135/6965 XXXXX 06K
   2. Other Projects: 2800 ???? ??? 6135/6965 XXXXX 06K (???? ??? = Maintenance Unit and Appropriation Unit of Region where the project is located.)
   3. Consultants: 2800 7203 XED 6861/6965 XXXXX 15D or XXXXX 13C or XXXXX 25N
   4. Utility Relocations: 2800 7203 XED 6816 XXXXX 10U

D. Miscellaneous Construction (must include a project number):
   1. 2800 7009 XEC
   2. Object Codes:
      - 6135 – Contract Services (Region Transfers)
      - 6137 – Professional Services
      - 6138 – Attorney Fees (Non-Condemnation)
      - 6139 – Mat Lab Testing
      - 6216 – Road Materials
      - 6218 – Traffic Signs & Signals
      - 6967 – OCIP
      - 6968 – Traffic Management Systems
• 7601 – Pass Through Other
• 6969 – Fiber Optics
• 6961 – Centennial Fund Transfers

*XXXXX = Program Number

Background

In the past, each type of payment has had its own unit number, as well as its own object code number. In FY 2007, UDOT decided to decrease the number of units. This eases the reporting requirement for GASB 34. For instance, unit 7005 is used only on programs that are considered capital (see GASB 34 for definition of capital programs). Unit 7201 is used only for programs that are operating programs and local government programs, and unit 7203 is used only for maintenance programs, improvements, additions and expensed costs.

Costs are capitalized when they:
1. Increase the carrying capacity of the highway system, i.e., lanes are added or road weight capacity is increased.
2. Remove and replace the road base.
3. Provide major rehabilitation for structures including replacing the beams, deck, and substructure or replacing the entire bridge.
Purpose
This policy defines the use of program and phase numbers for incidental costs incurred after a program has been closed.

Policy
A. The following program and phase numbers have been established to use with post-closure costs:

5RWPC 05E – Incidental Right of Way costs related to non-revenue generating parcels. (Refer to Right of Way Guide for Account Coding)

5FEDR 05E – Right of Way costs related to revenue-generating parcels originally acquired on Federal-aid program. (Refer to Right of Way Guide for Account Coding)

5AFED 02A – Post audit labor charges from Internal Audit.

7STAT 03C – Other incidental costs incurred after program closure and not related to labor or right of way costs.

B. For costs greater than $5,000, Project Accounting will reopen the original program and coordinate with Systems Planning and Programming for additional funding. This threshold does not apply to costs authorized under 5FEDR05E for revenue-producing parcels.

C. For a Federal-aid program, Systems Planning and Programming will determine if additional Federal funds will be requested. If the program is not approved for additional Federal funds, Project Accounting will charge the costs as ineligible to Federal-aid program.

D. Project Accounting should review quarterly expenses charged to these program numbers to ensure appropriateness.

E. Costs charged to these programs will be covered by the central contingency amount in the Statewide Transportation Improvement Program (STIP).
Purpose
To outline the policies and procedures for department sponsored conventions, conferences, workshops, training sessions, retreats, etc. The basis for this is found in the Division of Finance policies FIACCT 05-08.04, 05-08.05 & 05-08.06.

Policy
The Utah Department of Transportation will adhere to state policies when a division, office, or region (agency) is planning a conference for which the total costs are more than $500.

Background
FIACCT 05-08.04 Selection of Sites and Services: When state employees are the main participants in state sponsored conferences/conventions, the event must be held at facilities or locations within the borders of the state. Utah businesses and service providers are to be utilized.

FIACCT 05-08.05 Hotel/Conference Room Accommodations: The State Travel Office must arrange, book, and approve all hotel/conference room accommodations.

FIACCT 05-08.06 Retreats: This policy defines a retreat and sets the expenditure limits for facilities, travel, lodging, and etc.
Procedures
Conference/Training Session

Responsibility: Agency

Actions

1. Fill out a Conference Request form. This form may be obtained from State Division of Finance (Travel Office). Submit the completed request to the Executive Director or his designee for approval.

Responsibility: Executive Director

2. Approve or deny the conference request. Return the form to the agency.

Responsibility: Agency

3. Submit the approved conference request to the Travel Office as described in state policy FIACCT 05-08.05.

Responsibility: Travel Office

4. Obtain bids based on information submitted by the agency. Submit bids to the requesting agency within 72 hours of receiving the request.

Responsibility: Agency

5. Review the bids obtained by the State Travel Office and work with them to select accommodations.

Responsibility: Travel Office

6. Approve the bid selected by the agency, and book the accommodations. Notify the agency that the arrangements have been made.

Responsibility: Agency

7. Upon receiving the Division of Finance Travel Office approval, the Agency will contact the State Accountant in the Comptroller’s Office to obtain a job number and other accounting codes for the conference.

8. All revenue and expenditures will be charged to this job number. The Agency will be responsible to monitor all revenue and costs, and to make up any deficiency in funding for the conference.
Responsibility:  State Accountant in the Comptroller’s Office

9. Issue the job number and monitor expenditures to assure proper funding and costing. Close out job number at the completion of conference business cycle.
Surplus Right of Way Proceeds  
UDOT 02-56  
Effective: March 6, 2008  
Revised: New

Purpose
For consistency and accountability, this policy establishes guidelines for accounting for the sale of surplus Right of Way (ROW). This policy does not apply to ROW in the Corridor Preservation Revolving Fund.

Refer to the ROW Operations Manual for regulations relating to the actual sale or lease of excess property.

Policy
A. If surplus ROW property is sold before the project is completely closed, the sales price should be credited to the project.

B. If the project has been closed when the surplus ROW property is sold, the revenue will be credited to the Transportation Fund as free revenue, unless it was purchased with Federal funds.

Background
When the Transportation Fund budget is determined, the estimated revenue that is appropriated to the Department of Transportation for expenditure includes an estimated amount for the sale of surplus land. For years, intent language in the appropriations act has stated, “It is the intent of the Legislature that any and all collections or cash income from the sale or salvage of land and buildings are to be lapsed to the Transportation Fund.”

If more land is sold than estimated, the funds are deposited in the Transportation Fund and are available either to make the fund balance or for the Transportation Commission to program.

If less revenue is received than estimated, other revenue increases make up the difference or an adjustment is made to the programmed dollars.

Guidance
A. Disposition of Proceeds
The original funding source of the real property and the status of the project (pre-closeout/post-closeout) are the primary determinants of how to account for proceeds from the sale or lease of real property. The UDOT Comptroller’s Office has established specific FINET project numbers designed to account for real property proceeds acquired with Federal or State funds. The income derived from these activities should be accounted for in the appropriate FINET project number.
The table below lists the guidelines to use, based upon the funding source and project status, to determine the appropriate accounting disposition for excess real property and lease proceeds.

<table>
<thead>
<tr>
<th>Parcel Funding</th>
<th>Acquisition Classification</th>
<th>Project Status</th>
<th>FINET Project</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Federal Project</strong></td>
<td>Eligible</td>
<td>Active Closed</td>
<td>Original Project 5FEDR05E</td>
</tr>
<tr>
<td></td>
<td>Ineligible</td>
<td>Active Closed</td>
<td>Original Project 7RWPC05E</td>
</tr>
<tr>
<td><strong>State Project</strong></td>
<td>N/A</td>
<td>Active Closed</td>
<td>Original Project 7RWPC05E</td>
</tr>
<tr>
<td><strong>Centennial Project</strong></td>
<td>N/A</td>
<td>Active Closed – State Closed – Federal</td>
<td>Original Project 78CHF05E 50CHF05E</td>
</tr>
</tbody>
</table>

Below are descriptions of the project numbers used to account for excess real property and lease proceeds:

1. **5FEDR05E Project (Federal Funded)**

   a. The 5FEDR05E project was established to account for and retain proceeds from the sale or lease of real property previously acquired with Federal funds on a closed Federal-aid project. UDOT must adequately document within the 5FEDR05E project the amount of net income from the sale or lease of real property. UDOT must also document the income ultimately expended from project 5FEDR05E on Title 23 eligible projects during the fiscal year. Amendment of 23 U.S.C. 156 allows proceeds from excess real property acquired with Federal funds to be retained by the State and used for activities eligible for funding under Title 23 of the United States Code. Thus, such proceeds may be expended on eligible activities occurring under a different project from the one that originally provided the Federal funds. For additional information, refer to Code of Federal Regulations on Real Property Management at [http://www.gpoaccess.gov/cfr/retrieve.html](http://www.gpoaccess.gov/cfr/retrieve.html). Refer to Title 23 Part 710 Sections 403 and 409.
b. Systems Planning and Programming – Program Finance will coordinate with the Transportation Commission to authorize the current Title 23 eligible project to expend the current fiscal year retained revenue on the 5FEDR05E project. The Comptroller’s Office will process the transfer to the authorized Title 23 eligible project prior to fiscal year end.

2. **7RWPC05E Project Number (State Funded)**

   Project number 7RWPC05E was established to account for proceeds from the sale or lease of real property previously acquired with State funds on a closed State project or Federal-aid project (charged ineligible).

3. **Centennial Project Numbers (CHF Funded)**

   Project numbers have been established to account for proceeds from the sale or lease of real property originally acquired with Centennial funds on a State or Federal-aid project post-closeout. These project types and numbers are:

<table>
<thead>
<tr>
<th>Project Type</th>
<th>Project</th>
</tr>
</thead>
<tbody>
<tr>
<td>CHF-State</td>
<td>78CHF05E</td>
</tr>
<tr>
<td>CHF-Federal</td>
<td>50CHF05E</td>
</tr>
</tbody>
</table>

   **B. Property Management and Disposition Expenses**

   The original funding source of the real property and the status of the project (pre-closeout/post-closeout) are the primary determinants of how to account for property management and disposition expenses.

   1. **Property Management Project Pre-Closeout**

      Property management costs incurred for maintenance, protection, clearance, and improvement disposition until final project acceptance are eligible for Federal participation. Consequently, property management costs can be charged to the appropriate original Federal-aid project until the project has been financially closed.

   2. **Property Management Project Post-Closeout**

      Upon completion of the highway’s construction, the project will be financially closed out. However, even after the project has been closed out financially, property management costs continue to be incurred for these activities. The UDOT Comptroller’s Office has established the following specific FINET project numbers designed to account for post-closeout property management activities for real property previously acquired with Federal or State funds:

   a. Project 5FEDR05E was established in FINET for property management expenditures occurring on Federal-aid projects post-closeout. Use of 5FEDR05E is restricted for expenditures related to disposition of real property originally acquired with Federal
funds and will generate income from the sale or lease of the real property.

b. Project 7RWPC05E was established in FINET for property management expenditures occurring on State projects post-closeout. This project number is for expenditures related to disposition of surplus real property originally acquired with State Transportation funds on a State or Federal-aid project (charged ineligible).

The table below lists the guidelines to use, based upon original funding and project status, to determine the appropriate accounting for excess property management expenditures.

<table>
<thead>
<tr>
<th>Parcel Funding</th>
<th>Acquisition Classification</th>
<th>Project Status</th>
<th>FINET Project</th>
</tr>
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<tbody>
<tr>
<td>Federal</td>
<td>Eligible</td>
<td>Active Closed</td>
<td>Original Project 5FEDR05E</td>
</tr>
<tr>
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<td>N/A</td>
<td>Active Closed – State Closed – Federal</td>
<td>Original Project 78CHF05E 50CHF05E</td>
</tr>
</tbody>
</table>

C. Local Government Real Property Disposals

Below are regulations applicable to local government:

1. The Local Authority will comply with 23 CFR 710.203 for FHWA reimbursement requests of real property acquisitions. A Local Authority will not request reimbursement for excess acquisitions which are not eligible for FHWA reimbursement under 23 CFR 710.203 (6) Property not incorporated into a project funded under title 23 of the United States Code. Refer to [http://www.gpoaccess.gov/cfr/retrieve.html](http://www.gpoaccess.gov/cfr/retrieve.html) for additional information on 23 CFR 710.203.
2. For real property disposals, the Local Authority will comply with 23 CFR 710.409 and 710.403. The Local Authority should have property management records that identify inventories of real property considered excess to project needs.

3. If a Local Authority determines that real property initially acquired as part of the project is declared excess and disposed of, the Local Authority must comply with 23 CFR 710.409 and 710.403. This requires that the Federal share of net income from the sale or lease of real property acquired with Federal assistance be used for Title 23 eligible projects. Refer to http://www.gpoaccess.gov/cfr/retrieve.html Title 23 Part 710 Sections 403 and 409 for additional information.

4. The Local Authority will deposit the net proceeds (Federal prorata share) from the sale or lease with UDOT to be applied towards a Title 23 eligible project, as authorized by the appropriate Metropolitan Planning Organization, Joint Highway Committee, or Enhancement Advisory Committee. Systems Planning and Programming – Program Finance will coordinate with the appropriate programming body the application of these proceeds each fiscal year.

5. The projects listed below have been established within FINET for the specified programming body in order to account for these deposited proceeds.

   5WFR105E  Wasatch Front Regional Council SLC Urban
   5WFR205E  Wasatch Front Regional Council Ogden Urban
   5MAG005E  Mountainland Association of Governments
   5CAC005E  Cache Metropolitan Planning Organization
   5DIX005E  Dixie Metropolitan Planning Organization
   5JHW005E  Joint Highway Committee
   5EAC005E  Enhancement Advisory Committee
Object Codes
Effective: March 6, 2008

Purpose
To ensure accountability and consistency in financial reporting, this policy clarifies the use of selected object codes for the Utah Department of Transportation (UDOT).

Policy
The following identifies the object codes that should be used for specific UDOT expenditures:

A. Use object code 6213 for all clothing and uniforms.

B. Use object code 6296 for personal protective equipment, i.e., glasses, hard hats, and steel-toed boots.
Purpose

To establish protocol for good cash handling practices and for recording in the state financial system (FINET) money that is received by the Utah Department of Transportation (Department).

Policy

The Comptroller’s Division will collect and deposit all money paid to the Department divisions at the Calvin Rampton Complex. The Region Administrative Offices and Ports of Entry will collect and deposit their own money.

At least two employees will be present to open the mail and cash box and they will maintain the Check Log. The Comptroller may determine that one employee, rather than two employees, is a more appropriate control for a Region office or Port of Entry if the volume of checks received by mail is low.

The employee who enters the FINET Cash Receipts (CR) document will not be involved in the opening of the mail or cash box.

The Daily Log and Master Check Log will record payer name, date of check, date of receipt, check number, amount, and CR number or where the check was routed.

The CR will be entered into FINET on the same day that the deposit is made.

Cash receipts will be deposited daily when practical but not less than once every three days. Undeposited cash receipts will be kept in a secured box. The Cashier will notify the State Treasurer of any money that has not been deposited within three days of receipt.

All deposits will be scanned and hard copies will be kept for one year.

Cash receipts received on or before the last day of the fiscal year will be recorded as old year cash receipts at fiscal year-end, regardless of when they are deposited. Cash receipts received after the last day of the fiscal year will be recorded as new year cash receipts.

The Comptroller’s Office will accept cash and gift cards donated for specific programs. The donor will send all cash and gift cards directly to the Comptroller’s office. The Comptroller’s office will follow the cash receipt policy and have at least two employees present to open the mail and log the gift cards. All gift cards received will be added to the log and stored in the Comptroller’s safe. The Comptroller’s office will notify the individuals responsible for the program. The responsible party will pick up gift cards on the same day that they intend to use the gift cards. All signed and dated receipts for purchases will be returned to the Comptroller’s office within three days of taking the cards.
An IET in and out entry will be made in FINET to recognize revenue and expenses for the receipt of the gift card and the expenditure.

**Background**

FIACCT 13-00.00 (Cash Receipts – Handling, Depositing, and Recording) is the basis for this policy.

**Definitions**

Check Log: An Excel spreadsheet that records payer name, date of check, date of receipt, check number, amount, and where the check was routed.

Daily Log: An Excel spreadsheet that records payer name, date of check, date of receipt, check number, amount, and where the check was routed or the CR number.

Master Check Log: A secure Excel spreadsheet not accessible to the Cash Receipts Accountant that records payer name, date of check, date of receipt, check number, amount, and where the check was routed or the CR number.
Responsibility: Employees

Actions

1. Immediately forward all cash and checks received to Comptroller’s Division or Region Administrative Office.

Responsibility: Conference, Training, and Event Organizers

2. Open mail and stamp all checks with a Received Date stamp.
3. Record all checks received in a Check Log.
4. Forward checks to the Comptroller’s Office within three days of receipt.

Responsibility: Comptroller’s Division, Region Administrative Offices

5. Open mail and cash box with at least two people present. Stamp all checks with a Received Date stamp.
6. Total the dollar amount of cash and checks on an adding machine.
7. Review the total and initial the tape from the adding machine.
8. Enter all checks into Daily Log, recording the control number, payer, date of check, date of receipt, check number, and amount.
9. Verify that the Daily Log’s total matches the tape’s total.
10. Copy and paste to Master Check Log.

Responsibility: Cash Receipts Accountant

12. Issue a receipt for all cash received. Put cash received in cash box along with coding or receivable information.
13. Print Daily Log and retrieve checks, cash, and tape from mail opening.
14. Review and research the money received. Write coding or receivable information on checks. Set aside all duplicate payments and overpayments.

15. Make a copy of all checks to be returned to sender. Mail letter and check. Scan the copy of the check into ProjectWise. Note on the Daily Log that the check was returned to sender.

16. Make a copy of all checks and cash receipts.

17. Endorse the checks with bank endorsement stamp

18. Verify that the total dollar amount of cash and checks equals the total dollar amount of the copied checks and cash receipts.

19. Deposit checks electronically if the bank has provided a desktop scanner.

20. Fill out a deposit slip and take cash deposits and check deposits (if a scanner is not available) to the bank.

21. Enter the CR document using the copies of the checks.

22. Print cover sheet for CR.

23. Give the copies of the checks, the deposit slip copy, the tape, and the CR cover sheet to the Accounts Receivable Supervisor.

24. Record the CR number for each check in the Daily Log.


**Responsibility:** Accounting Tech

26. Record CR numbers on the Master Check Log.

27. Reconcile the CR total and the daily total of the Master Check Log.

**Responsibility:** Accounts Receivable Supervisor

28. Verify that deposit receipt and tape match.

29. Verify that CR is entered into FINET.

**Responsibility:** Cash Receipts Accountant

30. Scan CR into ProjectWise.

32. Keep hard copies of deposit documentation for one year.

**Responsibility:** Bank Reconciliation Accountant

33. Reconcile the month’s CRs to the Master Check Log as part of the monthly bank reconciliation.
Accounts Receivable – Write-offs  
UDOT 02-61  
Effective: March 6, 2008  
Revised: New

Purpose
To ensure consistency within the Department, this policy identifies how receivables will be written off in the accounting records of the Utah Department of Transportation (UDOT) and passed to the Office of State Debt Collections (OSDC).

Policy
A. After a receivable has been outstanding for 120 days (90 days past due), the RE document will have its reason code changed to “OSDC-COL”. If the RE is under $10,000 a WO document will be created immediately.

B. Receivables $10,000 and up require State Finance approval to be written off and must be in the collections process for at least 18 months. After 18 months, UDOT may request the write-off from OSDC.

C. If a payment schedule has been set up, the terms of the schedule will be entered in the description field of the header of the RE document, and the reason code will not be changed.

Background
Effective April 27, 2007, the CL document is no longer used.

UDOT has received an exception from OSDC that enables UDOT to immediately create WO documents for receivables under $10,000. OSDC will approve those WOs. OSDC will create WOs for receivables $10,000 and up.

Modifying the RE to reduce the receivable amount to zero does not serve the same function as creating a WO to write off the receivable. If the billing is in error, the RE can be modified to a zero amount, indicating that the receivable should have never existed. If the RE is a valid receivable, however, the WO must be used to reduce the outstanding amount to zero.
Procedures
Accounts Receivable – Write-offs

Responsibility: Region

Actions

1. Change the RE’s reason code to OSDC-COL.

2. If the RE is less than $10,000; copy forward from the RE to create the WO. Do not use Automatic Numbering for the WO; rather, use the exact Document ID of the RE for the WO.


Responsibility: Comptroller’s Division

4. Use dcART to identify receivables that have been in the collections process for over 18 months, and submit a request to OSDC that those receivables be written off.
Purpose

To provide consistency within the Utah Department of Transportation (Department) with how receivables arising from damage claims will be charged and recorded in the accounting records of the Department.

Policy

A. The Department will repair damage to its property and when possible, invoice the responsible parties for the cost of repairs.

B. Each incident will be assigned a six-character Function, which will be one alpha character followed by five numeric characters.

The first character will be A, identifying the Function as a damage claim.

The second character will indicate the Region.

The third character is available for Regions to use as an additional identifier.

The remaining characters will specifically identify the claim and will be incremented by 1 with each new damage claim, beginning at 0001 (or 001 if the Region has elected to use the additional identifier).

These damage claim Functions will be used in conjunction with Activity 7M03 for physical damage to the road, Activity 7M07 for non-permanent impairment of the road, and Activity 7M09 for extraordinary circumstances as determined by the Region Maintenance Analyst.

C. Each Region will elect to credit revenue from damage claims and debit receivable write-offs to one of the following areas.

1. Central administrative maintenance unit of the Region

2. Individual stations

D. The vehicle owner identified in the police report will be set up in FINET as a customer for invoicing purposes. The customer number will be nine characters: four alpha characters followed by five numeric characters.

The first three characters will be DOT.
The remaining six characters will be the Function number assigned to the damage claim.

E. The vehicle owner identified in the police report will receive the invoice, but additional copies for insurance companies may be included.

F. Damage claim customers, as identified by the FINET numbering DOTAxxxxx, will be purged at the end of the fiscal year.

G. The Function number assigned to a damage claim will be deactivated if a Region determines that a damage claim cannot or will not be billed.

H. An accrual for accounts receivable revenue will be made for all unbilled damage claims at the end of the fiscal year.

I. An accrual for deferred inflow reclassification will be made at the end of the fiscal year for damage claim receivables over 120 days past due and for written-off receivables that are pending approval from the Office of State Debt Collection (OSDC)

Definitions

Damage claims
Costs incurred to repair damage to Department property and tracked by a Function number in FINET.

Damage claims customer
The owner of the vehicle responsible for the damage to Department property.

Unbillable damage claims
Damage claims that either cannot be billed due to lack of contact data for the vehicle owner or will not be billed as determined by the Department.

Unbilled damage claims
Damage claims that have been assigned a Function number but no invoice has been sent and no revenue booked.

Uncollectible damage claims
Damage claims that have been assigned a Function number and billed but are over 120 days past due and have been deemed uncollectible.
Background

The revenue will be reversed, impacting whatever unit originally booked the revenue when a damage claim receivable is deemed uncollectible. Both the revenues and write-offs are booked in the central maintenance unit of the region or district in order to protect the individual maintenance station from the impact and volatility of collections.

Please refer to Policy 06A-39 for more information.
Procedures
Accounts Receivable – Damage Claims

Responsibility: Comptroller’s Office Control Group

Actions

1. Set up damage claim Function in FINET.

Responsibility: Region Damage Claim Accountant

2. Assign Function number to job.

Responsibility: Maintenance Crew

3. Perform repairs and charge the assigned Function and Activity 7M03 or 7M07.

Responsibility: Region Damage Claim Accountants

4. Determine that the damage claim can and will be billed.

5. Notify the Comptroller’s Control Group if the damage claim will not be billed.

Responsibility: Comptroller’s Office Control Group

6. Deactivate Function numbers of unbillable damage claims.

Responsibility: Region Accountants

7. Enter VCC (Vendor Customer Create) document to set up liable party as a customer in FINET.

8. Request approval of VCC as directed by the Department of Administrative Services Division of Finance (DAS/Finance)

Responsibility: DAS/Finance

9. Approve VCC.

Responsibility: Region Damage Claim Accountants

10. Invoice customer for all costs charged to the related Function.
Responsibility: Comptroller's Office

11. Accrue revenue from unbilled damage claims, uncollectible damage claims, and write-offs awaiting final approval.

12. Send data to Regions for review.

Responsibility: Region Accountants

13. Review accrual entries.

Responsibility: Comptroller's Office

14. Make accrual entries in FINET.

15. Deactivate all function numbers of damage claims that have been billed and collected in full at the end of the fiscal year and roll all others to the new fiscal year.
Purpose
To comply with Payment Card Industry (PCI) Data Security Standards (DSS) and establish protocol for good payment card handling practices by the Utah Department of Transportation (Department).

Policy
The Department will operate in accordance with current PCI DSS requirements. Compliance will be evaluated annually.

The Comptroller’s Office General Ledger (G/L) Manager will coordinate all Department divisions’ acceptance of payment cards. The G/L Manager will coordinate with the Department of Technology Services (DTS) to initiate acceptance of payment cards.

Divisions will specify locations, personnel, and equipment used in the acceptance of payment cards. Divisions will not make changes or additions without the consent of the G/L Manager once approved.

Only those employees authorized by the Comptroller’s Office may accept payment card information. Divisions will verify that all employees accepting payment card information complete DTS PCI DSS training. Divisions will provide any other training necessary to guarantee PCI DSS compliance. Other employees may not accept or transmit payment card information, and must instead refer the customer to an employee authorized and trained to do so.

Department employees will not record or store, in electronic or hardcopy format, any payment card information. The Department will not accept any payment card information transmitted by email or fax; electronic media will be deleted and hardcopies will be cross-shredded immediately.

Complete payment card numbers will not be transmitted by or stored by Department business systems. Payment card numbers will be masked except for the last four digits on all receipts and reports.

The card security code will never be recorded in electronic or hardcopy format. It will only be entered into the terminal.

Physical payment cards will remain in the cardholder’s line of sight at all times.
Terminals will be situated in secure locations that allow for control of physical access and that are in clear view while in use. Terminals will be stored in secure locations out of sight when not in use. Terminals and cords will be inspected for evidence of tampering at the beginning and end of each shift.

Potential breaches and irregularities will be reported immediately to the G/L Manager. The G/L Manager will work with the DTS Compliance Auditor and the Division of Administrative Service Division of Finance (DAS/Finance) Payment Card Specialist to determine the potential extent of the breach, the response to the breach, and the investigation of the breach.

The G/L Manager will authorize all maintenance to and replacement of payment card equipment. Employees will validate this authorization, as well as credentials, before allowing any person, entity, or organization physical or electronic access to equipment used in payment card processing.

Each location accepting payment cards will settle batches nightly. Region offices will transmit batch information to the Comptroller’s Office Payables Supervisor. The Motor Carrier Division will aggregate batch information from the Ports of Entry and will transmit the information to the Comptroller’s Office Payables Supervisor.

Default user names and passwords will be changed prior to deployment for all equipment and systems. All equipment involved in credit card processing will be maintained properly, including physical cleaning and maintenance, anti-virus and anti-malware scans, encryption protocols, firmware patches, and software updates.

Payment card payments will be accepted via secure online portals administered by PCI DSS compliant third party vendors or via bank-issued payment card terminals either in person or by phone. The Department employee will enter the cardholder information into the terminal and will not record or divulge the information in any other manner if a customer pays by phone.

Access rights to Department systems and applications involved in payment card processing will be restricted to the least privileges necessary to perform job duties, and will be based on job classification and function.
Procedures
Initial Establishment of Payment Card Acceptance

Responsibility: Division Business Analyst

Actions
1. Identify opportunity and need to accept payment cards.
2. Draft proposal to accept payment cards.
3. Present proposal to Comptroller’s Office General Ledger Manager.

Responsibility: Comptroller’s Office General Ledger Manager

4. Review the proposal, consulting with DTS Compliance Auditor and DAS/Finance PCI Specialist.
5. Determine course of action to guarantee PCI DSS compliance.

Responsibility: Division Business Analyst

6. Implement General Ledger Manager’s recommendations.
7. Report all personnel, equipment, and internal processes to General Ledger Manager.
8. Provide training for all division employees involved in the payment card acceptance process.
Responsibility: Comptroller’s Office General Ledger Manager

Actions

1. Maintain inventory list of terminals with locations, list of employees accepting payment cards, internal handling guidelines, and network diagrams.

Responsibility: Division Business Analyst

2. Provide the General Ledger Manager with any location updates.

3. Provide division employees with all necessary PCI DSS compliance training.

Responsibility: Department of Technology Services

4. Provide the General Ledger Manager with network diagram updates.

Responsibility: Employees Accepting Payment Card Payments

5. Complete all applicable training.

6. Maintain the terminal in a secure but visible location during shift.

7. Store the terminal in a secure, out of sight location at the end of a shift.

8. Inspect the terminal and cords at the beginning and end of each shift for tampering.

9. Inspect the premises for unauthorized surveillance and access irregularities.

10. Validate credentials of any person, entity, or organization that requests physical or electronic access to the terminal.

11. Contact the General Ledger Manager to verify that the access is authorized.
Responsibility: Department Employee Designated to Process Payment Cards

Actions

1. Complete all applicable training.
2. Be familiar with PCI DSS.
3. Inspect terminal and cords for tampering at beginning of shift.
4. Survey building for irregularities and potential access hazards.
5. Maintain terminal in secure location throughout shift.
6. Keep payment card in view of customer at all times.
7. Return payment card to customer after swipe and verification.
8. Guarantee that the card number, security code, expiration date, and any other card information is not recorded outside of the terminal or displayed without being masked.
9. Inspect terminal and cords for tampering at end of shift.
10. Store terminal in a secure location out of view.
Responsibility: Department Employee Designated to Process Payment Cards

Actions

1. Complete all applicable training.
2. Be familiar with PCI DSS.
3. Inspect terminal and cords for tampering at beginning of shift.
4. Survey building for irregularities and potential access hazards.
5. Maintain terminal in secure location throughout shift.
6. Accept payments only by phone.
7. Immediately delete emails with payment card information, and immediately cross-shred faxes and letters with payment card information.
8. Guarantee that the card number, security code, expiration date, and any other card information is not recorded outside of the terminal or displayed without being masked.
9. Inspect terminal and cords for tampering at end of shift.
10. Store terminal in a secure location out of view.
Incident Response

Responsibility: All Employees

Actions

1. Report potential system and policy breaches to General Ledger Manager.

Responsibility: General Ledger Manager

2. Assess the potential effects and estimate the scope.

3. Determine if the breach has occurred.

4. Immediately notify the DTS Compliance Auditor and the DAS/Finance PCI Specialist if a breach has occurred.

5. Notify affected parties and law enforcement as appropriate.

6. Implement the appropriate response action, based on the scope and effects.

7. Assemble and lead an investigation to determine the cause of the breach and to recommend a future course of action.
Purpose
To define the guidelines Utah Department of Transportation employees must follow to comply with Rule R926-6, Transportation Corridor Preservation Revolving Loan Fund (CP).

Background
The CP fund was established in 1996. Procedures were created to track expenditures and revenues by corridor in order to repay the fund. The revenue source for the fund is comprised of a rental car sales tax, and discretionary general fund appropriations from the legislature. Revenues less expenditures for property management are also added or subtracted from the fund. Expenditures are charged directly to the CP fund instead of the Transportation fund. A CP Inventory List was created to record acquisition costs, appraisal, title and relocation fees, revenues, property management fees, etc.
Responsibility: Transportation Commission

Actions

1. Approve the Right of Way (ROW) Director’s request to acquire a specific property.

Responsibility: ROW Property Manager

2. Prepare an R-709 (Shot Gun Estimate) form and forward to the Program Finance Division.

3. Obtain a cooperative agreement outlining repayment schedule if the property is in a local public agency jurisdiction.

Responsibility: Program Finance Research Analyst

4. Enter the property parcel on the Corridor Preservation Fund Inventory List along with owner’s name, property address, approval amount, and date approved if the corridor has already been established.

5. Assign a PIN, Program, and Project/Corridor description if it is a new corridor and set up a new worksheet in the Inventory.

6. Review quarterly to determine if new programs have been set up and notify ROW Property Management.

Responsibility: ROW Property Manager – Agent

7. Request payment for appraisals, surveys, and acquisitions according to established policies.
8. Code the request for payments for as follows:

<table>
<thead>
<tr>
<th></th>
<th>Fund</th>
<th>Dept</th>
<th>Unit</th>
<th>Appr</th>
<th>Object/</th>
<th>Activity</th>
<th>Project</th>
<th>Parcel/</th>
<th>Phase</th>
</tr>
</thead>
<tbody>
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<td>2830</td>
<td>810</td>
<td>8970</td>
<td>2830</td>
<td>6137</td>
<td>755P</td>
<td>77XXX</td>
<td>05E</td>
<td>XX/</td>
</tr>
<tr>
<td><strong>Surveys, Deeds, and Inspections</strong></td>
<td>2830</td>
<td>810</td>
<td>8970</td>
<td>2830</td>
<td>6137</td>
<td>760P</td>
<td>77XXX</td>
<td>05E</td>
<td>XX/</td>
</tr>
<tr>
<td><strong>Acquisitions</strong></td>
<td>2830</td>
<td>810</td>
<td>8970</td>
<td>2830</td>
<td>6970</td>
<td>760P</td>
<td>77XXX</td>
<td>07R</td>
<td>XX/</td>
</tr>
<tr>
<td><strong>Relocation Costs</strong></td>
<td>2830</td>
<td>810</td>
<td>8970</td>
<td>2830</td>
<td>6143</td>
<td>764P 766P</td>
<td>77XXX</td>
<td>05E</td>
<td>XX/</td>
</tr>
</tbody>
</table>

9. Work with Program Finance to determine what ROW land transfers are needed on the new programs that have CP Land.

10. Prepare shot-gun estimates for state road corridor parcel transfers to fund 2800 to pay back the Corridor Preservation Fund when the project has been funded.

**Responsibility:** Comptroller Office-Finance Manager

11. Review the payments from the service center by comparing them to the Inventory List to verify Commission approval and accurate corridor account coding.

12. Enter the amount paid and date of last activity into the Inventory List.

13. Record revenue and expenses as follows:

<table>
<thead>
<tr>
<th></th>
<th>Fund</th>
<th>Dept</th>
<th>Unit</th>
<th>Appr</th>
<th>Object/ Revenue</th>
<th>Activity</th>
<th>Program</th>
<th>Phase</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Rental Revenue</strong> (In House)</td>
<td>2830</td>
<td>810</td>
<td>8970</td>
<td>2830</td>
<td>2880</td>
<td>7503</td>
<td>77XXX</td>
<td>05E</td>
</tr>
<tr>
<td><strong>Rental Revenue</strong> (Contract Surplus Property Mgt.)</td>
<td>2830</td>
<td>810</td>
<td>8970</td>
<td>2830</td>
<td>2880</td>
<td>7549</td>
<td>77XXX</td>
<td>05E</td>
</tr>
<tr>
<td><strong>Property Mgmt Contractors</strong></td>
<td>2830</td>
<td>810</td>
<td>8970</td>
<td>2830</td>
<td>6137</td>
<td>7549</td>
<td>77XXX</td>
<td>05E</td>
</tr>
<tr>
<td><strong>Buildings and Grounds</strong> (Contracted expenses related to property maint. and repairs)</td>
<td>2830</td>
<td>810</td>
<td>8970</td>
<td>2830</td>
<td>6171</td>
<td>7503</td>
<td>77XXX</td>
<td>05E</td>
</tr>
<tr>
<td><strong>Utilities</strong></td>
<td>2830</td>
<td>810</td>
<td>8970</td>
<td>2830</td>
<td>61XX</td>
<td>7503</td>
<td>77XXX</td>
<td>05E</td>
</tr>
<tr>
<td><strong>Assessments and Taxes</strong></td>
<td>2830</td>
<td>810</td>
<td>8970</td>
<td>2830</td>
<td>6261</td>
<td>7503</td>
<td>77XXX</td>
<td>05E</td>
</tr>
</tbody>
</table>
Repayment Conditions

**Responsibility:** Local Government, Utah Transit Authority (UTA)

14. Repay the Corridor Preservation loans according to the approved loan repayment schedule or when the project has been funded.

**Responsibility:** Project Manager

15. Work with the ROW property manager to determine the amount of funds to include in the ROW cost estimate to pay back the fund when a project is assigned with real estate that has been purchased with this fund.

16. Prepare a Certification for UDOT Real Property Contribution to Federal-Aid Project form for federal projects to document UDOT’s contribution to the federal project to cover the match.

**Responsibility:** Comptroller’s Office- Finance Manager

17. Find the corridor Net Payback total amount on the Inventory Summary tab.

18. Obtain a list of parcels, the total acreage included in the right of way, and the acreage of the surplus property from ROW if the project advertised is only a partial amount of the land acquired in the corridor.

19. Record the transfer entry as follows:

<table>
<thead>
<tr>
<th>Surplus Property Sold</th>
<th>Fund</th>
<th>Dept Unit</th>
<th>Appr</th>
<th>Object/Revenue</th>
<th>Activity</th>
<th>Program Phase Parcel/</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2830</td>
<td>810 8970</td>
<td>2830</td>
<td>2793</td>
<td>7503</td>
<td>77xxx 05e</td>
</tr>
<tr>
<td>Acquisitions</td>
<td>2800</td>
<td>7005 XEC</td>
<td>6970</td>
<td>760P</td>
<td>XXXX 07R</td>
<td>Debit (Total – Surplus)</td>
</tr>
<tr>
<td>Acquisitions ST Parcel (Surplus)</td>
<td>2800</td>
<td>7005 XEC</td>
<td>6971</td>
<td>760P</td>
<td>XXXX 07R</td>
<td>Debit (ST % of Total Acreage)</td>
</tr>
</tbody>
</table>

**Responsibility:** ROW Property Manager - Agent

21. Dispose of the property in accordance with Section 72-5-111 if the Commission determines an alignment for a transportation project is not feasible.

22. Write the FINET coding on the Excess Land Sale form as follows to record the revenue when ROW sells the property and forward to the Cashier in the Comptroller’s office: Fund 2830, Org 8970, Appr 2830, Revenue 2793, Activity 7503 77xxx 05e, Parcel #.
Responsibility:  Comptroller’s Office – Finance Manager

23. Enter the sale amount in the Inventory List.

Reporting

Responsibility:  Comptroller’s Office – Finance Manager

24. Prepare Corridor Preservation Monthly Reports. Details on how to prepare these reports are in the Comptroller’s Office Finance Manager’s Continuity File.

a. Prepare Fiscal Year to Date reports

b. Prepare Fund to Date reports

c. Reconcile new acquisitions, relocation, and appraisal expenses and update to the Inventory List

d. Verify that the Inventory List Summary tab reconciles to data entered in other spreadsheets
Local Transportation Corridor Preservation Fund UDOT 02-94
Effective: January 1, 2007                     Revised: February 9, 2015

Purpose
To define the guidelines for the Utah Department of Transportation (Department) to operate the Local Transportation Corridor Preservation Fund (LTCP Fund).

Policy
The projects and programs listed below are charged directly to the LTCP Fund for purchase of right of way (ROW) that will be owned by the Department, a county, or a city.

Background
SB 8 was passed during the 2005 Legislative Session to allow a county legislative body the right to impose up to a $10 local option transportation corridor preservation fee for new and renewal motor vehicle registrations. A special revenue fund was created to track these funds for the counties.

All Expenditures:

<table>
<thead>
<tr>
<th>Project Description</th>
<th>Project Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salt Lake County</td>
<td>LTCSL</td>
</tr>
<tr>
<td>Summit County</td>
<td>LTCSU</td>
</tr>
<tr>
<td>Utah County</td>
<td>LTCUT</td>
</tr>
<tr>
<td>Wasatch County</td>
<td>LTCWA</td>
</tr>
<tr>
<td>Davis County</td>
<td>LTCDA</td>
</tr>
<tr>
<td>Iron County</td>
<td>LTCIR</td>
</tr>
<tr>
<td>Weber County</td>
<td>LTCWE</td>
</tr>
<tr>
<td>Tooele County</td>
<td>LTCTL</td>
</tr>
<tr>
<td>Box Elder County</td>
<td>LTCBE</td>
</tr>
<tr>
<td>Washington County</td>
<td>LTCWH</td>
</tr>
</tbody>
</table>
Procedures
Local Transportation Corridor Preservation Fund  UDOT 02-94.1

Responsibility:  Comptroller’s Office

Actions

1. Prepare a monthly report for LTCP Fund programs for state road corridors.

2. Update county income information on the LTCP Fund Spreadsheets.

3. Prepare a memo request for payment to be signed by the ROW Director.

Responsibility:  ROW Lead Agent

4. Meet with participating local government representatives to obtain a prioritized list of properties to acquire.

5. Meet all requirements for distribution of the LTCP Fund within Utah Code 72-2-117.5.
Attachment 1
Request for Payment

From: Lyle McMillan
    Director of Right-of-Way

To: Becky Bradshaw
    Finance Director

Date: ____________

Subject: Request for Payment of funds from the Local Transportation Corridor Preservation Fund (Project ____________)

I have reviewed the requested payment by _____________ City for $_________ pursuant to Utah Code Ann. § 72-2-117.5. The request is for the purchase of ____________ for state road corridor or city/county road ____________.

The documents contained in the City’s request appear to fulfill the statutory requirements, including:

1. The money will be used to preserve transportation corridors, promote long-term statewide transportation planning, save on acquisition costs, and promote the best interests of the state in a manner that minimizes impact on prime agricultural land.
2. The money is not being used for a transportation corridor that is primarily a recreational trail.
3. The application for the payment is made by a highway authority.
4. The application is endorsed by the applicable council of governments.
5. The highway authority either has a transportation corridor property acquisition policy or ordinance in effect that meets federal requirements for the acquisition of real property or any interests in real property or the highway authority has a written agreement with the Department for the acquisition of real property or any interests in real property.
6. The highway authority has an access management policy or ordinance in effect that meets the requirements of Subsection 72-2-117.

City, County or MPO has provided necessary documentation showing it is entitled to disbursement, provided that the county’s allotment in the Fund is sufficient to cover the request.

Request made by: MPO ____________________________

Check to be written to: City or Title Company ____________________________

Project Description:
Purpose
To establish the general policy and procedure for the Utah Department of Transportation (Department) for procuring equipment, supplies, and services, as administered by the Department’s Procurement Division. Procurement of engineering consulting services, of construction services, and of utility relocation services are governed by UDOT Policies 08A1-01, 08B-12, and 08B-29 respectively.

Policy
Purchases by the Department follow State of Utah Procurement Code (63G-6a), Utah Administrative Code (R33), and Delegations provided to the Department by the State Chief Procurement Officer. Department employees who may authorize, initiate, process, approve, or review purchases must complete all required training.

A. Required Sources – Utah Code requires that the item or service be purchased from the following if the item or service is available from one of these sources:
- Utah Correctional Industries (UCI)
- State Mail and Distribution (DAS/Mail)
- State Print Services (DAS/Print)
- State Fleet Operations (DAS/Fleet)
- Department of Technology Services (DTS)

The Procurement Division will verify that an item or service is not available from a required source prior to entering into an agency contract. Department employees may conclude that an item or service is not available from a required source if an agency contract exists.

The Department may request an exception to procure the item or service from another source if the item or service offered by the required source listed above does not meet the reasonable requirements of the Department, or if the item or service cannot be supplied within a reasonable time, or if the cost of the item or service is not competitive with the cost of procuring the item or service from another source. The exception must be granted in writing by the director of the required-source agency and by the State Chief Procurement Officer.
B. **Contract Purchases** – Contracts are set up to guaranty that the State receives the best value when procuring items and services. The Department will use the contract to purchase the item or service if an item or service is not available from a required source and is available through a contract. There are two types of contracts: State cooperative contracts and agency contracts.

1. **State cooperative contracts** – The Department of Administrative Services Division of Purchasing (DAS/Purchasing) enters into State cooperative contracts with suppliers to provide items and services. Any State agency may use these State cooperative contracts.

2. **Agency contracts** – DAS/Purchasing will not enter into a State cooperative contract when an item or service is required by the Department, but not by other State agencies. The Department will instead enter into an agency contract for the item or service. The Department’s agency contracts may be used by the Department only. The Department’s agency contracts are set up only after the Procurement Division verifies that the item or service is not available from a required source or through a State cooperative contract. Department employees should search the Department’s agency contracts prior to searching the required sources and State cooperative contracts to save time and effort while searching for items and services available from contracts.

Items and services on contract may be purchased as long as the expenditure of funds is authorized. A procurement may be exempted from the requirement to use the contract only in certain cases specified by the Procurement Code and reiterated in this policy: emergency situations, urgent and unanticipated situations, and exceptions made in the best interest of the State.

C. **Emergency Purchases (Contract Available or No Contract Available)** – Employees will address the emergency situation immediately if a situation arises that creates a threat to the public health, welfare, or safety. Emergency procurements are limited to only those supplies, services, or construction items necessary to meet the emergency. Employees will contact the Procurement Division as soon as possible, and the Procurement Division will review and authorize the emergency procurement. The Procurement Division’s authorization may occur after the emergency procurement has occurred.

D. **Unanticipated Urgent Purchases (Contract Available)** – Employees are not required to utilize contracts if the procurement item or service is obtained for an unanticipated and urgent circumstance, including:

- an item needed to avoid stopping a public construction project,
- an immediate repair to a facility or equipment, or
• another urgent condition.

Employees will contact contracted vendors first. Employees will obtain verbal or, preferably, written approval from the District Engineer or Group Leader in the form of a completed Urgent Purchases Authorization Form (Form PRO-01U) prior to making the purchase if the contracted vendors are unable to supply the items or services and the total purchase does not exceed $5,000. Employees will contact the Procurement Division if the total purchase will exceed $5,000. The Procurement Division must be involved if the total purchase exceeds $5,000. Employees must submit a completed Form PRO-01U with the invoice to the accounting office or administrative group, even if the original approval from the District Engineer or Group Leader was verbal.

E. **Small Purchases (No Contract Available)** – The purchase can be made from any vendor if all three conditions are met if no contract is available for an item or service:
- each individual item is $1,000 or less,
- the total purchase is $5,000 or less, and
- the cumulative total of the Department’s non-contract purchases from the vendor does not exceed $50,000 in a fiscal year.

These thresholds are also known as the individual procurement threshold, the single procurement aggregate threshold, and the annual cumulative threshold, respectively. Employees will not split purchases with the intent of circumventing any of these thresholds.

All employees who authorize, initiate, process, approve, or review purchases must complete the Small Purchases Training developed by DAS/Purchasing.

F. **Non-Small Purchases, Multiple Sources (No Contract Available)** – The total purchase price will determine the procurement requirements if no contract is available for an item or service, and the procurement does not qualify as a Small Purchase as detailed in Section E, and the item or service is available from multiple sources:
- The Procurement Division’s involvement is not required if the total purchase is between $1,000 and $5,000. The purchaser will obtain at least two, preferably three quotations and purchase from the lowest responsive and responsible bidder.
- The request must be submitted to the Procurement Division via the Procurement Services Online (PSO) system if the total purchase is above $5,000.
G. **Non-Small Purchases, Sole Source (No Contract Available)** – The request must be submitted to the Procurement Division via PSO if no contract is available for an item or service, and the procurement does not qualify as a Small Purchase as detailed in Section E, and the item or service is available from only one source. The purchaser is responsible for filling out a sole source request form and attaching it to the PSO request.

H. **Best Interest of the State Purchase (Contract Available)** – The chief procurement officer for the contract can allow an exception to purchase from a non-contract vendor if the item or service is available on a State cooperative or agency contract and if the Department can demonstrate in writing that all of the following are equal to or better than the contract: terms and conditions, maintenance and service offered, warranty, quality, and cost.

The State Chief Procurement Officer will issue the exception in writing for State cooperative contracts. The Executive Director or designee will issue the exception in writing for agency contracts. The exception must be approved, issued, and submitted to the Procurement Division before the procurement from a non-contracted vendor may proceed.

**Definitions**

- **Annual Cumulative Threshold:** the maximum amount of small purchases that may be purchased by the Department in a fiscal year from a single vendor; R33 has set the threshold at $50,000

- **Authorization Required Contract:** a contract which requires additional authorization in order to use

- **Capital Outlay:** expenditures for vehicles, printing equipment, software, or any other tangible or intangible asset with a useful life greater than one year and a cost greater than $5,000

- **Department Chief Procurement Officer:** Executive Director of the Department; the chief procurement officer for agency contracts

- **ELCID:** elective charge ID, formerly DAS ID; used by State agencies as abbreviations for entire FINET coding blocks

- **FINET:** financial system administered by the Department of Administrative Services Division of Finance (DAS/Finance) and used by all State agencies

- **Individual Procurement Threshold:** the maximum amount that one item or service may cost, the maximum cost per item or unit; R33 has set the threshold at $1,000


**LPD:** Limited Purchasing Delegation; purchasing authorization given by DAS/Purchasing enabling the recipient to independently authorize certain procurements

**Master Agreement:** the FINET document for contracts, abbreviated “MA”, not to be confused with an “MA” designating a Multiple Award Contract

**Multiple Award Contract:** a contract which is awarded to multiple vendors; these types of contracts give specific requirements such as contacting a certain number of contracted vendors prior to purchase

**P-card:** State-issued payment card that may be used to pay for State expenses, may not be used to pay for 1099-reportable services, see P-card policy and agreement on the website of DAS/Finance

**PSO:** Procurement Services Online; the system used and maintained by the Procurement Division to track purchase requests

**Single Procurement Aggregate Threshold:** the maximum amount that a collection of individual procurements purchased at the same time may cost, the maximum total purchase cost; R33 has set the threshold at $5,000

**Small Purchase:** a purchase that does not exceed the individual procurement threshold, the single procurement aggregate threshold, and the annual cumulative threshold, requires completion of DAS/Purchasing training

**Sole Source:** a procurement situation in which the item or service is available from only one source

**State Chief Procurement Officer:** Director of DAS/Purchasing; the chief procurement officer for State cooperative contracts

### Background

**Purchases under Title 72 – Transportation Code:**
UCA 72-1-202(e) grants the Executive Director of the Department authority to “purchase all necessary equipment and supplies for the department.” UCA 63G-6a-106(3)(1) states that the Department “may make rules governing the procurement of highway construction or improvement.” The Executive Director has delegated this authority to the Procurement Division Manager, who may independently approve all such Title 72 procurements, regardless of amount.
Purchases under Chapter 63G-6a – Procurement Code:

UCA 63G-6a-302(4) grants the State Chief Procurement Officer authority over all procurements except those with independent procurement authority and those with expressly provided procurement authority in the Procurement Code (such as Title 72 authority). The State Chief Procurement Officer has issued to the Procurement Division Manager a delegation of limited purchasing authority (LPD017) that allows the Procurement Division Manager to independently approve purchases up to $30,000 for procurements that do not qualify as Title 72 procurements.
Responsibility: All Department employees with purchasing authority

Actions

1. Complete successfully the Small Purchases Training developed by DAS/Purchasing.

2. Determine if the situation is a threat to the public health, safety, or welfare. Follow the procedure for emergency purchases (refer to Procedure 02A-01.2) in this case.

3. Determine the quantity and specification of the item or service needed.

4. Obtain managerial authorization to expend funds.

5. Work with the appropriate Department division (refer to Policy 08A1-01, 08B-12, and 08B-29) if the item or service needed involves engineering services, construction, or utilities relocation.

6. Contact the Equipment Management Division for purchases of vehicles and heavy equipment, the Department of Technology Services for information technology projects and purchases, or the Comptroller’s Budget Office for all other capital outlay purchases.

7. Search the Department’s agency contracts on the Procurement Division’s Web site and determine if the item or service is available on an agency contract.

8. Use the contract to make the purchase (refer to Procedure 02A-01.5), unless the situation qualifies as an unanticipated urgent purchase (refer to Procedure 02A-01.5) if the item or service is available on an agency contract.

9. Determine if the item or service is available from UCI, DAS-Mail, DAS-Print, DAS-Fleet, or DTS.

10. Make the purchase from that source (refer to Procedure 02A-01.3) or obtain written permission to make the purchase elsewhere (refer to Procedure 02A-01.4) if item 9 applies.

11. Search State cooperative contracts on DAS/Purchasing’s website and determine if the item or service is available on a State cooperative contract.
12. Use the contract to make the purchase (refer to Procedure 02A-01.5), unless the situation qualifies as an urgent unanticipated purchase (refer to Procedure 02A-01.6) if the item or service is available on a State cooperative contract.

13. Determine individual unit price, the total purchase price, and the number of potential suppliers of the item or service.

14. Proceed with the purchase by following Procedure 02A-01.7 if no other procedure applies.
Responsibility: All Department employees with purchasing authority

Actions

1. Determine the quantity and specification of the item or service needed to address an emergency condition. Emergency procurements are limited to only those supplies, services, or construction items necessary to meet the emergency.

2. Contact the Procurement Division as soon as possible via phone call, voice mail, or email to explain the situation.

3. Make the procurement with as much competition as reasonably practicable while avoiding harm, or risk of harm, to the public safety, welfare, or property.

4. Obtain at least two, preferably three quotations for purchases of $1,000 to $5,000 that are not under State cooperative or agency contract, if time permits.

5. Send a description of the emergency condition and, if time permits, quotations to the Procurement Division.

6. Enter requisition into PSO for purchases over $5,000 as soon as the emergency situation permits.

7. Include the required specification and emergency justification information in the PSO.

8. Purchase from the lowest bidder meeting scope of work or specifications.

9. Receive item or service.

10. Check bill of lading and verify receipt.

Responsibility: Procurement Division

11. Review request in PSO for completeness and accuracy.

12. Review emergency procurement for compliance with emergency procurement rules.

13. Determine the applicable purchasing authority.
14. Proceed with procurement authorization, following procurement rules.

15. Authorize in writing the emergency procurement, stating the emergency condition that necessitated the procurement.

16. Provide the purchaser with an approval number.

Responsibility: Purchaser

17. Receive invoice and verify correct quantity and pricing; approve for payment.

18. Pay with p-card if appropriate.

19. Forward all documentation to Comptroller’s Office or Region Accounts Payable group.

Responsibility: Comptroller’s Office, Region Administration Offices

20. Verify payment is made and coded correctly in FINET, by reconciling the p-card IET document or by entering a PRC, GAX, or GMA document.
Responsibility: All Department employees with purchasing authority

Actions

1. Contact your IT Coordinator to order software, IT consulting services, and DTS-supported hardware through DTS. End users may order directly from the providing agency for all other items and services.

2. Use the correct accounting (either a full FINET coding block or an ELCID) information to order from the producing or distributing agency.

3. Verify receipt of item or service, and pricing.

4. Forward documentation to Comptroller’s Office or Region Administration Office.

Responsibility: Comptroller’s Office, Region Administration Offices

5. Verify that interagency transactions (IET, ITI and ITA documents) post correctly in FINET.
Release from Purchasing from Other State Agencies  

Responsibility: All Department employees with purchasing authority

**Actions**

1. Submit request for exception to Region Administrative Services Manager or Comptroller’s Service Center Manager if the item is available from another State agency but the cost, specifications, or availability from that State agency does not meet user requirements.

Responsibility: Region Administrative Services Managers, Comptroller’s Service Center Manager

2. Review request and compare non-State source to State source based on cost, specifications, and availability.

3. Forward valid requests to Procurement Division Manager.

Responsibility: Procurement Division Manager

4. Review request and forward valid requests to the Director of the other State agency and to the State Chief Procurement Officer.

Responsibility: Director of other State Agency, State Chief Procurement Officer

5. Approve in writing or deny request for exception.

Responsibility: Procurement Division Manager

6. Communicate result to requestor.

Responsibility: All Department employees with purchasing authority

7. Proceed with procurement as advised by the Procurement Division Manager.
Responsibility: All Department employees with purchasing authority

Actions

1. Obtain prior authorization as detailed in the contract if the contract is an Authorization Required contract.

2. Follow the requirements of the contract if the contract is a Multiple Award contract.

3. Order directly from the contracted vendor.

4. Receive item or service.

5. Verify that the item or service meets specifications.

6. Receive invoice.

7. Verify that the quantity and pricing are correct.

8. Approve for payment.

9. Pay with p-card if appropriate.

10. Send all documentation to Comptroller’s Office or Region Accounts Payable group.

Responsibility: Comptroller’s Office, Region Administrative Offices

11. Verify that payment is made and coded correctly in FINET, either by reconciling the p-card IET document or by entering a PRC or GMA document.
Responsibility: All Department employees with purchasing authority

Actions

1. Determine that an unanticipated and urgent situation exists.

2. Determine the quantity and specification of the item or service needed to address the urgent situation.

3. Determine applicable contracts by searching agency contracts on the Procurement Division’s website and State cooperative contracts on DAS/Purchasing’s website.

4. Obtain quotations – preferably three.

5. Complete Urgent Purchases Authorization Form (Form PRO-01U) if time permits. Otherwise, request verbal approval from District Engineer or Group Leader.

6. Contact Procurement Division if the request exceeds $5,000.

Responsibility: District Engineer or Group Leader

7. Evaluate request for compliance with urgent and unanticipated criteria.

8. Approve appropriate requests either verbally or by signing Form PRO-01U.


Responsibility: Purchaser

10. Purchase from the lowest bidder meeting scope of work or specifications.

11. Receive item or service.

12. Check bill of lading and verify receipt.

13. Receive invoice and verify correct quantity and pricing.


15. Pay with p-card if appropriate.
16. Forward all documentation to Comptroller’s Office or Region Administrative Office.

Responsibility: Comptroller’s Office, Region Administrative Offices

17. Verify payment is made and coded correctly in FINET, by reconciling the p-card IET document or by entering a GAX document. Enter “PRO-01U” in the accounting line description.
Responsibility: All Department employees with purchasing authority

Actions

1. Verify that the purchaser has successfully completed Small Purchases Training.

2. Proceed with the purchase if individual unit price is under $1,000 and the total purchase price is under $5,000. The purchase qualifies as a Small Purchase.

3. Obtain at least two, preferably three quotations and purchase from the low responsible and responsive bidder if purchase is over $1,000 and under $5,000. The purchase does not qualify as a Small Purchase.

4. Submit all documentation with invoice for payment.

5. Complete a sole source request form and enter into PSO including all required information if purchase is over $1,000 and available from only one source.

6. Enter into PSO including all required information if purchase is over $5,000.

Responsibility: Procurement Division

7. Verify accuracy and completeness of PSO request and information.

8. Determine applicable purchasing authority.

9. Proceed with completion of request following applicable procurement rules.

Responsibility: Purchaser

10. Review bids as applicable, and give award recommendation to Procurement Division purchasing agent.

Responsibility: Procurement Division

11. Create purchase order or contract documents.

12. Distribute to purchaser and to vendor.
**Responsibility:** Purchaser

13. Receive item or service.
14. Check bill of lading and verify receipt.
15. Receive invoice.
16. Verify correct quantity and pricing.
17. Approve for payment.
18. Pay with p-card if appropriate.
19. Forward all documentation to Comptroller’s Office or Region Administrative Office.

**Responsibility:** Comptroller’s Office, Region Administrative Offices

20. Verify payment is made and coded correctly in FINET, by reconciling the p-card IET or by completing a GAX, PRC, or GMA document.

**Responsibility:** Procurement Division

21. Monitor all non-contract purchases to verify that the Department does not exceed the annual cumulative threshold for any vendor.
Purpose

To provide a link for the Utah Department of Transportation (Department) to the State of Utah Inventory Control policies and Procedures (FIACCT08.00).

Policy

A. The Department follows and utilizes the Inventory Control policies and procedures of the State of Utah (FIACCT 08.00 through 08.10) as established by the Director of Finance, Department of Administrative Services (DAS-Finance) according to Utah Code Annotated Section 63A-3-203 as amended and the State of Utah Procurement Rules and Regulations.

B. The web-site link to the Inventory Control policies and procedures (FIACCT 08.00 through 08.10) is http://finance.utah.gov Accounting Policies and Procedures, Inventory.
Purpose
To establish a procedure for the receipt and distribution of materials at the Utah Department of Transportation (Department) central warehouse.

Policy
Materials are received and distributed according to generally accepted warehousing and material management practices and the inventory policies and procedures of the State of Utah (FIACCT 08.00-08.10).
Procedures
Receipt of Inventory Material UDOT 02A-03.1

To provide a consistent process and procedure for receiving inventory materials into the Department warehouses.

Responsibility: Warehouse Specialist

Actions

1. Match the packing slip received from the supplier with the purchase order provided by the inventory purchasing agent. Match the applicable paperwork with the original request or order for materials transferred from a department warehouse.

2. Count the material. Ensure items and quantities received match the packing slip and order information.

3. Resolve any discrepancies between the packing slip, order, and material received.

4. Date the packing slip and order and then sign as the responsible party.

5. Make copies of the purchase order received and file in daily receiving file.

6. Forward the purchase order receiver to the inventory purchasing agent technician for and stock material. Contact the ordering customer for non-stock material for pick up. Put stock material into identified inventory locations. Perform a shelf count on the existing material. Forward the information to the inventory control technician.

7. Obtain a receipt signature to verify material was disbursed for non stock materials.

8. Forward the information to the inventory control technician.

Responsibility: Inventory Control

9. Enter receiver according to Inventory Control Procedures. (FIACCT 08.00-08.10)
Issue of Inventory Material

To provide a consistent process and procedures for issuing inventory materials from the department warehouses.

Transaction procedures are described in the Inventory Control Procedures.

Responsibility: Requestor

Actions

1. Order material using Over-The-Counter form (OC) or entering SRQ or TRQ orders according to Inventory Control Policy and Procedures. (FIACCT 08.00-08.10)

Responsibility: Warehouse Personnel

2. Print pick tickets from system using Inventory Procedures. (FIACCT08.00-08.10)

3. Material is picked and provided to requestor, signed, and dated.

4. Fill out transfer issue (TI) if necessary.

5. Forward all completed forms to Inventory Control for entry.

Responsibility: Requestor

6. Material is matched with original request and order is signed stipulating receipt of material.
Return to Supplier

To define procedures for returning incorrect material to the supplier that has been provided incorrectly.

**Responsibility:** Supplier

**Actions**

1. Material is physically provided by the supplier.

**Responsibility:** Warehouse Specialist and Purchasing Agent

2. Determine material is incorrect or does not meet specifications.

**Responsibility:** Warehouse Specialist and Purchasing Agent

3. Perform research to identify the problem with the material, the date received, and if necessary decide who received the material.

4. Notify Department purchasing and Central Warehouse of the need to return the material.

**Responsibility:** Warehouse Worker

5. Place the material into the designated “to be returned” area with supporting documentation.

**Responsibility:** Purchasing

6. Notify the supplier that material will be returned.

7. Set the material aside to be picked up by supplier if the supplier agrees to accept the return of the material immediately.

8. Do the following if a Receiver (RC) has been entered into the inventory system.
Responsibility: Inventory Control or Purchasing Agent

9. Modify the Receiver (RC) document or Over the Counter (OC) document. Return to Vendor is created and entered. This document is put with the incorrect material for supplier signature when picked up.
Return From Region

To define procedures for returning material from the Regions to the Central Warehouse.

Responsibility: Region Personnel

1. Determine material ordered is the wrong item or no longer needed.

2. Contract central warehouse manager. Material can be returned according to the following criteria:
   a. Material is still used at the Central Warehouse.
   b. Projected usage is sufficient to meet Central Warehouse Inventory turnover practices.
   c. Space is currently available to store the quantity to be returned.

The Region will either find another use or surplus the material if material does not meet the above criteria.

Responsibility: Warehouse Manager or Inventory Control

3. Provide authorization to return the material if it meets the outlined criteria.

4. Determine if material is or is not in region stock.

5. Give authorization for region to do a transfer issue (TI) and it is received by a transfer receipt (TR) if material is in Region Stock. (FIACCT 08-01-03-04)

6. Modify the document and receive back into the Central Warehouse Stock if material is not in the region stock but a document number is available.

7. Perform an inventory adjustment (IA) to return the material to stock if the material is not in the region stock.
8. Issue correct material as necessary if material is being returned due to:
   
a. Wrong size
   
b. Wrong commodity number
   
c. Unit of measure discrepancy
   
d. Wrong item provided
Transfer Issue Modification

To define procedures for performing modifications to the transfer issue (TI) document when material is provided directly to the customer without going through the transfer request (TR) process. Procedures to perform original Transfer Issue transactions are outlined in the Inventory Control Procedures. (FIACCT08-01-03)

Responsibility: Warehouse Personnel

1. Identify a problem in material provided directly to the customer through a transfer issue (TI) transaction.

2. Perform the modification depending on the problem as follows:
   a. Where the wrong item is ordered by the customer and issued:
      1) Modify to zero on the original document the wrong item issued.
      2) Input a new line item for new material
      3) Issue the new item
      4) Restock the returned item
   b. Where the quantity received is less than or greater than needed:
      1) Return to stock the extra amount ordered or pull the short quantity.
      2) Modify the document to decrease or increase the order amount if necessary.
   c. Where the wrong commodity is issued:
      1) Check the commodity code and description for the item issued.
      2) Issue the correct item and restock the incorrect item if the commodity code is correct.
      3) Modify the line to zero, enter a new line, and issued the correct item if the commodity code is incorrect.
d. Where the item provided was delivered wrong by the supplier:

1) Return the item to receiving.

2) Follow the returns to vendor procedure.
To define procedures for performing modifications to the Over the Counter (OC) document. The procedure to perform the original OC transaction is outlined in the Inventory Control Procedures.

**Responsibility:** Warehouse Personnel

**Actions**

1. A problem in material direct charged to the customer through an OC transaction is identified.

2. Perform the modification depending on the problem identified as follows:
   a. Where the wrong item is ordered by the customer and issued:
      1) Modify to zero the wrong item issued on the original document.
      2) Input a new line item for new material
      3) Issue the new item
      4) Restock the returned item
   b. Where the quantity received is less than or greater than needed:
      1) Return to stock the extra amount ordered or pull the short quantity.
      2) Modify the document to decrease or increase the order amount if necessary.
   c. Where the wrong commodity is issued:
      1) Check the commodity code and description for the item issued.
      2) Issue the correct item and restock the incorrect item if the commodity code is correct.
      3) Modify the line to zero, enter a new line, and issue the correct item if the commodity code is incorrect.
d. Where the item provided was delivered wrong by the supplier:

1) Return the item to receiving.

2) Follow the returns to vendor procedure.
Sell of Material to External Entities

To describe the policies and procedures for the sale of inventory materials to outside agencies.

Responsibility:  Requestor

Actions

1. Complete and Submit an OC supply requisition to the Central Warehouse including date, name, address, signatures, and requestor’s purchase order number.

Responsibility:  Warehouse Manager or Inventory Manager

2. Review the criteria listed below to determine whether the items can be furnished by the Department Central Warehouse. Proceed if the answer is yes. Explain to the requestor the evaluation process and the determined results if the answer is no.

   a. Does the circumstance of the requestor constitute an emergency?
   b. Is the Department mandated by legislative law to furnish the requested material?
   c. Is the material requested for a Department project or will the project be impacted if not furnished from Department stock?
   d. Is the material currently in stock?
   e. What are the Department user needs?
   f. Will Department users be impacted by this sale?

3. Complete the OC coding using the appropriate Organization, Account, Appropriation, Charge ID, Quantity, Commodity Number, and Description.

4. Access the Inventory System. Inquire and record on the OC the current unit price of material requested.

5. Explain the Department policy of collecting 17 percent overhead costs.
6. Pull the items from the shelf and furnish to the requestor along with the pink copy of the OC transaction.

7. Submit the original and the yellow copy to Inventory Control.

Responsibility: Inventory Manager

8. Separate the original from the yellow copy. Process the original as an issue from the Central Warehouse. Stamp the yellow copy “Accounts Receivable” and send to be data entered.
Purpose
To clarify the use of the State of Utah Purchasing Card Program (P-Card) for the Utah Department of Transportation (Department).

Policy
The Department will follow the State's P-Card policy found at purchasing.utah.gov as well as Utah Procurement Code and Administrative Rule Title R33. P-Card purchases will comply with State Finance purchasing and payment policies (FIACCT 04 and FIACCT 05) found at finance.utah.gov with the following exception:

P-cards may not be used to purchase meals while traveling. The Department has elected to reimburse meals at per diem rates, not at actual expenditure amounts.

Please note the following guidelines:

Only P-Card Site Coordinators may issue P-Cards, change limits, and change purchase restrictions.

Only State employees may be issued and may use a P-Card.

P-Card Holders will attend training upon issuance of a P-Card and additional training as required by the P-Card Site Coordinator.

Department Procurement Division will collaborate with State Finance and with P-Card Site Coordinators to develop and maintain a statewide training course. P-Card Site Coordinators may augment this training with additional site-specific training.

P-Card Holders will collect receipts for statement reconciliation and will ensure goods and services purchased have been received.

P-Card Holders and Supervisors are responsible for entering the correct FINET coding block on the P-Card log or receipt.

Supervisors are responsible to communicate to the P-Card Site Coordinator when P-Card Holders under their supervision transfer, retire, or terminate from the Department.

Supervisors will attend training as required by the P-Card Site Coordinator.
Supervisors may not approve any P-Card purchases made expressly for their own use. Signature approval from the supervisor’s manager is required.

P-Card statements will be reconciled monthly. It is the supervisor’s responsibility to ensure that reconciliations are completed monthly. Failure to reconcile monthly may result in suspension of P-Card privileges.

**Background**
The P-Card Program was established to provide a more efficient and cost-effective purchasing alternative to petty cash, local check writing, low-value authorizations, and repetitive purchase orders.

**Definitions**
P-Card Site Coordinator – Employee at the Rampton Complex and at each Region Headquarter designated by management to administer P-cards at that location and to coordinate with the Division of Finance P-Card Coordinator.

P-Card Holder – Employee to whom a P-Card is issued and the only individual permitted to use that P-Card.
Responsibilities of Internal Audit Division  UDOT 03-01
Effective:  August 2, 2010   Revised:  September 3, 2013

Purpose
To establish the Responsibilities of the Utah Department of Transportation (Department) Internal Audit Division as outlined in Utah Code, Title 72, Chapter 1, Section 204 (3).

Policy
The Internal Audit Division is responsible for:

1. Conducting and verifying all internal audits and reviews within the Department.

2. Performing financial and compliance audits to determine the allowability and reasonableness of proposals, accounting records, and final costs of consultants, contractors, utility companies, and other entities used by the Department.

3. Implementing audit procedures that meet or exceed generally accepted auditing standards relating to revenues, expenditures, and funding.
Auditing Guidance

Purpose
The Internal Audit Division maintains an Audit Manual for the Utah Department of Transportation (Department).

Policy
Audits and review completed by Internal Audit Division according to the Audit Division Manual and appropriate professional and governmental standards.
Responsibilities of the Department’s Audit Advisory Team  
UDOT 03-03
Effective: August 2, 2010  Revised: June 5, 2018

Purpose
To establish the responsibilities of the Utah Department of Transportation (Department) Audit Advisory Team.

Policy
The Department’s Audit Advisory Team will:

1. Consist of the Department Director, Deputy Director for Engineering & Operations, Deputy Director for Planning and Investment, a Transportation Commissioner, and a non-UDOT employee. Internal Audit Division representatives are the Director of Fiscal Audit and Internal Auditor.

2. Review and approve the annual audit plan.

3. Review internal reviews and audits.

4. Provide feedback to the Internal Audit Division.
Purpose
To describe how the Utah Department of Transportation (Department) intends to comply with the Utah Code requirement to conduct an internal performance audit.

Policy
The Department will conduct an internal performance audit annually.

Background
The Utah State Legislature passed House Bill 48 on February 2, 1995, to fund a Department internal performance audit, effective July 1, 1995. The bill was approved on March 10, 1995. The bill allows the Department to hire outside consultants to assist in the audits.

The legislature appropriated $129,000 for the audits.

Due to efforts of the Performance Evaluation Quality Improvement Team (PEQIT), no contract audits were performed in fiscal year 04. The budget was permanently reduced to $64,500 per year in fiscal year 05, based on the recommendation of the PEQIT.
Enterprise Wide Risk Management Policy  UDOT 03-05  
Effective: August 4, 2017

Purpose

Utah Department of Transportation (Department) enterprise-wide risk management provides proper support to fulfill strategic objectives and improves decision-making through thoughtful analysis of transportation related challenges. An effective risk management strategy optimizes costs, preserves reputation, and strengthens desired outcomes. It also reduces the potential for fraud, waste, and abuse of agency assets, funds, and resources.

Statutory Reference

Utah Code 63I-5-401(f)

Policy

The Department’s enterprise wide risk management process will:

- Support the achievement of strategic goals and performance measures.
- Provide greater clarity and transparency to the public for the Department’s decision-making process.
- Encourage thoughtful analysis by key decision makers in the organization when prioritizing funds, personnel, and resources to key projects and activities.
- Improve allocation and prioritization of resources by weighing risks with potential rewards.
- Reduce the chance of harm to the public and the public's interest.

All employees are expected to understand the potential dangers, risks, and vulnerabilities of their respective positions. Each division shall assign risk owners for the following risk types:

Strategic Risks – Risks that affect the entire department and hinder the achievement of major priorities and goals. These risks will be managed under the oversight and delegation from the Executive Director’s Office and the Transportation Commission.

Program Risks – Risks that affect major programs including safety, pavements, bridges, maintenance, information technology, local programs, project delivery, finances, human resource management, asset management, structures and maintenance planning. These risks will be monitored by division and region leaders.
**Project Risks** – Risks that affect cost, scope, schedule, quality, and impact of construction projects. Division and region leaders will assign risk owners based on project type, experience of the owner, needs of the Department, and availability of resources. These risks are monitored by division leaders but managed by individuals assigned as risk owners within the project level.

**Activity Risks** – Risks that affect major ongoing activities from a “ground” level. These may include everyday office risks, activities undertaken by general staff to perform their functions. Division and region leaders will coordinate with project managers, supervisors, and other personnel to identify and manage these risks as needed.

**Department Responsibility**

1. Department leadership will complete an annual risk assessment to include risk types, mitigation strategies, designated risk owners, and risk ratings.

2. Division and Region Directors will coordinate their risk assessment results with the Internal Audit Division (Internal Audit).

3. Internal Audit will provide a master copy of the risk assessment completed by Department leadership to the Executive Director’s Office for review.

4. The Executive Director’s Office will approve the Department risk assessment and oversee the governance of risk management for the agency.

**Internal Audit Responsibility**

1. The Executive Director, with counsel from the Audit Advisory Team, will propose an audit schedule from the risk assessment in accordance with *Utah Code* 63I-5-401(f). The Transportation Commission will prioritize the final schedule.

2. Internal Audit will address all audit reports to the Executive Director’s Office and to the Audit Advisory Team.

3. Internal Audit will provide, as needed, risk based audit reports to the Transportation Commission, the State Auditor’s Office, the Office of Legislative Auditors, and the Governor’s Office of Management and Budget.
Purpose
To keep all interested people advised of plans and programs of the Utah Department of Transportation (Department).

Policy
The citizens of the State of Utah will be kept informed of the plans and programs of the Department and of the Department’s progress in accomplishing these plans and programs.

Other government agencies, officials, interested citizens, and citizen groups affected by the Department’s plans and programs will be informed and consulted to ensure a high degree of coordination by all parties interested in the development of Utah’s Transportation System.

Particular effort will be taken to notify and involve minority groups to ensure that the programs of the Department do not have the purpose or effect of excluding people from or denying them the benefits of Department programs on the grounds of race, creed, color, national origin, sex, or social or economic status.
Purpose
To clarify responsibilities within the Utah Department of Transportation (Department) for media relations and to provide guidance for all Department employees regarding media interaction. A wide variety of employees may be asked to provide expert information for specific media needs. The Community Relations department is responsible for all media relations and all interaction with the media must be coordinated through them.

Working with the media can be an exciting and challenging experience. Regardless of their position in the Department, any Department employee who speaks to the media is viewed as the spokesperson for all of us. Media often will contact random Department employees until they find someone who will talk to them.

Policy
The “Working with the Media, UDOT’s Media Guideline” will be used by all Department employees in dealing with the media. This Guideline is meant to provide directions, resources, and tools for use when contacted by members of the media or are asked by Community Relations to talk to the media.
Purpose
To establish a policy for personnel records and a procedure for the Utah Department of Transportation (Department) employees who want to alter their personnel records.

Policy
The official personnel record of each employee will be maintained by the Department's Human Resource Office. All documents related to the employee should be maintained in the employee's official record.

Additional employee files kept by regions or groups will be considered part of the official file. The region or group leader will be responsible for assuring the security of such files and such files must be placed in locked file cabinets or in secured rooms. Region or group records will be considered a supplement to the central record and will be subject to the rules governing personnel records.

Only information that is relevant and necessary to carry out the proper purpose of the Department may be collected or maintained.

Employment verification requests will be in writing and initiated by the employee.

An employee has a right to review his or her personnel record. The cost for copies of the information requested by the employee will be charged to the employee.

Warning notices or letters of a disciplinary action will remain in the employee’s personnel record. The Department Executive Director may consider removal, in very rare circumstances, through a written request.

Background
This policy and procedure is in compliance with the Department of Human Resource Management's rules.

Definitions
Personnel Record: A work history of an employee while employed by the State of Utah.
Incentive Awards
Effective: January 7, 1983

Purpose
To establish the policy and procedure for granting incentive awards including non-cash awards, to Utah Department of Transportation (Department) employees for significant accomplishment, exemplary performance, service beyond standard expectations, and employee suggestions. This policy is in compliance with the DHRM rules.

Policy

Cash Incentive Awards:
The payment of incentive awards to individual Department employees may be made for cost saving suggestions or other worthy acts that are clearly deserving of official recognition.

This award will be made for work performance, suggestions, or other contributions by individuals or groups of individuals. Such actions represent an exceptional contribution or increased effort that results in an increased improvement of performance in the work product, atmosphere, or objective of the work unit and the Department.

This award is made to employees to recognize efforts of an exceptional nature above the expected job performance and to reward performance that represents an effort by employees to continue the Department's intent to improve its image, attitude, and product. The amount of the award cannot exceed $4,000 for each event per person and not to exceed $8,000 for each person per fiscal year. Awards over $500 typically should be recommended for suggestions or acts that result in cost savings for the Department. Attachment 1 provides suggested dollar amounts and typical reasons for those amounts. Awards will be managed and funded at the low org or group budget level. Financing the award will be the responsibility of the Group, Region, District, or Division making the award. Payment will be made through the regular state payroll process to meet Internal Revenue Services reporting requirements.

The intention of this policy is to encourage and reward superior performance as a supplement to the established pay structure.

An award is not to be given as a substitute for granting of standard advancement, meritorious advancement, or promotion, if such is warranted.

Employees who are on corrective action or received discipline may be considered for a work unit incentive award that is unrelated to the corrective action or discipline.
Incentive awards will not normally be given for participation on a committee, quality improvement team, or task force. An award may be given by the Region Director or Group Leader for an exceptional effort over a period of time that results in a significant improvement to Department processes.

**Non-Cash Awards:**
Each Region or Group Leader or designee has been given the authority to establish a Non-Cash award program for his or her area. The Non-Cash award program has been established in the Department to enable employees the ability to recognize other employees for work performance, suggestions, or other contributions by individuals or groups of individuals. Such actions represent an exceptional attitude, contribution, or increased effort that results in an increased improvement of performance in the work product, atmosphere, or objective of the work unit. These acts are worthy acts that are deserving of official recognition but not at the level that warrant an Incentive Award.

Notes of Appreciation awards can not exceed a value of $50 per item and a cumulative annual value of $200 each fiscal year. Cash equivalents such as gift certificates, movie passes, or admission tickets may not be given as awards.

Notes of Appreciation such as Bravos, Ace, Four Star, Perk Awards, or Applause Awards are worth $3 each and cannot be given more value than $3 apiece.

All employees are eligible for these Notes of Appreciation.

Notes of Appreciation should not be given for everyday activities or expectations that are an employee’s normal duty and responsibility.

Non-cash awards include all awards where items of clothing or other non-cash items are given, such as safety award coats, success award shirts, or celebration awards.

**Administrative Leave Awards:**
The Executive Director or designee has the authority to grant paid administrative leave to employees up to one day per occurrence. Administrative leave in excess of one day may be granted with written approval by the agency head. This is in addition to the four hours typically given to employees by the Governor during the month of December. Administrative leave given as a reward in lieu of cash may not exceed 40 hours in a fiscal year.
Administrative leave awards should not be given for everyday activities or expectations that are an employee’s normal duty and responsibility. The Administrative Leave Awards have been established in the Department to enable Region or Group Leaders or designees the ability to recommend recognition of employees for work performance, suggestions, or other contributions by individuals or groups of individuals. Such actions represent an exceptional contribution or increased effort that results in an increased improvement of performance in the work product, atmosphere, or objective of the work unit. These acts are worthy acts that are deserving of official recognition but not at the level that warrant an Incentive Award and more than a Note of Appreciation.

Employees who are on corrective action or received discipline may be considered for an administrative leave award that is unrelated to the corrective action or discipline.

Only employees that receive benefits are eligible for administrative leave awards. Administrative leave awards will not be given for participation on a committee, quality improvement team, or task force.

**Other Awards:**
Other awards may be available as outlined in the Department of Human Resource Management rules. The Department Director of Human Resources and Senior Leaders must approve these awards.

**Definitions**
A suggestion for this policy is defined as a constructive solution to a problem that contributes to the economy, efficiency, or effectiveness in carrying out the programs or objectives of the Department and may save manpower, materials, money, equipment, or supplies.
Responsibility: Group, Region, or Designee

Actions

1. Establish a team of at least three Schedule B (only) employees to act as the Incentive Awards Team. This team will receive all Incentive Award recommendations or nominations for review and action. Areas may be combined to form one team where small work areas exist.

2. Department leaders are responsible to assure the Incentive Award program is administered in a manner consistent with this policy, within unit budget, and fair to participants. Leaders may establish award approval procedures to assure the program is administered appropriately.

Responsibility: Leader, Employee, Co-Worker

3. Nominates employee or group of employees for award by completing an incentive award nomination form and forwards it to the appropriate Incentive Awards Team for review and action. Refer to Attachment 1 for recommended dollar amounts. Submit nominations, using the form in Attachment 2, within 90 days of recognized action.

Responsibility: Incentive Award Team

4. Serves for a two-year term, with terms staggering.

5. Responsible (Chairperson) for maintaining the records of the actions for their area. Tracks recommended actions to ensure timeliness of the awards.

6. Reviews nominations for all incentive awards, excluding Administrative Salary Increase (ASI) to ensure they are appropriate and meet the criteria for the specific award. Refer to Attachment 1 for recommended dollar amounts. Conflicts that arise during this review should be resolved by seeking additional information from the nominator, coworkers of the nominee, the supervisor of the nominee, and the appropriate level of management within the Group, Region, District, or work unit.

7. Return the nomination, if not approved, to the nominator with an explanation as to why the nomination was not approved.
8. Forward the nomination, if approved, to the appropriate Region or Group Leader or designee for approval and to ensure funds are available for the award.

**Responsibility:** Region or Group Leader or designee

9. Reviews the nomination in light of this policy and the current budget for availability of funds and indicates on the form whether the award can be made then returns the form to the Incentive Awards Team for further processing.

**Responsibility:** Incentive Award Team or Designated Representative

10. Return the nomination, if not approved, to the nominator with an explanation. Completes the FI-48 if nomination is approved and if the funds are available for the award. Enter the information directly into the payroll system for payment. Forward a copy of the documentation for the award to the employee’s Division to be filed in the Division’s employee file.

11. All incentive awards up to $4,000 per employee can be entered directly into the payroll system.

**Responsibility:** Employee

12. Employee will receive incentive award on next payroll check.
Non-Cash Awards

Responsibility: Region or Group Leader

Actions

1. Establish a team of employees to determine who or which unit should administer the Non-Cash Awards Program. Develop guidelines necessary to be in compliance with this policy, DHRM, and Finance Rules. Determine how the Non-Cash Awards will be tracked to make sure that employees will not go over the $200 limit. Distribute guidelines to employees in the specific Region, Group, or District.

Responsibility: Employees

2. Give Department employee that is performing beyond the call of duty a Note of Appreciation that acknowledges the specific action that is being noted. A copy of the Note of Appreciation should be given to the employee’s supervisor. The Notes of Appreciation should be given for reason outlined in this policy.

Responsibility: Supervisor

3. The supervisor will discuss this policy and guidelines of the non-cash award program with the presenter and encourage the presenter to use the program as intended if the Note of Appreciation is not appropriate.

Responsibility: Employees

4. Notes of Appreciation can be redeemed for non-cash items as outlined in this policy.

Responsibility: Appointed Record Keeping Unit

5. Keeps track of the Notes of Appreciation for each employee for the fiscal year. Reports any problems or concerns to the Region or Group Leader or designee.
Responsibility: Region or Group Leader or Designee

Actions

1. Approves Administrative Leave for employees in his or her area in compliance within this policy and the DHRM rules.
## Attachment 1
### RECOMMENDED INCENTIVE AWARD AMOUNTS

<table>
<thead>
<tr>
<th>AMOUNT</th>
<th>REASON</th>
</tr>
</thead>
<tbody>
<tr>
<td>$100 – $300</td>
<td>Employee of the month who shows exemplary performance, cost savings, innovative concepts or ideas, or outstanding work ethics over and above normal job duties. Improves Department image through public service. Contribute to a project, group, or another person who receives National, State, or other special recognition.</td>
</tr>
<tr>
<td>$200 – $400</td>
<td>Team or crew performance award resulting from, exemplary performance, cost savings, innovative concepts or ideas, or outstanding work ethics over and above normal job duties. Creates, designs, or builds equipment that increases productivity or improves existing procedures.</td>
</tr>
<tr>
<td>$300 – $500</td>
<td>Accepts additional work or responsibilities to help work unit for a period of one month or more while maintaining their regular job duties. Employee responsible for implementation of new programs processes that benefit the Department.</td>
</tr>
<tr>
<td>$400 – $600</td>
<td>Develop or improve a process which has a documented cost savings to the Department of $5,000 to $40,000.</td>
</tr>
<tr>
<td>$750 – $4,000</td>
<td>Develop or improve a process which has a documented cost savings to the Department of $40,000 or more.</td>
</tr>
</tbody>
</table>
Utah Department of Transportation
INCENTIVE AWARD NOMINATION

<table>
<thead>
<tr>
<th>NOMINEE:</th>
<th>EMPLOYEE #:</th>
<th>DATE:</th>
</tr>
</thead>
<tbody>
<tr>
<td>GRADE, POSITION, OR TITLE:</td>
<td>GROUP, REGION, DISTRICT, DIVISION</td>
<td>NOMINATOR:</td>
</tr>
</tbody>
</table>

**REASON FOR RECOMMENDATION** (Check those that apply)

- Increased productivity
- Improved efficiency
- Improved customer relations
- Cost Savings - Estimated dollar amount $
- Performance above normal job responsibilities
- Other quality improvements (please describe)

Which quality drivers were used in the preparation of this nomination? Include the reasons in the description below. (Please check one or more of the following.)

- [ ] Customer Focus
- [ ] Quality Service
- [ ] Great Performance
- [ ] Employee Centered

**DESCRIBE WHAT NOMINEE DID:**

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

(attach additional sheets if necessary)

ENTER SUGGESTED AWARD AMOUNT $ ________________

NOMINATOR SIGNATURE: ________________________________
Return completed form to an area Incentive Award members for approval. Use e-mail if possible.

Incentive Award Team
NOMINATION REVIEW AND APPROVAL

<table>
<thead>
<tr>
<th>APPROVED/AMOUNT $</th>
<th>DATE:</th>
</tr>
</thead>
<tbody>
<tr>
<td>REJECTED*</td>
<td>DATE:</td>
</tr>
</tbody>
</table>

TEAM LEADER SIGNATURE ___________________________ DATE: ____________

ARE FUNDS AVAILABLE? yes no

REGION/GROUP LEADER, OR DESIGNEE SIGNATURE ___________________________ DATE: ____________

*LIST REASON(S) FOR REJECTION (return copy to nominator)

_________________________________________________________________

_________________________________________________________________

_________________________________________________________________

_________________________________________________________________

_________________________________________________________________

_________________________________________________________________

Complete Form FI-48 and attach to copy of approved award form.
Purpose
This policy is intended to recognize employees for their service to the Utah Department of Transportation (Department).

Policy
The Department realizes that dedicated employees are its most important asset. Employees will receive a cash service award based on their years of service. Awards will be given in five-year intervals with the amount increasing $50 each period. For example:

- 5 years of service $50
- 10 years of service $100
- 15 years of service $150
- 20 years of service $200
- 25 years of service $250
- 30 years of service $300
- 35 years of service $350
- 40 years of service $400
- Additional five year intervals $50 increments

A certification of service will be presented to the employee at the designated five year intervals in addition to this cash award.

Retirement Awards – Employees eligible for state retirement will receive monetary recognition upon their retirement. This is given at the discretion of the agency and the value of the award will not exceed $200.

Employees must work in an eligible executive branch position where normal employment benefits are provided to be eligible for an award. The required years of service must be actually worked to be included. For example, if an employee works for 29 years, buys one year of service and then retires based on 30 years of service, he or she is eligible for a retirement award but not eligible for a 30 year service award since the person did not actually work 30 years.

Background
This policy and procedure has been developed by an employee group appointed by the Executive Director of Transportation. It is in compliance with the policy issued by the Department of Human Resource Management.

Definition
Executive branch – Agencies of Utah state government
**Procedures**
**Service Award Program**  
**UDOT 05-21.1**

**Responsibility:** Human Resource Office

**Actions:**

1. Distribute a list of potential service award recipients to the Region or Group representatives approximately three months before the actual service anniversary.

**Responsibility:** Region or Group Representative

2. Enter the service award amount on an FI48 (Employee Reimbursement/Earnings Request) form prior to the service anniversary.

3. Email the award information and a form link to the employee and request his or her approval signature.

4. Obtain the employee’s approval signature on the FI48 Form.

5. Enter the service award amount with the employee’s payroll.  
   a. Service awards cannot be paid prior to the employee’s service anniversary date.

**Responsibility:** Community Relations Office

6. Prepare certification and obtain the Executive Director’s signature.

7. Send certification to the Region or Group Representative.

**Responsibility:** Region or Group Representative

8. Give the employee appropriate recognition for his or her service by presenting the service award certificate at a brief ceremony conducted under the direction of the Region or Group Leader.  
   a. This should be done as close as possible to the actual anniversary date.
Retirement Award Program

Responsibility: Department Payroll Coordinator

Actions:

1. Meet with the employee and complete the FI48 Form as part of his or her retirement package.
2. Enter the retirement cash award with payroll at the time of retirement.

Responsibility: Community Relations Office

3. Send notification of the retirement to the Governor’s office.

Responsibility: Governor’s Office

4. Mail the signed retirement certificate to the employee.
Responsibility: Region or Group

Actions:

1. Appropriate receptions can be held for retiring employees and must follow the guidelines established by Utah’s Retirement Refreshments policy (FIACCT 05-03.10).

2. Department employees must complete a Department Request for Pre-Authorization of Meal/Refreshment Purchases form (CMP-55) prior to any purchases.

3. The cost of refreshments served at the reception should not exceed $5 per person with a maximum of $250. The maximum is $500 when the reception is being held for multiple employees.

4. Refreshment funds should be taken from the Region or Group budget. State funds should not be used to supplement the cost of socials held outside of regular working hours, those held in private establishments, or the cost of gifts other than the cash service award provided for by this policy.
Purpose

This policy has been written to inform employees and leaders of the Utah Department of Transportation (Department) of the different compensation options available for employees.

Policy

All compensation rules and policies for the Department are in conformance with DHRM Rule R477-7 on Compensation. Compensation issues not covered in this practice can be found in that rule. This policy is intended to outline areas which may need additional discussion for more clear understanding.

1. Probationary Increases

Probationary increases as defined under previous DHRM Rules no longer exist as of June 28, 1997. Managers and supervisors have the option of approving an Administrative Salary Increase of three percent for new employees who were hired at the entry of the range and who are at the entry 12 months or later. New employees hired above entry of the range are not eligible for this increase. Probationary increases may be given after twelve months of permanent employment. Employees in a TL or IN status will not receive probationary increases.

2. Promotions and Reclassifications

Employees promoted or reclassified to a position with a salary range exceeding their current salary range maximum by any percent are eligible to receive a wage increase of twelve percent. Exceptions will include employees who need more than 12% just to reach the entry of the new range, or employees who bump near or at the maximum of the range of the new position, where they cannot exceed the maximum, unless allowed by DHRM Rule. Additionally, exceptions may be given to employees who receive intermittent wage increases as part of an overall promotion/tiered increase program, or who have been transferred to a lower range.

Employees may not be placed greater than the maximum salary on the range, unless they are in a longevity status, or lower than the beginning salary in the new range.

Employees who remain in longevity status after a promotion or reclassification will retain their salary by being placed on the corresponding longevity wage.
2(a)  **Compensation for Absent Supervisor’s Tasks**

This section addresses potential compensation for employees who are requested to assume the responsibilities of a supervisor who is absent for a length of time.

An employee who is requested to preside over his/her supervisor’s responsibilities may be offered a temporary administrative salary increase (ASI) in an amount not to exceed 12 percent for the time said supervisor was absent. This temporary ASI may only be offered when the supervisor is absent for a minimum of two pay periods (20 working days). Pay can be retroactive to the date the assignment was given.

The manager of the absent supervisor will make the decision as to who will assume the higher duties in consultation with the appropriate Senior Leader.

The Senior Leader, or designee, approves the request for the temporary ASI, using the form found at the end of this policy.

3.  **Administrative Salary Increases (ASI)**

The Administrative Salary Increase provides management with the ability to increase an employee’s salary without classification or related action. DHRM Rules allow employees to be eligible to receive salary increases up to the maximum of their salary range providing the agency has sufficient funds within their annual budget. Requests for ASIs must be in writing and be submitted through the Deputy Director’s office for review. There must be a unique reason for the ASI such as exemplary performance, market inequities, or other special agency conditions or problems. The request does not need to be sent through the Deputy Director’s office if the ASI is used for probationary increases or on certain career ladder increases based on accepted criteria but can be processed through the Human Resource Office.

The Executive or Deputy Director is the final authority for ASIs including being responsible for challenges or grievances resulting from such increases.

4.  **Administrative Salary Decreases**

Administrative Salary Decreases (ASD) provide management with the ability to decrease an employee’s salary for non-disciplinary reasons. DHRM Rules allow salary decreases not to fall below the minimum of the salary range. Requests for ASDs must be in writing and be submitted through the Human Resource Office for review and processing. Such decreases are used for career mobility, transfers, reasonable
accommodation, special agency conditions or problems, or other unique situations or considerations in the agency.

5. **Salaries for New Hires**
New employees can be placed at any point on the salary range as deemed prudent and appropriate. Department Managers are encouraged to consult with the Human Resource office for any salary offer above the entry of the range. The final salary offer will be made with a full understanding of the impact of paying an outside candidate more than current employees.

6. **Salaries for Time Limited Employees (IN or TL)**
Salaries for these positions should be kept at the level that is consistent with the work being performed, the skills of the individual, and the salaries being paid permanent staff. All salaries are subject to review and consultation with the Human Resource Office.

7. **Reassignment**
A reassignment is a management initiated action moving an employee from his or her current job or position to a different job or position for administrative reasons not included in the definition of promotion or demotion.

8. **Transfer**
A transfer is an action not mandated by management moving an employee from one job or position to another job or position with an equal or lesser salary range maximum for which the employee qualifies. A transfer may include a minimum of a five percent (5%) decrease in actual wage. A transfer is an employee’s voluntary act. The Department will allow its employees to seek and accept Department jobs with a lower pay range without losing any money with the following stipulations:

- The employee must sign a “Transfer Agreement” if he or she is selected for a position with a lower pay range.
- When the employee’s wage is not impacted by a transfer to a lower range, then any promotion up to the job from which the employee was transferred, may be a 5% promotional increase. No promotion of 12% will be permitted until the employee is promoted to a job that is at an organizationally ranked higher job than the one from which the employee was originally transferred in this case.
- When an employee receives a 5% or more decrease resulting from a transfer to a lower range, then any promotion after that will follow current UDOT Compensation policy guidelines, for example, all promotions will entail a 12% increase. The employee’s present salary must be within the pay range of the position he or she is seeking.
• It is management’s responsibility to manage the process by selecting the best candidate and not necessarily the employee that wants to move down.

Guidelines for an Administrative Salary Decrease must be used if management adjusts the wage of an employee to a lower percentage when the employee is transferred to a lower level position.

9. **Demotions**
   A demotion is a disciplinary action resulting in a reduction of an employee’s current actual wage for cause.
   • Employees demoted consistent with 05-31 will receive a wage reduction as determined by the Region or Group Leader with approval of the Executive Director. The Region or Group Leader may move an employee to a position with a lower salary range concurrent with the salary reduction.

10. **Emergency Response Pay**
    FLSA non-exempt employees directed to report for work for the purpose of responding to an emergency request may be paid a work incentive of one half of his or her regular hourly salary rate for the Emergency Response hours beyond the normal work schedule in the work week. This incentive will not be paid for hours where the employee has been compensated with 1.5 times regular pay as defined by the Fair Labor Standards Act and administered by the payroll system or for hours where a holiday incentive has been paid.

    An Emergency Response is defined for the purposes of this policy as a natural disaster, or unplanned/unforeseen circumstance where management, or their designee, directs one or more employees to report to work beyond the normal work schedule when an immediate critical response is required to assure the safety of the motoring public. It also applies to reinstate a major and essential operation of the Department that has been suspended due to unforeseen situations. The Region Director will determine when an event qualifies as an emergency.

11. **Compensation for Weekend and Holiday Snow Removal**
    Department employees called out to remove snow and other snow related activities will receive a 50 percent (time and a half) differential for the hours worked on Saturday, Sunday, and observed holidays. Employees will not receive any other supplements to pay such as Shift Differential Pay or Emergency Response Pay when receiving snow removal pay. The Department will not pay for Snow Removal Crews to be on call. Employees will be sent home after working 40 hours for the week if not needed for snow removal or other emergency work. Hours worked beyond 40 hours in a week must be approved by the Station Supervisor.
for snow removal activities and the District Engineer for other emergency work.

12. **Shift Differential Pay**
The shift differential pay plan for employees is based on the following criteria:

- For non-exempt and Area Supervisor positions only,
- There must be sufficient budget to pay the additional costs associated with a shift differential program.
- Any hours eligible for overtime, emergency response, weekend and holiday snow removal, or other additional payments will not be eligible for shift differential pay.
- **Weekday:** All hours worked between 8:00 p.m. and 5:00 a.m. will be eligible for shift differential pay, except as noted above.
- **Weekend:** All hours worked on weekends will be eligible for shift differential pay, except as noted above.
- The rate of additional pay will be $4.00 per hour.
- Senior Leaders may choose to discontinue the program at any time based on budgetary, organizational, or other reasons.

**Background**
This policy is in compliance with the Department of Human Resource Management’s rules and state law.

Any exceptions to this policy will be made in writing to the Department Executive Director or Deputy Director.
This agreement is between the State of Utah, Department of Transportation, and ______________________ (hereinafter “Employee”), EIN: ____________. The purpose of this agreement is to compensate the Employee for temporarily accepting the duties assigned to the ______________________ position. The Employee will be compensated with a temporary ASI increase of ____ percent, which will increase the hourly rate from _______ to _______.

This agreement is effective beginning __________ and may remain in effect until the supervisor’s return, or until the position is filled.

UDOT reserves the right to end this temporary assignment of duties and temporary ASI at any time.

At the conclusion of this assignment, the temporary ASI will be removed and the Employee will be placed at the hourly rate he/she would have attained had the temporary assignment not been accepted.

By signing below, I understand the terms and conditions of this Memorandum of Understanding.

________________________________________  __________________________
Employee                                      Date

________________________________________  __________________________
Senior Leader                                   Date

cc: Human Resource File
UDOT Transfer Agreement

This agreement by and between the Utah Department of Transportation ______________ (Section/Division/Region) and ____________, (Employee’s Name/EIN) serves to describe the conditions under which the aforementioned employee has volunteered to accept a transfer to a lower level job effective_______.

CURRENT AUTHORIZED JOB TITLE____________________________________
CURRENT SALARY _____________CURRENT SALARY RANGE_______________
TRANSFERRED TO JOB TITLE __________________________________________
SALARY RANGE OF TRANSFERRED POSITION____________________________

_____Transfer (no salary decrease)
Employee’s current wage will not be modified as a result of this transfer. Employee recognizes that, if promoted to a different job, 5% promotional salary increases will occur until the employee applies for and obtains a job which organizationally ranks above the job which employee had prior to this Transfer Agreement.

_____Transfer (with salary decrease)
A ____ salary decrease will be taken. Employee is eligible for future promotional increases. Employee shall not receive a new salary lower than the minimum or higher than the maximum of the new range.

_____ Additional/alternate contract conditions:
(Requires H.R. approval)
________________________________________________________________
________________________________________________________________
________________________________________________________________

I, ________________________, agree to this transfer.
(Employee’s name)

Signed_________________________________________________ Employee Date
Signed_________________________________________________ Section/Div/Reg Date
Signed_________________________________________________ Human Resource Office Date

Recruitment # _____________

Distribution: Employee, Supervisor, and Human Resources - Revised September, 2018
Purpose
To establish the policy and procedure for the Utah Department of Transportation (Department) granting management approved cash awards for performance that significantly exceeds the normal expectations of a position. This policy is in compliance with the DHRM Rules.

Policy
Senior leaders of the Department may approve cash awards for employees whose work performance significantly exceeds the normal expectations of a position.

Leaders may recommend and have approved cash awards for employees within their leadership scope of responsibility following the procedure that is set forth in this policy.

Financing awards and assuring that sufficient budget exists will be the responsibility of the Group, Region, District, or Division of the employee receiving the award. Payment will be made through the regular state payroll process to meet Internal Revenue Services reporting requirements.

The intent of this policy is to provide leaders of the Department with a process to reward exceptional performance. It is anticipated that this program will be used prudently and that it will not be a substitute for other forms of recognition that may be appropriate to acknowledge employee performance. Examples of other forms of recognition may include normal merit increases, promotions, Incentive Awards, non-cash awards and acknowledgment, or Administrative Salary Increases.

Definitions
Senior Leader: Executive Director of the Department, Deputy Director of the Department, Region Director, or Group Leader.

Leader: A person with supervisory responsibility for 1 or more subordinate employees.
Responsibility: Senior Leader

Actions

1. Establish a process where performance awards are initiated, approved, and processed for payment to the employee.

Responsibility: Leaders

2. Nominate employees for awards within area of supervisory responsibility. Nominations can be submitted using a form developed by the Region or Group or on a memorandum. Nomination format will be determined based on local needs.

Responsibility: Senior Leader

3. Review and approve performance awards that have been nominated by subordinate leaders.

4. Arrange for award check.

5. Performance awards that are initiated by the Group Leader or Region Director will be approved by the Department Executive Director or Deputy Director.

Responsibility: Payroll Coordinator

6. Follow procedure in policy 05-20 to prepare and distribute payment check.

Responsibility: Leader

7. Present award check to employee. Notify co-workers about the award as appropriate and acknowledge employee performance that resulted in award.

8. Retain written documentation of reason for award and approval signatures.
Purpose
To establish a policy for the relocation of Utah Department of Transportation (Department) employees who are requested to move to a different geographical area.

Policy
The Department will assist in the relocation costs of employees when they are requested to move to a different location at management’s discretion. Management must determine that the move is in the best interest of the Department and it must be approved in writing by the Executive Director.

Employees who apply for positions within the Department in a different work location will not be eligible for relocation reimbursement.

The relocation reimbursement will be available when the distance between the employee’s old residence and new job site has increased at least 50 miles over the distance between the old residence and the old job site.

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.

Relocation reimbursements must be coordinated through the Comptroller’s Division and will be paid through the payroll system.

Background
This policy is in compliance with state law and the Division of Finance policies and procedures (FIACCT 05-03.03.)
Purpose
To outline the Utah Department of Transportation (Department) expectations of employee conduct with regard to conflicts of interest, private business activities of officers and employees, and rules with which employees are expected to comply. The ethical conduct of public employees is a primary concern of the Department. The citizens of Utah rightfully demand ethical and responsible behavior from their public servants.

Policy
This policy is not intended to be all encompassing and does not replace or supersede common sense, good business practice, state or federal statutes, rules, or regulations such as those issued by the Utah Department of Human Resource Management or the Federal Highway Administration. Department employees will comply with all those standards and will be held accountable for failure to meet them. Other misconduct may result in corrective and or disciplinary action up to and including termination at the employer’s sole discretion.

Department employees will protect their integrity and reputation as well as that of the Department, the State of Utah, and their associates by complying with this policy. All leaders and managers will uphold this policy.

The Department and employees will treat each other and customers with whom they come into contact with honesty, courtesy, and respect. The Department wants to be worthy of the highest trust of those with whom we interact.

The Department respects the lives of employees and is becoming increasingly aware of the potential for conflicts of interest and appearance of impropriety or claims of favoritism. Personal relationships are addressed in this policy in order to protect the agency and its employees. The Department commits to working with employees involved to determine whether it is appropriate and possible to adjust reporting or working relationships or whether other changes or actions are necessary.

Employees who are subject to a lawsuit resulting from violations of this policy or other acts that are illegal or out of the scope of State employment duties may not be indemnified under the Governmental Immunity Act.

Any violation of this policy can result in disciplinary, administrative, or other action against an employee though action may be taken against employees for causes other than those listed. Refer to policy 01-04 if there is a potential of fraud.
Conflict of Interest Standards

1. By reading this policy, I am affirming that, to the best of my knowledge, no conflict of interest either real or potential exists as to any matter which will be entrusted in my job or assignment.

2. I affirm that neither I, nor any member of my family, has relationships of an official, professional, financial or personal nature that might cause me to limit the extent of inquiry, to limit disclosure, or to objectively complete my job or assignments in any way.

3. I further affirm that no other current or former personal relationship as defined in this policy, or bias exist that will impair or restrict my independence in performing assigned duties and responsibilities or prevent me from objectively evaluating any proposals entrusted to me as part of my job or assignments based solely on their merits.

4. I also affirm that I am not involved in outside work or voluntary activities that would tend to impair or restrict my impartiality in performing my assigned tasks or prevent me from objectively evaluating work-related issues based upon their merits. If I have outside work or voluntary activities, I will address those in conformance with this policy.

5. If I have any personal relationship or prejudice toward any individuals, groups, organizations, or programs, with who I am or will be involved, or any personal relationship or prejudice that may create the perception of partiality or favoritism, or involved in any work or voluntary activity that poses a conflict or the perception of a conflict, I will immediately make a written disclosure to my supervisor. A determination will then be made of the appropriateness of the capacity of my current job or assignment. The signed disclosure will be in the form of a memorandum and will contain the nature of the personal relationship and the extent to which I believe a conflict exists.

6. It is my responsibility to ensure that I am not or will not become involved in conflict of interest situation or activities. If during the course of employment, a potential conflict arises, it must be immediately disclosed to my supervisor, who may then review the situation with the appropriate individual(s).

Confidentiality

7. I will maintain the confidentiality of all related information to which I gain access as a result of my job or assignment, including but not limited to any written documents, electronic documents, discussions, comments or meetings that are of a sensitive or confidential nature.

8. I will discuss with my supervisor in the event there are any activities which could interfere with the ethical performance of my duties.
9. I will read, in its entirety, this policy and will ensure my supervisor is aware of any outside employment by completing the Department’s conflict of Interest Declaration found at the end of this policy.

Employees who fail to comply with this signed statement may be disciplined, up to and including termination in accordance with DHRM Rule R477-11.

Employees will:

1. Conduct themselves in a manner that is above reproach.
2. Be honest in all work settings.
3. Not be insubordinate or disloyal to the orders of a leader.
4. Not knowingly alter, falsify, or omit necessary information when required or requested by the Department to keep records, make measurements, or calculate quantities.
5. Report any person who has requested that they engage in any work, including inaccurate record keeping or activity which is either contrary to the law, Department rule, or Department policy. Report inappropriate behavior or action to a person in the Department who is over the individual who requested the behavior or action or the region or group leader or higher as necessary. Reports made by employees will be held in confidence and will not jeopardize the reporting employees' position. The employee may also report the incident to the Department Internal Auditor or the State Auditor if he or she believes fraud or waste of public funds is involved.
6. Abide by all civil or criminal laws, regulations, State administrative rules governing their work or professional activities, workplace rules, policies and procedures of the Department. The Department will not condone the activities of employees who achieve results through violation of law or unethical business dealings.
7. Follow the federal and State laws when involved in political activity.
8. Not engage in activities that are incompatible or in conflict with their duties as an employee.
9. Not cause damage to public property or waste public resources, supplies, or funds or use public property for personal or private advantage through negligence or willful misconduct.
10. Make prudent and frugal use of State funds, equipment, buildings, and supplies.
11. Not intimidate, use physical harm, or threats of physical harm against coworkers, management, or the public at any time.
12. Support a work environment that is safe from all forms of violence including domestic violence perpetrated within the workplace.

13. At all times operate state vehicles and state equipment in a safe manner, not violate traffic laws, drive intoxicated, or be under the influence of drugs that affect their performance.

14. Not drink alcoholic beverages of any type or be under the influence of alcohol or controlled substance during duty hours including on-call hours or be in possession of such on State property or in State equipment at any time.

15. Pay or make reasonable provisions for the future payment of their debts to the Department.

16. Obtain and maintain any license or certificate required to perform the essential functions of their position including a proper driver’s license. Report any revocation or suspension immediately to their leader.

17. Perform their assigned duties during the full schedule for which they are being compensated.

18. Be competent and efficient in the performance of their duties.

19. Not be wantonly careless or negligent in the performance of their duties.

20. Have the physical and mental ability to perform essential functions of the position either with or without an accommodation.

21. Meet the standards established in their individual performance plans and report to their leader conditions, circumstances, unclear instructions, or procedures that will prevent them from performing their job effectively and safely.

22. Not abuse sick leave, rest periods, excess hours, or arrive late for their assigned shift nor work overtime hours without prior approval.

23. Not disclose confidential, private, or protected information acquired in the course of their work except to those with a legitimate business reason for obtaining the information unless legally obligated to do so. This applies to employees with access to financial and personal information about employees, contractors, consultants, or others doing business with the Department.

24. Not be involved in personal relationships with another Department employee with whom he or she shares either a direct or indirect supervisory role without promptly disclosing such a relationship to his or her immediate supervisor. The employee should err on the side of disclosure as openness helps to avoid future misunderstandings. A personal relationship is defined for purposes of this policy, as a relationship of a romantic or intimate nature or of a character that could result in an allegation of conflict of interest or inappropriate behavior.
25. Not be involved in personal relationships with any individuals, contractors, groups, organizations, or programs with whom the employee or the Department is involved or currently conducting business without promptly disclosing such a relationship to his or her immediate supervisor.

26. Not circulate rumors degrading the Department or its officers and employees in writing or verbally. Employees are encouraged to follow the procedure specified in Procedure 05-42.1, “Grievance Procedures” if they have a complaint regarding other employees or the Department.

**Conflict Of Interest**

Employees may not use their State position, or any influence, power, authority, or confidential information received in that position for private gain.

Employees may not use any State owned equipment, property or supplies for private gain.

Employees may not engage in any business such as selling goods, materials, or rendering services to the Department on a contractual or fee basis, or to contractors or consultants working for the State, where there may exist a potential conflict of interest.

Employees should not place themselves in a position of indebtedness or obligation to people or companies doing business with the Department.

The State statutes and rules regarding ethical conduct and the acceptance of gratuities are complicated and depend on the particular circumstances of each case. Employees who have questions should contact the Department’s Human Resource Office.

Employees will consult with their leader and obtain Department approval before engaging in activities where a potential conflict of interest exists.

**Ethics Policy for Procurement Professionals**

A procurement professional or their family member may not request or accept any gratuity or kickback from a person who has or is seeking a contract with or a grant from the Department.

1. As used in this policy, procurement professional means:
   a. A Department employee who:
      1) by title or primary responsibility has procurement decision making authority, and;
      2) is assigned to be engaged in the procurement process or the process of administering a contract or grant, including enforcing contract or grant compliance, approving contract or grant payments, or approving contract or grant change orders or amendments.
   b. A Department employee who is employed within the Procurement Division or Consultant Services Division.
2. As used in the Ethics Policy for Procurement Professionals, “family member” means a father, mother, husband, wife, son, daughter, sister, brother, uncle, aunt, nephew, niece, first cousin, mother-in-law, father-in-law, brother-in-law, sister-in-law, son-in-law, or daughter-in-law.

3. “Gratuity” means anything of value given without anything provided in exchange or in excess of market value of that which is provided in exchange, including:
   a. A gift or favor
   b. Money
   c. A loan at an interest rate below the market rate or with terms that are more advantageous to the person receiving the loan than terms offered generally on the market.
   d. Employment
   e. Admittance to an event or entertainment for which a charge is normally made, including sporting events or golf fees.
   f. Entertainment for which a charge is normally made.
   g. Recreational activities with consumables, such as trap shooting, etc.
   h. Lodging
   i. Travel
   j. Meals, regardless of value, including sandwiches, pizza, etc.
   k. Materials of any type including those that are planned to be demolished or transported to a waste management facility.
   l. Clothing, including t-shirts, vests, jackets, hats, etc.
   m. A raffle, drawing for a prize, or lottery.
   n. A gift card regardless of value.
   o. Other gifts such as multi-tools, etc.

4. A “gratuity” does not include:
   a. An item, including a meal, in association with a training seminar, that is included in a contract or grant, or provided in the proper performance of a requirement of a contract or grant.
   b. An item requested to properly evaluate the award of a contract or grant.
   c. A rebate, coupon, discount, airline travel award, dividend, or other offering included in the price of a procurement item.
   d. A product sample submitted to a public entity to assist the public entity to evaluate a solicitation.
   e. A political campaign contribution.
   f. An item generally available to the public.
   g. Anything of value that one public agency provides to another public agency.
   h. A raffle, drawing for a prize, or lottery that is open to the general public and is not offered by a person who has or is seeking a contract with or a grant from the Department. Raffle, drawing for a prize, or lottery is not considered open to the general public if the raffle, drawing for a prize, or lottery is offered at an event or conference at which a registration fee or other fee is normally charged to participate in the event or conference.

5. “Kickback” means a gift given in exchange for favorable treatment in a pending procurement or the administration of a contract.
6. Procurement professionals that receive a gift must return the item.

7. Procurement professionals that accept a perishable item on behalf of the Department may donate the item to charity or share the item at large with coworkers or the public, including food gift baskets, candy, etc.

Procurement professionals may accept a hospitality gift to the State from a person who has or is seeking a contract with or grant from the Department, subject to the following restrictions:

1. “Hospitality gift” means a token gift of minimal value given for promotional or hospitality purposes, including:
   a. Pen, pencil, stationery, toy, pin or trinket, such as a golf tee or a golf ball.
   b. Nonalcoholic beverage such as water, soda, or juice.
   c. Snack or appetizer, such as cookies, donuts, or chips.

2. Hospitality gifts may be accepted with a value of less than $10 and a total, cumulative value of less than $50 in a calendar year from any individual or combination of individuals from a single business or firm.

Procurement professionals may not accept any meal from a person who has or is seeking a contract with or grant from the Department. However, procurement professionals may accept a meal offered by a person who is not seeking a contract with or grant from the Department if any of the following conditions are met:

1. The meal is part of a conference or event in which:
   a. The cost of the meal is included in the normal registration fee paid by the State on behalf of the employee, or;
   b. The employee has been invited by another entity to participate in the conference or event, such as receiving a plaque for meritorious public contribution or presenting a speech or other presentation.

2. The meal is offered as part of a normal business meeting or event between the State and the following entities and is generally made available to all participants:
   a. A government entity, such as municipal, county or state government.
   b. An organization or association, including a professional or educational association, or an association of vendors, such as a Chamber of Commerce or trade association.
   c. An association composed of public agencies or public entities that does not as an organization or association respond to solicitations.

3. Meals paid by the State for which prior approval has been given by the Deputy Director.

Procurement professionals may accept on behalf of the Department and with no intent to influence a procurement decision or take action relating to the administration of a contract or grant, a voluntary gift or donation of money, service or anything else of value to the Department for the Department’s use and not for the primary use of an individual employed by the Department, including:

1. Admission to a seminar, conference, vendor fair, charitable event, fundraising event or similar event that directly relates to the function of the State.
2. Purchase of a booth or other display space at an event sponsored by the State or a group of which the State is a member, such as a payment for a vendor booth at the annual UDOT Transportation Conference.

3. Sponsorship of an event that is organized by the State.

4. Philanthropic donations.

5. An item given on behalf of a foreign government that becomes the property of the State.

Procurement professionals may accept, with no intent to influence a procurement decision, a plaque or a memento of no value for meritorious public contribution.

**Ethics Policy for Employees, Excluding Procurement Professionals**

An employee may not accept a gift or other compensation, including a gift card regardless of value, either directly or indirectly, that might be intended to influence or reward the individual in the performance of official state business.

For the purposes of this policy, “gift” does not include:

1. The following items with a total, cumulative value of less than $50 in a calendar year from any individual or combination of individuals from a single business or firm:
   a. Food, refreshments, or meals of limited value.
   b. Trinkets or mementos of nominal value.

2. Opportunities, discounts, rewards, and prizes open to the general public or all employees of the State of Utah. Opportunities, discounts, rewards, and prizes are not considered open to the general public or all employees of the State of Utah if the opportunities, discounts, rewards, and prizes are offered at an event or conference at which a registration fee or other fee is normally charged to participate in the event or conference.

3. Plaques or mementos recognizing service.

4. Gifts from family members, extended family members, or other employees of the State of Utah.

5. Gifts from personal friends where it is clear that the gift is motivated by personal friendship and not by the employee’s position in the State.

6. Small efforts of common courtesy or other services of nominal monetary value.

7. Funeral flowers or memorials.

8. Bequests, inheritances, and other transfers at death.
9. Attendance or participation at a widely attended event that are related to governmental duties.

10. Travel to and from widely attended events related to governmental duties where acceptance of such travel would result in financial savings to the State of Utah.

11. Items of limited value presented to all participants at an event as part of the event if the employee is a participant in the event.

12. Campaign contributions received in accordance with Title 20A, Chapter 11, Utah Code.

13. An item presented on behalf of a foreign government that becomes the property of the State.

The employee may return the gift, pay its market value, or donate the gift to the State of Utah if that employee receives a gift, either directly or indirectly, that cannot be accepted. The gift may, with approval of the Department Executive Director if the gift is perishable or not practical to return, be shared with co-workers or given to charity.

**Outside Employment**

State employment will be the principal vocation of full-time employees governed by these rules. It is the responsibility of all Department employees to ensure that they are not or will not become involved in conflict of interest situations or activities.

No employee of the Department will perform any work as an employee or a contractor for any individual or organization (public or private), nor perform voluntary activities where there is a conflict, the potential for a conflict, or the appearance of a conflict with the Department.

The Department reserves the right to require an employee whose outside work is deemed to be incompatible with the interests of the Department to terminate their secondary job. Failure to do so may result in discipline, up to and including termination.

All Department employees with secondary employment or performing voluntary activities where conflicts may arise must have a completed Conflict of Interest Form that reflects the current status of their outside work activities placed in their personnel file (form attached). Employees must complete these forms annually or sooner if their secondary employment status changes in any way.

Employees engaging in outside employment are subject to the following conditions:

1. Employees anticipating doing work for a consultant, contractor, or vendor of the Department or contemplating setting up a private business venture, company, or consultant as a principal or part owner, must notify agency management using the Conflict of Interest Declaration and Certification form and receiving approval from the agency leaders before accepting work with any of these organizations.
2. Employees will not have outside employment nor voluntary activities that interfere with efficient performance of their State position; or which conflict with the interests of UDOT or the State of Utah; or gives rise to criticism or suspicion of conflicting interests or duties; or that interferes in any way with their availability during emergencies.

3. For employees who need “last-minute” authorization to perform outside work, it is incumbent upon that employee to verbally notify his/her supervisor or other hierarchical leader of his/her intent to perform outside work. It will then be the responsibility of the supervisor and/or other leader to ascertain whether there exists a conflict and may make a decision at that point. The incumbent will then complete a Declaration Form as soon as is reasonable in order to record written authorization of the secondary employment.

**Conflict of Interest Criteria**

There are several criteria that determine if outside employment or voluntary work are a conflict of interest, has the potential for creating a conflict of interest, or results in the appearance of a conflict of interest. Any one of these criteria by itself may constitute a conflict of interest or the potential for a conflict of interest. These are examples and are not intended to include every possible scenario.

1. Being engaged in work or voluntary activities for an individual or organization other than the department during the same hours the employee is scheduled to be working for the department.

2. Performing work or voluntary activities for an individual or organization other than the department that would impair or appear to have the potential to impair the employee's independence of judgment in the performance of his/her department duties.

3. Performing work or voluntary activities that would render the employee incapable of performing at full capacity in his/her department position because of fatigue, anxiety or other impairments.

4. Performing work or voluntary activities for an individual or organization whose purpose or activities are deemed to be or have the appearance of being incompatible or in conflict with the interests of the State.

5. Outside volunteer or paid work that may induce an employee to improperly disclose controlled information that he/she has gained by reason of Department employment.

6. Outside volunteer or paid work that might interfere with the ethical performance of the employee’s public duties.

7. Receiving compensation for assisting an outside organization or individual in a transaction involving the Department without first filing a disclosure statement in accordance with the requirements found in Section 67-16-6 of the Utah State Code Annotated.
8. Utilizing the Department’s resources and/or materials for purposes other than those required in the position held with the Department.

**Background**

This policy and procedure is in compliance with the Department of Human Resource Management rules, the Utah Public Officers' and Employees' Ethics Act (67-16, Utah Code), the Utah State Personnel Management Act (67-19, Utah Code), the Utah Department of Transportation Policies and Procedures, and good business practices.

**Definitions**

Nonpecuniary gift: For the purpose of this policy is defined as a non-cash gift.
All employees with outside employment are required to submit a Conflict of Interest Declaration Form and Certification form to their immediate supervisor, who will then forward the forms to the region/group leader or designee to gain approval to continue such employment.

Employees who contemplate beginning outside work are encouraged to complete a Conflict of Interest Declaration Form and forward to their supervisor as far in advance of their planned start date as possible so that the required reviews can be completed before they actually start work.

If the nature of the employee’s outside work is significantly changed, a new Conflict of Interest Form must be completed and submitted to their supervisor.

In the case of a consultant or other contractual work, a new Conflict of Interest Form must be completed, submitted, and approved by their supervisor and region/group leader before he/she begins performing work for the new client.

Responsibility: Employee

**Actions**

1. Submit a Conflict of Interest Declaration Form and Certification form to the immediate supervisor or designee describing the nature of the outside employment, whether or not the outside employer contracts with the State, the number of hours involved, and which specifically details how conflicts of interest will be avoided.

2. Submit a statement each time there is a change in outside employment.

3. Failure to notify and gain approval is grounds for disciplinary action if the secondary employment is found to be a conflict of interest.

Responsibility: Supervisor or Designee

4. Determine approval, denial, or referral. The supervisor, if the request is denied, must provide an explanation detailing the reasons for not allowing the employee to work a secondary job.
Responsibility: Region/Group Leader or Designee

5. Determine approval, denial, or conditional approval. The Region/Group Leader or Designee, if the request is denied, must provide an explanation for the disapproval of secondary employment. Conditions, if approval is given with conditions, must be clearly outlined so there is no confusion as to what the employee must do to avoid a conflict of interest to continue his/her secondary employment. The Region/Group Leader or Designee must then make a copy for the employee and forward the forms to Human Resources for placement to the employee’s personnel file. The region/group leader or designee’s decision may be grieved to the Executive Director.
UTAH DEPARTMENT OF TRANSPORTATION
CONFLICT-OF-INTEREST DECLARATION

Name: __________________________  Date: ____________________

This form may only be used after the employee has read and understood UDOT Policy 05-30 “Code of Ethics and Conflict of Interest” policy.

EMPLOYEE STATEMENT

CURRENT UDOT Position: __________________ Title:  __________________
Hours Per Week: _________ Supervisor: __________________________

Duties:

________________________________________________________________
________________________________________________________________
________________________________________________________________

OUTSIDE ACTIVITY:  Volunteer: ____ Employed: _____
Organization: _________________________________

Position: ___________________  Hours Worked: _________________

Expected Duration of Employment/Volunteer Activity: _____________________

Duties:

________________________________________________________________
________________________________________________________________
________________________________________________________________

Please read the Conflict of Interest Criteria and explain in detail how you will avoid a conflict of interest:

________________________________________________________________
________________________________________________________________
________________________________________________________________
________________________________________________________________
________________________________________________________________
CERTIFICATION
(to be completed for secondary employment authorization by all parties listed below)

I have read the UDOT Code of Conduct and Conflict-of-Interest Policy 05-30 and believe that: (check one)

_____ My outside activity does not constitute a conflict-of-interest.

_____ My outside activity may constitute a conflict but request review/approval.

______________________  _____________
Employee Signature   Date

SUPERVISOR ACTION:   Approved: ____   Denied: ____   Referred: ____

After Supervisor checks off the “Action,” supervisor must then forward this Declaration and Certification to the Region/Group Leader or Designee for final review.

_______________________  ______________
Supervisor Signature   Date

REGION/GROUP LEADER OR DESIGNEE ACTION:

Approved: ____   Denied: ____   Conditional Approval: ____

If “Conditional Approval” checked, terms of approval are:

________________________________________________________________
________________________________________________________________

_______________________  ______________
Director Signature   Date
(Copy to employee and Human Resources)
Performance Improvement Plan and Disciplinary Action
UDOT 05-31

Effective: June 4, 1976 Revised: December 17, 2013

Purpose
To establish a procedure in compliance with state rules and to place the responsibility for performance improvement plans and disciplinary action affecting a career service employee in the Utah Department of Transportation (Department) at the appropriate level.

Policy

PERFORMANCE IMPROVEMENT PLAN
The Department will provide a documented and clearly labeled performance improvement plan when an employee's performance does not meet established standards due to failure to maintain skills, incompetence, or inefficiency.

WRITTEN WARNING
A Written Warning may be used to notify an employee of substandard performance and as such may be considered as part of a performance plan tool.

DISCIPLINARY ACTION
Cause for disciplinary action can include noncompliance with the rules, Department policies and procedures, professional and safety standards adopted by the Department, work performance that is inefficient or incompetent; failure to maintain skills and adequate performance levels; insubordination or disloyalty to the orders of a leader; misfeasance, malfeasance, nonfeasance, dishonesty; failure to advance the good of the public interest; or other inappropriate behavior. This also includes any incident involving intimidation, physical harm or threats of physical harm against co-workers, management, or the public; no longer meets the requirements of the position; conduct on or off duty that creates a conflict of interest with the employee’s public responsibilities or impacts that employee’s ability to perform his or her job assignments; or conduct on or off duty that demeans or harms the effectiveness or ability of the agency to fulfill its mission; dishonesty; or other misconduct.

The responsibility to hear appeals of notices of Suspension has been assigned to the Region or Group Leader. The Region or Group Leader will hear appeals of notices of demotions and dismissals on behalf of the Executive Director. The Region or Group Leader will give their recommendations on demotions and dismissals to the Executive Director or designee for a final decision.

The type and severity of any disciplinary action taken may be governed by the following factors, among others as allowed by law:

1. Consistent application of rules and standards
2. Prior knowledge of rules and standards
3. The severity of the infraction
4. The repeated nature of violations
5. Prior disciplinary or corrective actions
6. Previous oral warnings, written warnings, and discussions
7. The employee’s past work record
8. The effect on agency operations
9. The potential of the violations for causing damage to people or property

**DOCUMENTATION**
Leaders should document disciplinary action and the type of action imposed. Leaders should keep careful and precise notes of incidents warranting discipline as well as conversations with and correspondence to the employee to warn, caution, and help the employee for their own benefit and to support the Department’s disciplinary action if challenged. Any letter of performance improvement or disciplinary action should include verification that the employee has seen the letter and is aware of its contents. The employee’s signature will verify that he or she has seen the letter, which does not necessarily mean that the employee agrees with its contents. Note on the document if an employee refuses to sign an acknowledgment of receiving a performance improvement plan or disciplinary action. The leader and a witness will also sign.

**DISMISSAL DURING PROBATION**
The probationary period will be considered part of the selection process. An employee may be separated from employment without right of appeal or hearing at any time during a probationary period. This probationary period allows employees to make effective adjustments to their responsibilities and if they fail to perform properly, they will be terminated. The Department may dismiss the employee at will during the probationary period.

**DISMISSAL OR DEMOTION OF NON-CAREER SERVICE EMPLOYEES**
The Executive Director may dismiss or demote an exempt non-career service employee (appointed positions) without right of appeal by providing written notification to the employee to include the effective date.

Temporary and seasonal employees may be dismissed by their leader at any time with or without cause.
ABANDONMENT OF POSITION
An abandonment of position will be treated as a dismissal with the same procedures. An employee who is absent from work for three consecutive working days without approval and is capable of providing proper notification to the supervisor but does not, will be considered to have abandoned his or her job. The employee has the right to make an appeal to the Department Executive Director, within five working days of receipt or delivery of the notice of abandonment.

Background
This policy and procedure is in compliance with the Department of Human Resource Management Rules and good business practices.

Definitions
Working Day – All days except Saturdays, Sundays, and recognized state holidays.
PERFORMANCE IMPROVEMENT PLANS

Responsibility: Leader

Actions

1. Determine when an employee’s performance does not meet established standards.

Responsibility: Leader and Employee

2. Discuss the substandard performance in an attempt to discover the reasons and set forth a written plan for an appropriate solution. This would be an appropriate time to utilize the employees' performance appraisal where performance standards and expectations are specifically articulated in the performance plan.

Responsibility: Leader

3. Develop a performance improvement plan based on the discussion held with the employee. Appropriate performance improvement plans must include one or more of the following:
   a. Closer supervision
   b. Training
   c. Referral for personal counseling. This is only to be used after contacting the Department’s Human Resource Director or designee.
   d. Reassignment. This is only to be used after contacting the Department’s Human Resource Director or designee.
   e. Use of appropriate leave. Contact the Employee Assistance Coordinator in the Department’s Human Resource Office for help in this area.
   f. Career counseling and out placement. Contact a Recruitment Team member in the Department’s Human Resource Office for help in this area.
   g. Period of constant review
   h. Opportunity for remediation
   i. Written Warning
4. Discuss the performance improvement plan with the employee and give the employee a copy of the plan.

**Responsibility:** Employee

5. Sign the written performance improvement plan or written warning to certify that he or she has reviewed it and has received a copy. Note on the document if an employee refuses to sign an acknowledgment of receiving the performance improvement plan or written warning and have the leader and a witness sign the document. The employee has the right to submit written comments concerning the performance improvement plan to be placed in the employee’s personnel file at the local level.

6. Discuss the performance improvement plan with his or her supervisor to clarify any questions regarding it and to ensure that his or her work will meet Departmental needs.

7. Comply with the performance improvement plan and if not able to do so, discuss the problem with his or her supervisor and seek further assistance or an amendment.

8. Please see 05-40B concerning ADA issues.

**Responsibility:** Leader

9. Send a copy of the performance improvement plan or written warning to the Region or Group to be placed in the employee's personnel file at the local level.

10. Provide the employee frequent evaluations concerning his or her progress. The leader maintains a record of all performance improvement evaluations and maintains any additional documentation.

11. Disciplines the employee if, after reasonable effort, the performance improvement taken does not result in satisfactorily improved performance.

**DISCIPLINARY ACTION**

All disciplinary actions of career service employees will be governed by due process. Disciplinary actions are subject to the grievance and appeal process by law.
WRITTEN REPRIMAND
The written reprimand is used to formally censure an employee by specifying the reasons for the reprimand, noting previous oral warnings or discussions as appropriate, and informing the employee that corrective action is necessary to avoid further discipline. The written reprimand is the only form of disciplinary action that can be carried out at any level of management. The written reprimand can be appealed to the Region or Group Leader acting for the Executive Director. The Region or Group Leader’s decision is final and cannot be appealed further internally.

Responsibility: Leader

12. Recommend a written reprimand for a career service employee. The recommendation should include a concise statement of the charges against the employee, any attempted actions to correct performance, warnings including written warning notices and written reprimands given the employee, and the necessary steps to take or conduct to correct and avoid further discipline.

13. Give the proposed written reprimand to the employee with a copy to the second level leader such as Maintenance Area Supervisor or Construction Engineer and the Department Human Resource Office.

Responsibility: Employee

14. Sign the proposed written reprimand. The employee acknowledges that he or she has seen the information not that he or she agrees with it. Note on the document if an employee refuses to sign an acknowledgment of receiving the proposed reprimand and have the document signed by the leader and a witness.

15. Reply in writing or request a hearing with the second level leader within five working days.

Responsibility: Leader at Second Level – Upon a Request for a Hearing

16. Review the facts and determines if a written reprimand should be carried out.

17. Prepare order either affirming or overturning the written reprimand for the employee’s signature.

18. Discuss the reasons with the First Level Leader if the Second Level Leader overturns the reprimand.
Responsibility: Employee

19. Sign the written reprimand acknowledging he or she has seen the information not that he or she agrees with it. Note on the document if an employee refuses to sign an acknowledgment of receiving the reprimand and have the document signed by the leader and a witness.

20. Accept the written reprimand.

21. Appeal the Written Reprimand within ten working days after receipt to the Region or Group Leader who is acting in behalf of the Executive Director in the grievance process. The Leader’s decision is the agency’s final order.

Responsibility: Leader at Second Level

22. Send a copy of the signed written reprimand to the Region or Group Leader and the Department’s Human Resource Office for placement in the employee’s personnel file.

SUSPENSION
An employee may be suspended without pay for up to thirty (30) calendar days per occurrence. Region or Group Leaders are authorized by the Executive Director to suspend employees in their area after the employee has had an opportunity for a hearing or to respond in writing.

Responsibility: Leader

23. Recommend suspension of a career service employee. This recommendation should include a concise statement of the charges against the employee, any attempted actions to correct or warnings including written warning notices or written reprimands given the employee, and the necessary performance to be improved to avoid further discipline.

24. Give the written recommendation for suspension to the employee with a copy to the Region or Group Leader and the Department’s Human Resource Office.

Responsibility: Employee

25. Sign the recommendation for suspension. The employee acknowledges that he or she has seen the information not that he or she agrees with it. Note on the document if an employee refuses to sign an acknowledgment of receiving the recommendation and have the document signed by the leader and a witness.
26. Has five working days in which to reply in writing or to request a hearing before the suspension is issued.

**Responsibility:** Region or Group Leader

27. Set a hearing date after receiving notification that the employee desires to be heard.

28. Decide whether the employee should be suspended and the length of suspension following a hearing or review of any written reply to charges.

29. Consults with the Department’s Human Resource Office and prepare a letter to the employee with the decision.

**Responsibility:** Employee

30. Sign the suspension notification, if carried out, the employee acknowledges that he or she has seen the information not that he or she agrees with it. Note on the document if an employee refuses to sign an acknowledgment of receiving the recommendation and have the document signed by the leader and a witness.

31. Accepts suspension and complies. The employee can file an appeal with the Career Service Review Board within 20 working days after receipt of notification.

   The suspension will be invoked at the discretion of the Region or Group Leader. The actual suspension usually takes place before an appeal to the Career Service Review Board is heard.

**Responsibility:** Region or Group Leader or designee

32. Sends a signed copy of suspension notification to the Department’s Human Resource Office for inclusion in the personnel file.

**DEMOCTIONS OR DISMISSAL**

The Region or Group Leaders and their direct reports are authorized by the Executive Director to recommend demotions or dismissals. The Region or Group leaders are authorized to hear the case with a recommendation going to the Executive Director for final action.
Responsibility: Leader

33. Recommend demotion or dismissal of a career service employee. This recommendation should include a concise statement of the charges against the employee, any attempted performance improvements or warnings including written warning notices or written reprimands given the employee, and the necessary corrective action to avoid further discipline.

34. Give the written recommendation for demotion or dismissal to the employee with a copy to the Region or Group Leader and the Department Human Resource Office. The recommendation should include a copy of documentation supporting it including records of previous disciplinary actions, performance improvement plans and results, written warnings, E-mail instructions, or cautions.

Responsibility: Employee

35. Sign the recommendation for demotion or dismissal. This documents that the employee has seen the information not that he or she agrees with it. Note on the document if an employee refuses to sign an acknowledgment of receiving the recommendation and have the document signed by the leader and a witness.

36. Has five working days in which to reply in writing or request a hearing before the demotion or dismissal is issued.

Responsibility: Region or Group Leader

37. Acting in behalf of the Executive Director sets a hearing date after receiving notification that the employee desires to be heard.

38. Recommend whether the employee should be disciplined and the type of discipline following a hearing or review of any written reply to charges.

39. Consult with the Department Human Resource Office and prepares recommendation concerning the discipline.

Responsibility: Department Human Resource Office

40. Prepare the letter to the employee for the Executive Director's signature if demotion or dismissal is recommended.
Responsibility: Executive Director

41. Review the recommendations and sign the letter, if in agreement. The Executive Director may meet with the employee to discuss the issue. Any meeting held is not a hearing and evidence will not be taken. Send a formal letter notifying the employee of the findings and the action to be taken. Notify the employee of the reasons for the discipline if disciplinary action is imposed, the effective date, the length of the discipline, and the standard of conduct necessary to avoid further discipline. Send a copy of the notice of demotion or dismissal to the Department Human Resource Office for inclusion in the personnel file.

Responsibility: Employee

42. Sign the necessary documentation that he or she has received notification of disciplinary action.

43. Accept action and complies or appeals to the Career Service Review Board within 20 working days after receipt of notification.

44. The actual disciplinary action takes place before an appeal to the Career Service Review Board can be heard.

AGGRAVATED CASES
The employee may be given Administrative Leave With Pay or be temporarily reassigned to another work location pending an investigation to determine the facts upon which disciplinary action may be taken when the conduct of an employee is such that it would endanger the peace or safety of others, pose a grave threat to the public interest, he or she is charged with aggravated or repetitive misconduct, or for other reasons as determined by Department management.

Responsibility: Region or Group Leader

45. Provide Administrative Leave With Pay when the above conditions exist. Consult with the Department Human Resource Office before or immediately following initiation of administrative leave.
Purpose
To establish a dress standard for the Utah Department of Transportation (Department) employees while on the job that will balance the desire to create a comfortable work environment with the need to convey a professional image to all customers and colleagues.

Policy
Department employees will dress appropriately for their specific employment duties. This policy does not supersede other Department dress standards but establishes guidelines for employees and leaders to determine what is appropriate attire for the workplace.

Appropriate workplace attire includes:
- Clean and neat attire
- Uniform and safety clothing where provided or required
- Generally accepted casual business attire
- Clothing that favorably reflects the Department’s dedicated service to the taxpayers of the State of Utah ensuring the Department maintains a positive image with the public

Inappropriate workplace attire includes:
- Recreational or abbreviated clothing such as shirts that bare shoulders such as tank tops or halter tops; bare midriffs; sweat pants; spandex; scrubs; short hemlines for shorts, skirts, dresses, or skorts; or clothing that is disruptive or offensive to others.
- Clothing with designs or messages that may be offensive to others because of race, color, creed, nation origin, sex, age, or disability.
- Visible body piercing – except ears
- Clothing that does not reflect favorably on the Department’s service to the public

Employees are expected to dress appropriately and professionally for their assigned work. Everyone is expected to wear clothing that meets business requirements of their position.

Leaders are responsible for ensuring appropriate standards are met.
Purpose
To establish a policy for background investigations including driver license checks for the Utah Department of Transportation (Department).

Policy
The Department seeks to employ individuals who are well qualified for their assigned positions. The Department seeks employees whose past history will not adversely affect their ability to successfully perform work duties nor the ability of co-workers to focus on their individual assignments. The safety and security of the motoring public and employees are also a consideration in conducting background checks.

Department Leaders have determined that background investigations will be conducted for all new hires. Background checks may also be performed on current employees. Investigation of those currently working for the Department will be based on the duties of the employee and that individual’s potential impact on the motoring public, finances of the State, security of Department workforce, or other reasons as determined by senior leaders and the Human Resource Director or designee. Driver License checks will also be conducted on all new hires if the position requires the employee to drive a state vehicle.

No background check will be performed without the written consent of the individual being investigated. The results of the background check will be given to the Human Resources Director or designee. Human Resources will share any potentially adverse information with leaders that have a need to know.

Adverse information from the background investigation for employment applicants may result in rescinding the offer of employment or termination of the newly hired employee. Adverse information produced in an investigation of a current employee may result in discipline or other employment action. The employee will be given the outcome of the background check.

Guidelines for determining Department actions based on the results of background checks:

- **New Hires**
  1. An offer of employment will not be made if the selected applicant refuses to sign the authorization for the background check or driver license check.
2. The decision to not extend an offer of employment, rescind an offer previously made, or terminate an employee will be based on the judgment of the Executive Director and/or Deputy Director in consultation with the Human Resources Director or HR Specialist. Adverse driver license information will be considered for positions requiring driving a State vehicle.

   a. Employment decisions will be made based upon an individualized assessment conducted on each prospective or current employee having a conviction to determine the relationship between the offense and the duties of the position.

   b. This will be on a case by case basis and tied to the severity and extent of the criminal activity, including the time that has passed since the offense, conduct and/or completion of the punishment.

3. All other reference and background check information will also be considered in the final determination to employ an individual.

Current Employees
4. Background checks may be conducted on current employees based on the duties of the employee and that individual’s potential impact on the motoring public, finances of the State, security of Department workforce, or other reasons as determined by senior leaders in consultation with the Human Resources Director or designee.

5. An employee who is convicted of a misdemeanor or a felony while employed at the Department is required to disclose the conviction to the Region Director, Group Leader or Human Resources within 10 working days of the conviction. Public Safety records will not be given to the Department without the employee’s written authorization.

6. Employees refusing to authorize the background check may be reassigned to duties not requiring a background review, if they are available, or other action including potential disciplinary action may be taken depending on individual circumstances and the judgment of Department leaders.

7. Disciplinary action may be taken up to and including termination of employment if the background check produces adverse information that should have been divulged at the time of hire and was not.

8. The same criteria used for “new hires” will be considered when conducting background checks on current employees.
Background

This policy and procedure is in compliance with State law and good business practices.

Definitions

BCI: Bureau of Criminal Identification

HRO: Human Resource Office
Responsibility: Hiring Official or designee

Actions

1. Get approval from the Department Human Resource Office to offer a position to applicant following the guidelines established for recruitment and selection.

2. Send a letter of conditional hire to successful applicant that informs the applicant of the specifics of the position, the need to complete a probationary period, to have a background check and driver’s license report, and if required by the position, a drug test.

Responsibility: Region Coordinator or designee and HRO designee

3. Have new hire complete the forms for the background check.

4. HR sends the forms to ERIC for processing.

Responsibility: Bureau of Criminal Identification (BCI) and Public Safety

5. Conduct a background check and driver license report if required on the individual.

6. Send the result of the check to the Department’s Human Resource Director or designee.

Responsibility: Human Resource Director or designee

7. Review the background report and driver’s license check.

8. Take no action if there is no adverse information on report.

9. Decide whether to bring adverse information to the Executive Director or Deputy Director if there is adverse information on the report.

Responsibility: Hiring Official

10. Meet with employee and review information.
11. Allow the employee to provide additional documentation that may change the report.

12. Review additional documentation with Human Resource Director or designee.

13. Proceed with termination if no new information or documentation is received to change the report, and if the conviction is related to the job duties, as determined by the Executive Director and/or the Deputy Director.
Purpose
To inform the Department of Transportation (Department) employees and customers that the Department is an Equal Employment Opportunity employer and believes in Equal Opportunity in all Department programs, activities, and services.

Policy
The Department intends to protect the civil rights of all employees and prospective employees. The Department or any of its employees will not subject a person to discrimination on the grounds of race, color, religion, national origin, sex (including sexual harassment), age, or disability in its personnel practices. This will include recruitment and advertising used in recruitment, hiring, firing, upgrading, ratings, promotions, demotions, transfers, layoffs, terminations, rate of pay, or other forms of compensation or benefits, awards, recognitions, selection for training, use of facilities, and treatment of employees. The Department will take affirmative action to ensure that all of its personnel policies are formulated and administered in such a manner as to avoid any form of illegal discrimination.

Background
This policy and has been developed in compliance with State and federal laws and the Department of Human Resource Management rules and for good business practice.

Definitions
Equal Employment Opportunity (EEO) – A system of employment practices within the Department under which individuals are not excluded from participation, advancement, or benefits because of their race, color, religion, national origin, sex, age, disability, or other factors that cannot lawfully be the basis for employment actions. An employment system in which neither intentional nor unintentional discrimination operates. All people will have equal access to positions and are limited only by their ability to meet the minimum qualifications for the position and to perform the essential functions of the job.

Affirmative Action – Specific actions in recruitment, hiring, upgrading, and other areas that are designed for the purpose of eliminating the present effects of past discrimination usually represented by an under-utilization of minorities and women in job categories.
Affirmative Action Plan (AAP) – A plan that recognizes and addresses the removal of any barriers to equal employment opportunity. The AAP identifies problem areas and people unfairly excluded or held back and action enabling them to compete for jobs on an equal basis. It is a written document through which management strives to reach a state of equal employment opportunity for all people.

Discrimination – An act or acts that are adverse to the employment opportunities of one or more individuals because of his or her or their race, color, religion, national origin, sex, age, disability, or other factors that, under particular laws, may not be considered as a basis for employment actions. Unlawful discrimination may be either intentional or not. Discrimination refers to an alleged violation of specific civil rights legislation including the following:

**Age Discrimination in Employment Act (ADEA)**
This Act bans employment discrimination against individuals on the basis of age (40 or over) in hiring decisions or with respect to compensation, terms, conditions, or privileges of employment.

**Americans with Disabilities Act (ADA)**
This Act prohibits discriminating against qualified individuals with disabilities in all aspects of employment. A person has a disability if he or she has a physical or mental impairment that substantially limits a major life activity. The ADA also protects people with a record of a substantially limiting impairment and people who are regarded as having a substantially limiting impairment.

**Civil Rights Act of 1964 Title VII - Equal Employment Opportunity**
This Act prohibits discrimination in employment on the basis of race, color, religion, sex, or national origin. This is the broadest of equal employment opportunity laws and covers such areas of employment as recruiting, hiring, compensation, terms, conditions, discharges, job assignments, training programs, promotions, and others.

**Civil Rights Act of 1991**
This Act addresses disparate impact, business necessity, bias after hiring, glass ceiling, challenges to seniority systems, compensatory and punitive damages, jury trials, and race norming of test scores.

**Equal Pay Act of 1963**
This Act prohibits employers from paying employees of one sex less than employees of the opposite sex for equal work on jobs that require equal skill, effort, and responsibility, and are performed under similar working conditions. Exceptions are wage differentials based on seniority, merit pay, and piece work.
Purpose
The Utah Department of Transportation (Department) in compliance with the American Disabilities Act of 1990 and the Rehabilitation Act of 1973 ensures that people with disabilities will not be discriminated against in any form by the Department including facilities, services, programs, and communications.

Policy
No qualified employee or applicant with a disability will be subjected to discrimination in employment practices, including job application procedures, hiring, firing, advancement, compensation, training, and other terms, conditions, and privileges of employment, including recruitment, advertising, tenure, layoff, leave, fringe benefits, and all other employment-related activities on the basis of the disability.

The Department will make all decisions concerning terms, conditions, or privilege of employment in a manner assuring that discrimination on the basis of disability does not occur.

The Department will not discriminate against applicants or employees that associate with individuals with disabilities.

REASONABLE ACCOMMODATION

The Department will make reasonable accommodation for qualified applicants with known disabilities for employment unless the accommodation would impose an undue hardship on the operation of the Department. It is the responsibility of the applicant or employee with a disability to inform the Department that an accommodation is needed.

PRE-EMPLOYMENT INQUIRES

The Department will not conduct a pre-employment medical examination or inquiry as to whether the applicant is disabled or to the nature or severity of a disability. The Department may inquire into an applicant's ability to perform job-related functions.
Exceptions:

The Department invites employees to indicate whether they have any disabilities for purposes of Affirmative Action, provided that:

1. The Department makes clear that the information requested is intended for use solely in connection with its affirmative action efforts.

2. The Department makes clear that the information is being requested on a voluntary basis, that it will be kept confidential, that refusal to provide it will not subject the applicant or employee to any adverse treatment, and that it will be used only according to this part.

Nothing in this section prohibits the Department from conditioning an offer of employment on the results of a medical examination conducted prior to the employee's entrance on duty, if all entering employees in that job classification must take such an examination regardless of whether or not they are disabled. Information obtained according to this section will be collected and maintained on separate forms and treated confidentially, except that:

1. Leaders may be informed of restrictions on the work or duties of employees with disabilities and necessary accommodations.

2. First aid and safety personnel may be informed, where appropriate, if the condition might require emergency treatment.

3. Government officials investigating compliance with the Act will be provided relevant information upon request, consistent with the Privacy act of 1974, 5 USC 552a.

ACCESSIBILITY

No qualified person with a disability will be denied the benefits of, be excluded from participation in, or otherwise be subjected to discrimination in employment matters or services rendered by the Department because the Department's facilities are inaccessible to or unusable by people with disabilities.

The Department will follow the Division of Facilities Construction and Maintenance guidelines and ADA requirements for the construction and remodeling of Department facilities.

Background

This policy has been developed in compliance with State and federal laws, the Department of Human Resource Management’s Rules, and for good business practice.
Definitions
An individual with a disability is a person who has a physical or mental impairment that substantially limits one or more major life activities, has a record of such an impairment, or who is regarded as having such an impairment.
Purpose
To help employees within the Department of Transportation (Department) understand and know the Department's position on unlawful harassment based on race, color, creed, national origin, sex (including sexual harassment), age, disability, or protected activity under the anti-discrimination statues.

Policy
The Department prohibits and will not tolerate unlawful harassment in any form, subtle or otherwise, in any and every workplace and will strive to eliminate unlawful harassment from taking place within the Department. Violators will be subject to disciplinary action up to and including termination or referral for criminal prosecution. The Department holds all leaders responsible for eliminating unlawful harassment from their work area and educating subordinates on the effects of unlawful harassment.

Employees are encouraged to use the Department's procedure 05-40D.1 for complaints of unlawful harassment but may directly file with Anti-Discrimination or the EEOC.

Unlawful harassment complaints may be filed regardless of whether or not the behavior occurred on or off duty if it created a hostile work environment.

Leaders who knew or should have known that clearly offensive behavior was occurring on duty or have been made aware of such behavior occurring off duty that creates a hostile work environment and did not take timely action to correct the situation will be subject to corrective or disciplinary action.

Leaders who choose to have a personal relationship with subordinates are risking complaints of sexual harassment, sex discrimination, personal law suits, and are putting the Department in a potential libel position. The leader may not be indemnified under the Governmental Immunity Act, 63-30-36.37 if allegations are made against a leader and found to be valid and will be subject to disciplinary action up to and including termination.

Individuals affected by alleged unlawful harassment are encouraged but not required to confront the accused harasser before filing a complaint.

The accused must not contact the complainant regarding allegations of unlawful harassment once a complaint has been filed.
Employees should do the following when they feel they are being harassed:

1. Continue to report to work
2. Document the occurrences
3. Identify any witnesses
4. Complain officially

No messages with derogatory or inflammatory remarks or images about an individual or group’s race, color, creed, nation origin, sex, age, or disability will be allowed in the work place or transmitted by any electronic method including Internet, e-mail, screen savers, cellular phones, or pagers.

Employees who are subject to a law suit resulting from an act as described above may not be indemnified under the Governmental Immunity Act, 63-30-36,37.

**Background**

The Equal Employment Opportunity Commission (EEOC) has issued official guidelines that define unlawful harassment because of a person’s race, color, creed, national origin, sex (including sexual harassment), age, or disability as forms of discrimination under Title VII of the Civil Rights Act of 1964 and other Federal or State civil rights legislation. This policy is written in compliance with State and federal regulations, with the Department of Human Resource Management Rules, and good business practices.

**Definitions**

Sexual harassment – Any behavior or conduct of a sexual nature that is unwelcome, pervasive, demeaning, ridiculing, derisive or coercive, and results in a hostile, abusive, or intimidating work environment.

- Level One: sex role stereotyping
- Level Two: targeted gender harassment/discrimination
- Level Three: targeted or individual harassment
- Level Four: criminal touching of another’s body parts or taking indecent liberties with another
Hostile Work Environment – A work environment or work-related situation where an individual suffers physical or emotional stress due to the unwelcome behavior of another individual that is motivated by a person’s race, color, creed, national origin, sex, age, disability, or protected activity under the anti-discrimination statues.

Quid Pro Quo – Any behavior that requires an employee to submit to sexual conduct in return for increased employment benefits or under threat of adverse employment repercussions.

Unlawful Harassment – Any behavior or conduct of an unlawful nature based on race, creed, national origin, color, sex, age, disability, or protected activity under the anti-discrimination statues that is unwelcome, pervasive, demeaning, derisive, or coercive and results in a hostile, abusive, or intimidating work environment or tangible employment action.
Complaints Because of Discrimination  UDOT 05-40D
Effective: April 12, 1968        Revised: December 17, 2013

Purpose
To facilitate reconciliation of complaints arising from discrimination or unlawful harassment because of race, color, creed, national origin, sex (including sexual harassment), age, disability, or protected activity at the lowest possible organizational level at the Utah Department of Transportation (Department).

Policy
This policy and procedure provide employees affected by discrimination or unlawful harassment avenues for filing complaints that are free from bias, collusion, intimidation, or reprisal. Unlawful harassment can be based on a person's race, color, creed, national origin, sex, age disability, or protected activity. The Department will protect the confidentiality of harassment complaints to the extent possible.

Employees are encouraged to go to the harasser directly and tell the harasser that he or she wants the misconduct to stop.

Criminal touching or acts that shock the conscience are to be referred immediately to the Department's Human Resource Office for a formal investigation in complaints of sexual harassment incidents involving accusation of quid pro quo.

A formal investigation will be conducted by an investigative team that will consist of at least two people, preferably male and female who have undergone and completed training specifically designated for sexual harassment investigation in complaints of sexual harassment.

Complaints of discrimination will be investigated in a timely manner and appropriate corrective or disciplinary action will be taken as necessary to stop the discriminatory behavior up to and including termination.

REPRISALS
Reprisals are prohibited against any employee who opposes a practice forbidden under this policy and procedure or has filed a charge, testified, assisted, or participated in any manner in an investigation, proceeding, or hearing under this policy and procedure, or is otherwise engaged in protected activity.

Any act of reprisal toward the complainant, witnesses, or others involved in the investigation will be subject to corrective action or disciplinary action.
Background
This policy and procedure has been developed in compliance with State and federal laws, the Department of Human Resource Management’s Rules, and for good business practice.
Procedures
Complaints of Discrimination

An EEO Representative may handle possible problems of discrimination in the form of unlawful harassment if the complainant so chooses before an informal review by senior leaders. The EEO Representative of that Region or Group may meet directly with the complainant, leader, or both if contacted by the complainant. The EEO Representative may inform co-workers and appropriate leaders, with the complainant's permission and without identifying the complainant, about potential problems and warn them of consequences including disciplinary action if inappropriate behavior is not discontinued.

Responsibility: Complainant

Actions

1. Submit the complaint to their leader, Region or Group Leader, designated Region or Group EEO Representative, or the Department's Human Resource Office or the Department of Human Resource Management.

Responsibility: Leader or Designated EEO Representative

2. Contact the appropriate Region or Group Leader for the area and inform him or her of the complaint.

3. The leader or EEO Representative should immediately contact the Human Resource Director if the complaint is against a Region or Group leader or a senior leader.

STOP DO NOT GO ANY FURTHER UNTIL CALLING THE HUMAN RESOURCE OFFICE

Responsibility: Region or Group Leader or designee

4. Contact the Department’s Human Resource Office to determine if an informal review can be conducted or if a formal review is needed.

5. Conduct an informal review of the complaint in an attempt to reach a satisfactory solution, which may include corrective or disciplinary action if an informal review is agreed. The informal review group should include both male and female representation if the complaint is based on sex.

6. Present findings to the Department’s Human Resource Office for review and possible recommendations.
7. Prepare documentation toward resolution of the complaint. Document the resolution in writing with the complainant, accused, and other critical parties that have a need to know, receiving copies and a copy is sent to the Department Human Resource Office and Human Resource Director, marked confidential.

8. The Human Resource Office must review all findings if disciplinary action is recommended to determine if a formal review is necessary.

**FORMAL INVESTIGATION**

The Human Resource Director is contacted if satisfaction cannot be obtained through the informal means. A formal investigation will be initiated by trained investigators.

**Responsibility:** Investigators

9. Conduct an investigation of the alleged discrimination. Initiate an independent investigation into the allegations that need not be based on the complainant's choice of action.

10. The investigative team may prepare and submit a report for the Department Executive Director or designee that includes findings and recommendations.

11. Refer the matter to the Attorney General's Office or County Attorney as appropriate if an investigation reveals evidence of criminal conduct.

12. Document the findings if an investigation of unlawful harassment or discrimination reveals that the accusations are unfounded, terminated the investigation, and notify appropriate parties.

**Responsibility:** Executive Director or designee

13. Review complaint and makes necessary decision.

**Responsibility:** Department Human Resource Office

14. Separate confidential records of discrimination complaints will be maintained and stored in the Department’s Human Resource Office for a minimum of three years. Information contained in the complaint file is classified as protected and will be released only by the Executive Director in compliance with the requirements of law.

15. Separate files related to discrimination complaints will not be kept by leaders.
**Purpose**

To clarify the Utah Department of Transportation’s (Department) position on relatives at the workplace and the hiring of relatives. This policy assists managers in avoiding a conflict of interest with regards to nepotism.

**Policy**

Relatives of employees in supervisor or management positions should not be employed in any area under the manager's span of control. No Department employee may directly supervise a relative or make salary or performance recommendations for a relative. In addition, no Department employee may employ, appoint, or recommend the appointment of a relative to any position in the Department.

Relatives may not report to the same immediate supervisor.

A transfer/reassignment will be made to another area when marriage/cohabitation causes a violation of the above restrictions.

Exception to the above may be as follows:

New Hires, Promotions, or Transfers:

1. The applicant is eligible or qualified to be hired, promoted, or transferred by the Department.
2. The applicant is the only person available, qualified, or eligible for the position.
3. The hiring supervisor may ask for an exception to this policy if the position is not a direct report, but falls within the manager's span of control.
4. Any other situations requiring exceptions must conform with the steps below.

Compliance with the following must occur if an exception is requested on the basis of the above.

1. A request for an exception must be sent to the Human Resources Office for review. The Human Resource Office will forward the request to the Executive Director or designee for approval, with their recommendation.
2. A complete written disclosure of the relationship by all employees involved must be included in the request and will be kept in the Human Resource Office if the exception is approved.

3. The employee who exercises authority over a relative may not evaluate the relative’s job performance nor recommend a salary increase for the relative.

All Department employees with a relative employed by the Department must have a completed Disclosure of Relatives Form (attached) on file with the Human Resource Office. This form must also be completed once the employee becomes aware of a change in their employment of relatives’ status in any way.

Background
This policy is in compliance with state law, Utah Code 52-3-1 and DHRM rules. It is the responsibility of the hiring official to insure that there is no violation of the policy. Managers should follow the guidelines of this policy as they make appropriate human resource moves.

Definitions
Relatives will be defined for this policy as: spouse, child, parent, and sibling (including in-laws and step relatives), grandparent, grandchild, uncle, aunt, nephew, niece, first cousin, or cohabitating employees.
UTAH DEPARTMENT OF TRANSPORTATION
DISCLOSURE OF RELATIVES FORM

This form may only be used after the employee has read and understood UDOT Policy 05-41 “Nepotism.”

Name: ____________________________ Employee ID Number: __________

Supervisor: ________________________

All Department employees with a relative employed by the Department must have a completed Disclosure of Relatives Form on file with the Human Resource Office. This form must also be completed once the employee becomes aware of a change in their employment of relatives’ status in any way.

Please list the name, relationship, and work location of any relatives currently working for UDOT. This information will only be used to verify compliance with State Law and the UDOT Nepotism policy.

Relatives are defined as: spouse, child, parent, and sibling (including in-laws and step relatives), grandparent, grandchild, uncle, aunt, nephew, niece, first cousin, or cohabitating employees.

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I affirm that the foregoing is true to the best of my knowledge and I further agree that I will adhere to the UDOT Nepotism Policy.

___________________________________    ________________
Employee Signature       Date
Purpose
To ensure that all career service employees have the right to present their grievances for consideration in an orderly manner in those matters over which the Utah Department of Transportation (Department) has complete or partial jurisdiction.

Policy
The Department will make every effort to ensure that all career service employees are treated with consideration and fairness and that working conditions are the best possible.

The Department will deal fairly and promptly with grievances of employees. An Employee Grievance Procedure has been established. The procedure will be available to each career service employee regardless of membership or non-membership in any employee organization.

Background
This policy and procedure has been written in compliance with the Department of Human Resource Rules, the Utah Administrative Code (R-477-4-4), Utah Code 67-19, and the Career Service Review Board Rules.

Definitions
CSRB – Career Service Review Office, 1120 State Office Building, Salt Lake City, Utah 84114.

DHRM – Department of Human Resource Management, 2120 State Office Building, Salt Lake City, Utah 84114.

Employee – Employee means career service employee for this policy and procedure.

Grievance – A career service employee’s claim or charge of the existence of injustice or oppression including dismissal from employment resulting from an act, occurrence, omission, condition, discriminatory practice, or unfair employment practice.

Immediate Leader – The leader who exercises direct authority over an employee and who appraises the employee’s performance.

Working Days – All days except Saturdays, Sundays, and recognized state holidays.
It is expected that employees and leaders will make a sincere effort to reconcile their differences at the lowest possible organizational level.

Employees, witnesses, and their representatives will be free from reprisal for using the grievance procedure. Evidence of such reprisal may result in disciplinary action.

An employee selected as a witness at a grievance hearing is allowed to attend and testify at such a hearing provided reasonable advance notice is given to such witness’ immediate leader.

The aggrieved employee will have waived the right to process the grievance further if he or she fails to process a grievance from one step to the next within the time specified. The grievance will be deemed settled on the basis of the last step.

No employee has the right to submit a grievance more than one year after the event causing the grievance or if the aggrieved person is no longer a State career service employee (except in termination cases wherein the aggrieved person has 20 working days to submit a grievance).

Each employee will have the right to assistance by a representative of his or her own choosing in preparing and presenting the grievance. The representative may assist at any stage in the proceedings.

An employee will be granted a reasonable amount of time during work hours to confer with such representative and prepare the grievance. The employee concerned is expected to perform his or her assigned duties and responsibilities to the best of their ability and avoid disturbing other employees about the grievance while a grievance is being considered.

Please contact the Career Service Review Board (CSRB) for additional information concerning the grievance process.
**STEP 1**

**Responsibility:** Aggrieved Employee

**Actions**

1. The employee may submit the grievance in writing to his or her immediate leader within 20 working days after the event causing the grievance or within 20 working days after the aggrieved employee has knowledge of the event causing the grievance. The aggrieved employee should use the CSRO grievance form. The grievance form may be obtained by contacting the Human Resources representative in the employee’s Region or Group, the Department’s Human Resources Office, or the CSRO.

2. The employee must notify the Administrator of the Career Service Review Office that he or she has submitted the written grievance immediately after submitting the written grievance to his or her leader.

**Responsibility:** Immediate Leader

3. The employee’s leader will issue a written response to the grievance stating his or her decision and the reasons for the decision within five working days after the employee’s written grievance is submitted.

**STEP 2**

**Responsibility:** Aggrieved Employee

4. The employee may submit the grievance in writing to his or her senior leader who reports directly to the Region or Group Leader within 10 working days after the expiration of the period for decision or receipt of the decision, whichever is first if the written grievance remains unanswered for five working days after submission or if the aggrieved employee is dissatisfied with the decision reached.

**Responsibility:** The senior leader of the employee’s area who reports directly to the Region or Group Leader

5. The senior leader will issue a written response to the grievance stating his or her decision and the reasons for the decision within five working days after the employee’s written grievance is submitted.
STEP 3

Responsibility: Aggrieved Employee

6. The employee may submit an appeal in writing to the Region or Group Leader who is acting on behalf of the Executive Director within 10 working days after the expiration of the period for decision or receipt of the decision, whichever is first if the written grievance submitted in Step Two remains unanswered for five working days after submission or if the aggrieved employee is dissatisfied with the decision reached.

Responsibility: Region/Group Leaders acting on behalf of the Executive Director

7. Confer with the Human Resource Director or designee concerning the grievance. Make arrangements and hold a hearing if necessary.

8. Review all information obtained, consult with the Human Resources Office, and prepare recommendation concerning the grievance and a letter to the employee for the Executive Director’s signature.

Responsibility: Executive Director

9. Review the information concerning the grievance and, if in agreement, sign the letter. Send formal letter notifying employee of the findings and the action to be taken.

10. The decision of the Executive Director is final in all matters except those matters that the CSRO may review under Step 4.

STEP 4

Responsibility: Aggrieved Employee

11. May appeal the following matters to the Career Service Review Board:

   - Dismissals
   - Suspensions
   - Violations of personnel rules
   - Administration of benefits
   - Reduction in force
   - Denial of abandonment of position

No other matters may be advanced to Step 4.
12. The written grievance may be submitted to the Administrator of the Career Service Review Office within 10 working days after the expiration of the period for decision or receipt of the decision whichever is first, in order that a hearing can be arranged if the written grievance submitted in Step Four meets the subject matter requirements of #11 and if the grievance remains unanswered for 10 working days after submission or if the aggrieved employee is dissatisfied with the decision reached. The employee has 20 working days after the expiration of the period for decision or receipt of the decision, whichever is first, in order that a hearing can be arranged if the grievance is concerning disciplinary action.

**Responsibility:** Administrator, Career Service Review Office

13. Will coordinate the Step 4 evidential hearing.

14. Both the aggrieved employee and management are present to examine and cross-examine witnesses and to submit documentary evidence at a Step 4 hearing.

15. A certified court reporter makes an official record of the proceedings.

16. Witnesses may be compelled to attend by subpoena, which is issued by the Administrator.

17. The hearing is confined to the issue presented in the original grievance statement.

18. The Hearing Officer’s decision will be based on a review of the record and the presentation of the party which is present if a party does not appear at the hearing.

19. The testimony of witnesses is under oath.
Responsibility: Employee

Actions

1. The employee can file to grieve the recommendation if a formal classification review is conducted on a position and the recommendation is to not change the classification because of a lack of justification for a change or if the employee does not agree with the recommended classification. The employee must notify DHRM of his or her intent to grieve. The employee must complete a “Position Classification Grievance Form” that can be obtained from the UDOT Human Resource Office or the Department of Human Resource Management (DHRM). This form must be submitted to the Executive Director, DHRM, within 10 working days of receiving the notification of the classification action.

Responsibility: Utah Department of Human Resource Management (DHRM)

2. Determines if grievance falls within the statute to review as a classification issue detailed in UCA-67-19-31. Salary range determinations are not grievable.

Responsibility: Executive Director, DHRM

3. Selects the manner in which the appeal will be investigated. The panel will make a report to the Director of DHRM who will notify the grievant. Either party may appeal the panel’s decision to the hearing officer from the American Arbitration Association. The decision is final.
Purchasing Years of Service

Purpose
To outline the policy and procedure for employees who qualify for the purchase of future years of service under limited circumstances, and inform employees and leaders of the Utah Department of Transportation (Department) their responsibility with regard to employees who have been injured on the job and meet the criteria for the Department’s participation in assisting its employees.

Policy
This policy allows the Department the right to purchase a portion of an employee’s future years of service in order to complete full retirement under specific conditions. There are limited circumstances when a Department employee, during the course of their employment, may be involved in an accident that prohibits them from returning to work under circumstances not of their own doing. This policy defines the circumstances and conditions under which an employee may qualify for the Department to pay a portion of the employee’s future years of service.

In situations involving an employee who is unable to return to work because of an on-the-job accident, the Department may assist the employee in purchasing a portion of future years of service in order to qualify for a full pension under limited circumstances. Future service credit support from the Department may occur for employees injured on the job by meeting all of the following conditions:

1. **Financial Support will be limited to employees who are injured on the job and are within five (5) years of reaching full retirement eligibility.**

   Employees injured on the job and who seek the Department’s assistance in purchasing future years of service must have, at minimum, 25+ years of service if on Tier I, as corroborated by the Utah Retirement Systems or 30+ years of service, if on Tier II, as corroborated by the Utah Retirement Systems. The 25+ or 30+ years of service does not all have to be within the Department; and

2. **Financial Support will be limited to employees who were injured on the job through no fault of their own or for something which was out of their control.**

   The determination of whether or not the employee had any culpability in the accident will be based on any police reports, observations and discussions with both employee and appropriate Leaders; and
3. **Financial Support will be limited to employees who cannot return to work in any capacity due to the physical or mental injuries suffered.**

   The determination of whether or not the employee cannot return to work will be based upon medical care documentation, provided by the Human Resource Office; and

4. **Financial Support will require that the employee exhaust the pursuit of all other avenues available to them for alternative assistance.**

   The employee must have documentation that he or she pursued all avenues available to them for example, but not limited to, Long-term Disability, Worker's Compensation Fund programs, and exhausting all of their leave balances; and

5. **Executive Director Approval**

   Employees wishing to utilize this policy and qualify under the circumstances listed above will be required to secure the Executive Director’s approval. The Executive Director reserves the right to verify all information is gathered prior to issuing approval.

**Background**

This policy has been authorized by the Governor’s Office and has the concurrence of the Department of Human Resource Management’s Executive Director. This policy is in compliance with Utah Retirement System guidelines.

Any exceptions to this policy will be made in writing to the Department Executive Director.

**Procedures**

An employee who believes he or she is qualified under this policy must complete the attached form and submit it to the Executive Director. If an employee is unable to complete the form through no fault of their own, then the Human Resources Office will work with a family member or other individual to complete the form.
UTAH DEPARTMENT OF TRANSPORTATION
APPLICATION FOR DEPARTMENT PURCHASE OF FUTURE SERVICE

I, ____________________________, believe I meet the criteria listed in Policy 05-49 and am applying for the Department to purchase future years of service.

Do you have 25+ years of State of Utah service under Tier I or 30+ years of State of Utah service under Tier II, as corroborated by the Utah Retirement Systems?  
Yes _____  No _____

Do you believe this accident occurred under circumstances that were beyond your control?  
Yes _____  No _____

Please explain what occurred and why this accident was beyond your control:

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

Are you unable to return to work in any capacity due to the injuries suffered?  Have you worked with HR and UDOT leaders for qualification to other jobs?  
Yes _____  No _____

Have you exhausted all other programs that could be made available to you such as Long-term Disability, Worker’s Comp, leave balances or other programs?  
Yes _____  No _____

Please explain:

________________________________________________________________________
________________________________________________________________________
________________________________________________________________________

By signing below, I certify that all responses are accurate to the best of my knowledge.

_________________________________________  Date
Employee

Authorization by Executive Director

_________________________________________  Date
Executive Director

cc:  Human Resource File
Purpose

The Utah Department of Transportation (Department) supports the concept of the Employee Assistance Program designed to help employees who have personal problems that impair the employee's work performance.

Policy

Behavioral problems which affect an employee's work performance are a legitimate concern of the Department. These may be problems such as excessive drinking, drug misuse, family, marital, legal, financial, behavioral disorders, poor interpersonal relations, personal crisis in the employee's life, or other causes that may result in absenteeism or deteriorating job efficiency. Early identification and referral for help frequently result in improved job performance and can help the individual lead a more productive life. The Employee Assistance Program (EAP) does not subsidize nor fund treatment programs or counseling. Employees are responsible for any cost incurred for treatment of personal problems.

1. The Department recognizes that behavioral and medical problems are problems that can be successfully treated.

2. The Department is concerned only when job performance, including attendance, is affected and has no desire to intrude on an individual's private life.

3. The responsibility to correct unsatisfactory job performance or behavior, regardless of the cause, rests with the employee. Failure to do so, for whatever reason, will result in corrective or disciplinary action as determined appropriate.

4. Employees and their immediate family members may voluntarily seek counseling and information on a confidential basis.

5. Referral for help or acceptance of treatment will in no way jeopardize an employee's job security or promotional opportunities. An employee's participation in the EAP will remain confidential, unless there is a job related reason that management has a need to know. Employee records are preserved in the same confidential manner as medical records. EAP records are not part of an employee's personnel record.
6. One of the basic functions of a leader is to identify substandard job performance and to take corrective action. Not all attendance or performance problems should be referred to the EAP because the program does not intend to preempt the responsibility of any leader. A referral should be made only in cases of continued resistance to improve after leader action.

7. It is recognized that leaders may not have the professional qualifications to make a judgment concerning alcoholism or other behavioral problems. Diagnosis and treatment will be accomplished through community treatment resources. Leaders are responsible for what they can do best—monitor employees' job performance, coach employees to excel, and confront poor job performers.

8. Annual leave, sick leave (if available), family medical leave, or leave without pay may be granted for treatment or rehabilitation in approved treatment programs on the same basis as any other illness.

9. Implementation of this policy will not require nor result in any special regulations, privileges, or exemptions from the standard administrative practices and applicable job performance requirements.

10. Any Department employee or his or her dependents or family members, without regard to race, color, sex, religion, age, national origin, or disability are eligible for assistance through this program.

Background
This policy has been established to help leaders and employees who have personal problems that affect work performance and to promote good business practices.

Contact Information
**EAP Coordinator** – Employee Assistance Program Coordinator can be contacted in the Department’s Human Resource Office at 801-965-4095.

**EAP Provider** – Blomquist Hale Consulting Group, Inc. the Department’s EAP provider can be contacted by calling 1-800-926-9619.
**Purpose**

To reimburse Utah Department of Transportation (Department) employees for professional certification expenses for positions that require specific professional certification.

**Policy**

The Department will pay for the following professional certification expenses:

- State of Utah Professional Engineers’ examination fee, if license is required for the position. Examination fees will only be reimbursed one time after successfully passing the exam.

- Renewal fee for the Professional Engineers’ license, where it is used exclusively for the Department of Transportation.

- Renewal of Professional License fees required by the job, if used exclusively for the Department of Transportation.

- Commercial Driver License (CDL) testing fees needed to obtain the initial CDL when required and used exclusively for the Department of Transportation. The testing must be approved by the supervisor and administered by a certified tester.

- Commercial Driver License (CDL) fee, renewal fee, and tanker endorsement fee less the regular fee for a standard driver license when required and used exclusively for the Department of Transportation.

- Physical examination fees, when required to obtain or maintain a Utah CDL. The employee’s actual out-of-pocket expense for the physical examination required for a CDL, and performed by a health care provider certified by the Federal Motor Carrier Safety Administration (FMCSA), will be reimbursed. The cost of the CDL physical will be reimbursed once every two years, or once every year if the employee is required to have an annual examination due to hypertension or other FMCSA requirement.

- The employee’s actual out-of-pocket expense for a physical examination, when required to obtain or maintain a Pilot’s License.
Procedures
Professional Testing and Licensing Expenses UDOT 05-51.1

Responsibility: Employee

Actions

1. Present payment receipt and proof of successfully passing the test to the Region or Group’s Support Services Manager or designee for testing reimbursement.

2. Present payment receipt to the Region or Group’s Support Services Manager or designee for license renewal reimbursement.

Responsibility: Support Services Manager or Designee

3. Authorize and make reimbursement to the employee for the Professional Certification expenses as allowed by this policy from the region or group’s administrative budget.
Reimbursement of the Cost of Physical Examination for the CDL

UDOT 05-51.2

Responsibility: Employee

Actions

1. Locate a health care provider certified by the Federal Motor Carrier Safety Administration (FMCSA). Such providers can be found on the FMCSA website at https://nationalregistry.fmcsa.dot.gov/NRPublicUI/Drivers.seam. Schedule an appointment and have the examination.

2. Present payment receipt from the provider indicating the actual out-of-pocket expense not reimbursable by insurance, and a copy of the provider’s examination result, to the Region or Group’s Support Services Manager or designee for reimbursement.

Responsibility: Support Services Manager or Designee

3. Authorize and make reimbursement to the employee for the actual out-of-pocket cost of the examination as allowed by this policy from the region or group’s administrative budget.
Reimbursement of the Cost of Physical Examination for a Pilot’s License
UDOT 05-51.3

Responsibility:  Employee

Actions

1. Locate a licensed health care provider, schedule an appointment, and have the examination.

2. Present payment receipt from the provider indicating the actual out-of-pocket expense not reimbursable by insurance, and a copy of the provider’s examination result, to the Operations Group’s Support Services Manager or designee for reimbursement.

Responsibility:  Support Services Manager or Designee

3. Authorize and make reimbursement to the employee for the actual out-of-pocket cost of the examination as allowed by this policy from the group’s administrative budget.
Purpose

To define a clear career path for employees in the Transportation Technician series, establishing requirements for advancement through the series, defining salary increases associated with each advancement step, and describing typical time frames for movement along the career path.

Policy

The Transportation Education Program defines the career path for the Transportation Technician series.

Transportation Technicians will be compensated as defined by the established DHRM pay ranges for Transportation Technicians I, II, and III after successful completion of the requirements defined by the Transportation Education Program (TEP). The successful completion for each TEP level is based on completing all training requirements, demonstrated knowledge, skill, competencies, and individual and team performance standards. Transportation Technicians are required to be on the active snow plan as determined by the Region Director or Designee.

All of the associated forms, detailed training, and career pathway requirements are located in Transportation Technician Education Program Guide found at the following links: udot.utah.gov/TransportationEducationProgramGuide and UDOT U Learning Portal site utah-udotu.sabacloud.com

Transportation Technician I

Completion of Tier I of Training. A Transportation Technician I may receive a pay increase of 3 percent after six months of employment, provided that he or she has completed Transportation Education Program (TEP) training classes and certifications required for Tier 1.

Completion of Tier II of Training. A Transportation Tech I may receive an additional 3 percent increase after twelve months of employment (for a total of 6 percent from original hire), provided that he or she has completed Transportation Education Program (TEP) training classes and certifications required for Tier II.
Transportation Technician II

Series Promotion from Transportation Technician I to Transportation Technician II. An employee who has successfully completed probation may be eligible to receive a series promotion to a Transportation Technician II, and receive an additional 6 percent salary increase (12 percent from original hire). There is no specified additional duration of experience requirement, but the employee must complete all requirements of the Transportation Technician Education Program Levels I and II to be eligible for the promotion to Transportation Technician II.

Underfill for a TT III as a TT II
A TT II may be hired as an underfill for a TT III position, if necessary to meet staffing needs at the region. The amount of increase will be at the discretion of the hiring official up to a maximum of 8 percent. The TT II will sign an agreement that all requirements for a TT III will be completed within one year of the hire. The increase will be forfeited and the employee will be returned to a TT II position, if the requirements are not completed within a year of the hire. An employee underfilling a TT III position that has not received the full 8 percent upon underfilling, will receive the remainder of the raise up to 8 percent as well as 4 percent upon completion of all requirements for TT III.

Transportation Technician II Certification for Transportation Technician III.
A Transportation Technician II who has successfully completed all educational requirements of the Transportation Education Program including all on-the job learning activities, work requirements, and required certifications will be eligible to receive a 4 percent salary increase and will be eligible to apply for available Transportation Technician III positions.

Transportation Technician III

Hiring as a Transportation Technician III. A Transportation Technician with a Level III certification will be eligible to apply for available Transportation Technician III positions with proof of valid certifications, meeting all work requirements and rotations between maintenance and construction as required by region needs. Promotion to Transportation Technician III is accompanied by a 8 percent increase in salary, in accordance with Policy 05-22, Compensation Practices for the Department.
In-Grade Promotion

In-Grade Promotion for Completion of TEP. Any employee within the Transportation Technician Career Series, may qualify for an in-grade promotion by completing all four levels of the Transportation Technician Education Program. The employee must initiate the in-grade promotion by completing the Candidate Qualification Worksheet and then submit an application to the Peer Review Chair.

The in-grade promotion is a 6 percent increase. An employee may only receive one in-grade promotion during his or her career with the Department.

The In-Grade Promotion will continue until December 2018 for those currently enrolled in the Transportation Education Program. Transition to the new program will eliminate the In-grade Promotion option. Transportation Technicians will receive a 6 percent increase in pay after completing all education including all on-the-job learning activities, work requirements, and required certifications listed under the Transportation Technician III Specialty Areas. The employee’s supervisor must also verify satisfactory job performance, as documented in the UPM system, including no disciplinary actions.

Salary Increase Effective Dates:
The effective date for the Tier I and Tier II salary increases will be the date on the notification from the Region Trainer.

The effective date for the salary increase from a Transportation Tech I to a Transportation Tech II will be the date on the TEP completion certificate if an employee receives a favorable recommendation from the Review Board within four months of the date on the TEP completion certificate. The effective date will be the date the Review Board met if the favorable review occurs after four months.

The effective date for In-grade Promotions will be the date on the TEP completion certificate if an employee receives a favorable recommendation from the Review Board within four months of the date on the TEP completion certificate. The effective date will be the date the Peer Review Board met if the favorable review occurs after four months.

Under the new program, the 6 percent increase for completion of the requirements of the program will become effective when the employee’s supervisor verifies that all activities in LMS are complete and submits a request to HR for the increase.

The only exception to these effective dates may occur at fiscal year-end, when other statewide increases have already been processed.
Peer Review Board

Complete the Peer Review Board process. The purpose of the board is to determine if the applicant possesses the necessary knowledge, skills, and abilities to perform with competence at the required level (Transportation Technician II and III).

An employee must initiate the process to be qualified for the next Transportation Technician position by completing a Position Analysis Questionnaire and the Candidate Qualification Worksheet, and complete the Peer Review Board process. The Region will determine a peer review process for advancing from a TT 1 to TT2. The process for advancing from TT II to TT III or TT III certified will be a formalized process determined by the Region to evaluate competency.

Background

The Department requires a workforce of qualified employees capable of performing a variety of tasks related to both its maintenance mission and its construction oversight mission. Therefore, skills need to be developed that support both areas. The Department established the Transportation Technician Career Path in order to do so.

Definitions

Peer Review Board
Consists of leaders from both construction and maintenance designated to prepare questions used to determine competency in maintenance and construction activities. The Peer Review Board evaluates candidates’ eligibility for advancement on the Transportation Technician Career Path.

Review Packet: Candidate Qualification Worksheet, Supervisors Review(Station Supervisor and Resident Engineer), Review Worksheet, and Position Analysis Form if seeking a Transportation Technician III Reclassification.
Procedures
Transportation Technician Promotion

Responsibility: Region Director or Designee

Actions

1. Establish a Peer Review Board in each Region.

Responsibility: Transportation Technician

2. Initiate the Review process by completing and signing the Candidate Qualification worksheet.

3. Give the Supervisor Review Form to his or her supervisor in both construction and maintenance.

Responsibility: Transportation Technician’s Supervisors

4. Complete the ‘Supervisors Rating’ section of the Candidate Qualification Worksheet, add any comments, and sign where indicated. Indicate whether or not the employee had any opportunities to work in Construction or Maintenance. Supervisor reviews are needed from the Resident Engineer and the Station Supervisor or Area Supervisor. Return reviews to employee within 10 working days.

Responsibility: Transportation Technician

5. Submit the Review Packet to the Peer Review Board Chairperson for processing.

Responsibility: Peer Review Board

6. Review “Candidate Qualification Worksheet” plus additional information and interview the applicant.

7. Make recommendation if Transportation Technician should be promoted to next level. The Review Packet will be returned to the supervisor if the Transportation Technician does not pass the review so that the employee may be given help where improvement is needed.
8. Give the applicant’s Review Packet, including a letter of recommendation from the review, to Human Resource Analyst if the candidate is successful

**Responsibility:** Human Resource Analyst

9. Review documentation and if in order, process the appropriate action.

10. Enter the action and place the supporting documentation from the Peer Review Board into the employee’s personnel file.

**Responsibility:** Learning and Development

11. Learning and Development along with stakeholders will review each region’s process for effectiveness on a regular basis.
Purpose

To outline the Career Rotation Program (CRP) within the Utah Department of Transportation (Department). The CRP provides growth opportunity for Engineer Manager II level employees by facilitating lateral transfers to the different areas of the organization.

Policy

Employees in Engineer Manager II (EM II) level positions and employees in Engineer Manager III (EM III) level jobs who are willing to consider Engineer Manager II level assignments are eligible to participate in the Career Rotation Program.

The CRP is lead by the Career Facilitation Team (CFT). It is composed of three senior leaders and a secretary. The Department Executive and Deputy Directors select CFT members. The senior leader serving on the CFT for the longest period of time facilitates the team. Each year the most senior member of the CFT rotates off the Career Facilitation Team and is replaced by another senior leader. Leaders will generally serve for three years. The secretary is a permanent appointment to maintain records and continuity of the process.

Movement from job to job of CRP participants will follow the State of Utah Department of Human Resource Management Rules. These rules allow for lateral movement without competitive advertisement. Qualified employees will be invited to apply through the Department’s normal recruitment process if an Engineer Manager II position is not filled from a lateral transfer.

Change in Work Location

The Change in Work Location policy was developed in recognition of the significant expense associated with a program participant accepting a new assignment that requires an extensive commute or move.

This allows CRP participants to receive financial assistance if substantial additional expenses are incurred as a result of a change in work location and if the move is deemed to be in the best interest of the Department.

The Department may provide financial assistance with one of the following options if the shortest daily, one-way, commuting distance between the employee’s old residence and new job site is at least 25 miles or greater than the distance between the old residence and the old job site:

a. Pay to move the employee consistent with the State of Utah Policy R25-6-8 and Division of Finance Policy 05-04.03.
b. Reimburse commuting expenses up to a total one-time cost of $5,000. Expenses will be recorded on the bi-weekly timesheet and follow State of Utah mileage reimbursement rules.

The Department will not cover the additional commuting time or reimburse for any additional incidental expenses that may be incurred as a result of the change in work location.

**Background**

The Department Executive Director, Deputy Director, Region Directors, Group Leaders and other senior leaders jointly developed the Career Rotation Program. The program was developed to address a need to provide broader work experience for mid-level leaders (Engineer Manager II). This enhanced training will give the employee additional skills, provide the organization with more knowledgeable leaders, and prepare more employees for senior leadership assignments.

**Definitions**

**Career Rotation Program (CRP)** – A program to laterally rotate Engineer Manager II level employees and provide other growth opportunities for participants within the rules of state government.

**Career Facilitation Team (CFT)** – Composed of three senior leaders and a secretary, the CFT leads and coordinates the CRP.

**Senior Leader** – A leader that reports to the Executive or Deputy Directors and is a member of the Quality Improvement Council (QIC).
Procedures
Career Rotation Program       UDOT 05-53.1

Responsibility:  CFT

Actions

1. Invite all CRP participants to express interest in Engineer Manager II positions that are vacant.

2. Review the list of participants and recommend additional employees to be considered.

3. Contact the senior leaders of employees that are being recommended as a consideration for the position.

Responsibility:  Senior Leaders

4. Discuss the available opportunity with the recommended EM II employee and determine the employee’s interest in the job.

5. Notify the CFT of the EM II employee intentions.

Responsibility:  CFT

6. Provide the hiring official with a list of candidates for the position.

Responsibility:  Hiring Official

7. Interview all Career Rotation Program participants who expressed interested in the job or who were identified by the CFT as potential candidates and are willing to be interviewed.

8. Selects successful candidate. The position will be advertised with the approval of the senior leader and Deputy Director if no one is offered the position.

Responsibility:  CFT – Secretary

9. Maintain a record of positions listed through the Career Rotation Program, applicants, successful candidates, and other appropriate information.

10. Prepare periodic or as requested reports that summarize the results of the CRP.
Responsibility: CFT

11. Work with other senior leaders to review the training needs of CRP participants and the needs of the organization. This review will help senior leaders identify job rotation opportunities that may be considered without the benefit of an available EM II position.
Responsibility: Senior Leader

1. Prepare an agreement indicating the additional mileage that qualifies the employee for the Change in Work Location benefit, which option will be used, and any additional information that should be included.

Responsibility: Senior Leader, Employee, and Deputy Director

2. Sign the agreement. The cost will be paid from the participant’s new Low org. budget.
Attachment 1
Career Rotation Program (CRP)  UDOT 05-53.2A1
Change in Work Location Agreement

CRP Participant:  New
Group/Region:

New Work Unit:  New Work Location:

New Low Org:  Old Work Location:

Shortest commuting distance from residence to old work location:
Shortest commuting distance from residence to new work location:
Increased commuting miles: (Difference)

Option selected:  ___ Assistance with moving expenses
___ Assistance with commuting expenses
(Choose one)

Participant Statement:
As a participant in the Department of Transportation’s Career Rotation Program, I understand that up to a maximum total one time $5,000 financial aid may be available to assist with the substantial additional expenses that will be incurred as a result of accepting this new assignment. I confirm that my shortest daily, one way, commuting distance has increased by more than 25 miles with this transfer.

CRP Participant _________________________________ Date_________________

Senior Leader Recommendation:
This assignment change is in the best interest of the Department. There are sufficient funds in this Low Org to pay for the potential $5,000 reimbursement of expenses associated with this employee’s moving or commuting costs.

Senior Leader: _________________________________ Date __________________

Deputy Director Approval:
Approval is given to reimburse this employee up to a total one time $5,000 of increased moving or commuting expenses, consistent with the Career Rotation Program – Change in Work Location Policy.

Deputy Director: _________________________________ Date __________________
Purpose
To define a technical career path for employees in the Roadway Design Engineer series, establish competency requirements for advancement through the levels, and define salary increases associated with each advancement level.

Policy
This policy defines the career path and advancement requirements for the Roadway Design Engineer series. The Roadway Design Engineer Career Path Guide (RDECPG) provides specific information pertaining to each advancement level.

Roadway Design Engineers (RDEs) will be compensated according to the established DHRM pay ranges for the positions of Engineer III and IV after successful completion of the advancement requirements as defined by the RDECPG.

New employees entering the Roadway Design Engineer Career Path will be assigned a working title based on their demonstrated level of competency and roadway design experience as outlined in the RDECPG.

Existing employees entering the Roadway Design Engineer Career Path will be assigned a working title based on their current position as follows: an existing Engineer III will be assigned as a RDE 3, an existing Engineer IV will be assigned as a RDE 4, and an existing Engineering Manager I (EM I) will be reclassified as Engineer IV and assigned as a RDE 4. (See Table A.)

When an employee within the Roadway Design Engineer Career Path, that is at the RDE 3+ or RDE 4+ level, is laterally reassigned (through a management action) to a position outside of the Roadway Design Engineer Career Path (Engineer III or Engineer IV / EM I respectively) the employee will keep any increase related to advancement to either the RDE 3+ or RDE 4+ level.

When an employee within the Roadway Design Engineer Career Path, that has been at the RDE 3+ or RDE 4+ level for less than 2 years, pursues and accepts a lateral transfer (through an employee action) to a position outside of the Roadway Design Engineer Career Path (Engineer III or Engineer IV / EM I respectively) the employee will lose any increase related to advancement to either the RDE 3+ or RDE 4+ level unless there is an exception granted by the Deputy Director. If the employee has been at the RDE 3+ or RDE 4+ for 2 years or more, they will retain any increase related to the advancement. When an employee at the RDE 3+ or RDE 4+ level
retains an increase when leaving the Design Engineer Career Path, they will only be eligible for the remaining percentage of the associated pay increase upon future promotion.

When an employee within the Roadway Design Engineer Career Path that is at the RDE 3+ level accepts a promotion outside of the Roadway Design Engineer Career Path to an Engineer IV or EM I, the employee will only be eligible for the remaining percentage of the associated pay increase.

When an employee within the Roadway Design Engineer Career Path that is at the RDE 4+ level accepts a promotion to an Engineering Manager II (EM II), the employee will only be eligible for the remaining percentage of the associated pay increase.

Employees on a formal Performance Improvement Plan (PIP), undergoing a disciplinary action process, or having had a PIP or disciplinary action within the past year are not eligible for advancement within the Roadway Design Engineer Career Path.

The following section defines the Working Title with the equivalent DHRM classification.

<table>
<thead>
<tr>
<th>Working Title</th>
<th>DHRM Classification</th>
</tr>
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<tbody>
<tr>
<td>Roadway Design Engineer 3</td>
<td>Engineer III</td>
</tr>
<tr>
<td>Roadway Design Engineer 3+</td>
<td>Engineer III</td>
</tr>
<tr>
<td>Roadway Design Engineer 4</td>
<td>Engineer IV</td>
</tr>
<tr>
<td>Roadway Design Engineer 4+</td>
<td>Engineer IV</td>
</tr>
</tbody>
</table>

**Roadway Design Engineer 3**
This assignment is considered the entry-level position for the Roadway Design Engineer Career Path. The requirements for assignment to a RDE 3 are identical to the requirements for an Engineer III classification.

**Roadway Design Engineer 3+**
Advancement to the RDE 3+ level: the employee must have completed the advancement requirements for RDE 3+ and all prior levels, be approved by the Advancement Review Board, and have obtained a minimum of one year of design experience post-PE license. The employee will then be assigned as a RDE 3+ and may receive a 6% pay increase upon approval.
Roadway Design Engineer 4
Advancement to the RDE 4 level: the employee must have completed the advancement requirements for RDE 4 and all prior levels, be approved by the Advancement Review Board, and have obtained a minimum of two years of design experience post-PE license. The employee will be reclassified through DHRM as an Engineer IV, assigned as a RDE 4, and may receive a 6% pay increase upon approval.

Roadway Design Engineer 4+
Advancement to the RDE 4+ level: the employee must have completed the advancement requirements for RDE 4+ and all prior levels, be approved by the Advancement Review Board, and have obtained a minimum of three years of design experience post-PE license. The employee will be assigned as a RDE 4+, and may receive a 6% pay increase upon approval.

Salary Increase Effective Dates:
The effective date for the salary increases will be dependent upon the date of the notification from the employee's supervisor. The only exception to these effective dates may occur at fiscal year-end when other statewide increases have already been processed. All salary increases will be in accordance with current DHRM Rules and UDOT Compensation Policy 05-22.

Background
The Department requires a workforce of Roadway Design Engineers capable of performing a variety of tasks related to achieving UDOT's vision, mission, and strategic goals. The Department strives to maintain internal roadway design core competency, therefore, the Roadway Design Engineer Career Path establishes a career path to develop and maintain roadway design core competency.

Definitions
Roadway Design Engineer Career Path Guide (RDECPG)
The RDECPG defines the career path and advancement requirements for the Roadway Design Engineer series.

Roadway Design Engineer Career Path Committee
This committee, consisting of representatives from roadway design functional areas, Employee Development, and UDOT Human Resources, will maintain the RDECPG. Changes to the RDECPG will be voted on by the committee and require unanimous approval to be adopted.
Advancement Review Board
The Advancement Review Board consists of individuals designated to evaluate employees to determine competency in roadway design activities. The Advancement Review Board evaluates an employee’s eligibility for advancement on the Roadway Design Engineer Career Path.
Procedures
Initial Classification of Newly Hired and Existing Design Employees

Responsibility: Supervisor or Hiring Official

1. The Supervisor or Hiring Official will work with the HR analyst to announce a recruitment for a Roadway Design Engineer position.

2. The Supervisor or Hiring Official will evaluate external candidates for competency and experience prior to extending an offer of employment. The Supervisor or Hiring Official will coordinate with the HR analyst to assign the appropriate working title.

3. The Supervisor or Hiring Official will evaluate existing employees entering the Roadway Design Engineer Career Path and will coordinate with the HR analyst to assign a working title based on their current position as follows: an existing Engineer III will be assigned as a RDE 3, an existing Engineer IV will be assigned as a RDE 4, and an existing Engineering Manager I (EM I) will be reclassified as Engineer IV and assigned as a RDE 4.

Responsibility: Human Resource Analyst

4. Review documentation and if in order, process the appropriate action.
Responsibility: Statewide Design Engineer

1. Establish the Advancement Review Board in accordance with the RDECPG.

Responsibility: Roadway Design Engineer

2. Initiate the Advancement Review process in accordance with the RDECPG.

Responsibility: Roadway Design Engineer's Supervisor

3. Review and submit the advancement request documents to the Advancement Review Board.

Responsibility: Advancement Review Board

4. Evaluate and make a determination of advancement.

5. Notify the Roadway Design Engineer and Supervisor of advancement determination.


Responsibility: Human Resource Analyst

7. Review documentation and if in order, process the appropriate action.
Purpose
To conform to the Drug Free Workplace Act of 1988, Federal Motor Carrier Regulations, state law, and the Human Resource Rules. The Utah Department of Transportation (Department) objective is to provide a safe and productive work environment that is free from the effects of substance and alcohol abuse. It is also the Department’s objective to send a clear message that any illegal drug use or alcohol misuse are incompatible with Department service. Illegal drug use and alcohol misuse conflicts with and is contrary to state law, the Federal Drug-Free Workplace Act of 1988, and Human Resource Rules.

Policy
1. The Department policy is to have a drug and alcohol free workplace. Employees testing positive for illegal drugs or alcohol will be subject to disciplinary action of termination from state employment.

2. This policy is a term and condition of employment with the Department for all employees regardless of work site location.

3. The Department will follow and abide by the rules and guidelines established by the U.S. Federal Government concerning substance abuse and drug and alcohol testing.

4. Leaders who receive notice of a workplace violation of this policy must contact their Region or Group Director and the Department’s Human Resource Director for direction.

5. Any employee who is convicted under a federal or state criminal statute regulating the manufacture, distribution, dispensing, possession, or use of a controlled substance for a violation occurring in the workplace is to notify the Human Resource Director no later than five calendar days after the conviction.

6. An employee with a drug or alcohol problem may voluntarily contact the Employee Assistance Program (EAP) coordinator or the Department’s EAP provider (Blomquist Hale Consulting Group) for assistance.

7. The employee must notify his or her leader before beginning the work shift if he or she is under the care of a licensed physician and taking a prescription medication or taking non-prescription medication that has a significant potential to affect or to impair safety in performance of duties. The prescription must be in the employee’s name, otherwise it will be considered an illegal drug.
TRAINING

8. Permanent employees will receive training on substance abuse awareness and drug and alcohol testing in their orientation sessions. New leaders will receive additional leadership training in their responsibility concerning substance abuse and drug and alcohol testing.

9. Employees in safety sensitive positions will receive additional training as required by the CFR 49 382.601. Employees will receive training materials that outline the federal requirements. Leaders of safety sensitive positions will also receive additional training as required by the CFR 49 382.601.

REHABILITATION

10. The Department will work with an employee to get help if he or she comes forward and identifies themself as a person with a substance abuse problem before any drug or alcohol testing but not after he or she has been selected to be tested. The Department will treat the employee as any other employee with an illness and will allow him or her to take the time off as necessary for counseling, rehabilitation, or both. The employee will be subject to corrective or disciplinary action including reassignment, demotion, or dismissal if he or she cannot perform the essential functions of the position at an acceptable level upon returning to work. The employee must refrain from substance abuse or alcohol misuse once returned to duty. The employee is subject to “return to duty” drug and alcohol testing and at least six follow-up tests for drugs or alcohol during the following 12 months. The employee may be subject to additional follow-up tests during the next 48 months.

DRUG AND ALCOHOL TESTING

11. All tests will be conducted according to rules and guidelines published by the Federal Highway Administration of the U.S. Department of Transportation.

12. The Department will test for alcohol and the following drugs:
   - Marijuana
   - Cocaine
   - Amphetamines such as speed, uppers, and meth
   - Opiates such as heroin and morphine
   - Phencyclidine (PCP) or angel dust

13. The Department will participate in six types of Alcohol and Controlled Substance tests:
   - Pre-employment/Pre-appointment Testing (drugs only)
   - Random Testing
   - Reasonable Suspicion Testing
14. All Department employees are subject to Reasonable Suspicion, Post-Accident, Return-to-duty, and Follow-up testing. Employees that are in positions that have been designated as "safety sensitive" or have been assigned "safety sensitive" duties will be subject to Pre-employment/Pre-appointment and Random testing.

DRUG TESTING

15. The contract drug collection agency will follow standardized collection procedures to assure that the "chain of custody" and specimen control are maintained.

16. An employee will be treated as having received a positive drug test result if:
   
a. The employee fails to report to the collection site
   
b. The employee fails to provide a specimen at the collection site during Pre-employment/Pre-appointment, Reasonable Suspicion, Post-Accident or Follow-up Testing
   
c. The employee tampers with a urine specimen
   
d. The employee refuses to supply necessary signatures for certification
   
e. The Department receives from the Medical Review Officer (MRO) a verified adulterated or substituted drug test result for the employee.

17. Test results from the contracting laboratory will be sent directly to the MRO Office contracted by DHRM.
   
a. Negative test results will be communicated from the MRO to the Department's Drug Program Coordinator.
   
b. The MRO determines if there is a legitimate medical explanation for a positive result. The MRO contacts the employee to gather information regarding a legitimate medical explanation. It is the employee’s burden to prove a legitimate medical explanation. An employee cannot establish a legitimate medical explanation with proof that the employee took medication that was not legally prescribed to the employee in the employee’s name. Use of prescription medication that has not been prescribed to the
employee in the employees name will be deemed use of illegal
drugs. The Department’s Drug Program Coordinator will be notified
after verification of a positive test result by the MRO. The Drug
Program Coordinator will then notify the Department’s EAP
Coordinator and the management official having authority to initiate
appropriate personnel actions.

1) The Management official will inform the employee that the
Department is aware of the positive test result. The
employee will be removed from safety sensitive duties and
appropriate disciplinary action of termination from state
employment will be taken. The employee may request that
his or her sample be tested by another certified drug testing
facility within 72 hours after notification from MRO.

2) Applicants testing positive will not be hired.

3) All employees who test positive are subject to termination.
Probationary and temporary employees who test positive are
subject to immediate termination. Non probationary
employees who test positive are subject to immediate
suspension of their duties with pay, pending the initiation and
resolution of termination proceedings consistent with DHRM
and Department personnel policies.

4) The employee will be retested as soon as possible if the
results from the MRO indicate that the sample was a
negative dilute. A diluted sample is not an adulterated or
substituted sample, either of which will lead to termination.
A positive dilute result is the same as positive result and no
retest will take place. An employee with a positive dilute
result may still request that his or her sample be tested by
another certified drug testing facility with 72 hours after
notification from the MRO as provided in paragraph 17 (b)(1)
above.

18. The following will apply if an employee fails to provide a urine sample
during the allowed three-hour time frame when initially asked to submit a
sample during Random or Follow-up test only:

a. The employee will be required to provide medical evidence
indicating why the employee cannot provide a sample as
requested. The employee must follow certain procedures and
provide the medical evidence within 5 days of the initial test
according to the federal regulations.
b. A second test will be ordered as soon as the Human Resource office is notified that the employee failed to provide a sample. The employee will be terminated if he or she fails to provide a sample on the second test and has not furnished satisfactory medical documentation for their inability to provide a sample. The procedures outlined below will be followed if a sample is provided during this second test and the sample is negative.

1) Federal regulations require that any employee that does not provide a sample must complete a Substance Abuse education program and required treatment prior to performing Safety Sensitive duties. The employee must be removed from Safety Sensitive duties such as driving, flying, or vehicle maintenance until the Substance Abuse Professional (SAP) documentation of completion is obtained. The employee will need to take personal leave – annual, comp time, or excess until the certificate is received if only Safety Sensitive duties are available.

2) The employee will be given strict time frames to meet with a SAP and complete the required process. The employee will be responsible for the fees associated with obtaining the certification. The employee will be placed on leave – annual, comp time, or excess until the certificate is obtained if he or she fails to obtain the documentation of completion in a reasonable timeframe. The employee will be terminated if there is an unwillingness to complete this process.

3) The employee will take a return to duty test and take at least six follow-up tests during the next 12 months before being released to Safety sensitive duties. The employee may be subject to additional follow-up tests during the next 48 months.

4) An employee who fails to provide a sample, without medical justification during any subsequent tests will be terminated.

ALCOHOL TESTING

19. A confirmation test will be conducted once a minimum 15 minute time period has expired for all alcohol tests when an initial result indicates a breath alcohol concentration of .02 or greater. The confirmation test results determine any action to be taken.

20. EMPLOYEES IN SAFETY SENSITIVE POSITIONS will be removed from duties for at least 24 hours for test results indicating a breath alcohol concentration between .02 and .039. During the 24-hour period the
employee will not be placed in a work area where he or she may injure himself or herself or the public. The employee may be subject to corrective or disciplinary action according to state statute and DHRM rules.

21. EMPLOYEES IN SAFETY SENSITIVE POSITIONS will be subject to disciplinary action of termination from state employment for test results indicating a breath alcohol concentration of .04 or higher.

22. ALL OTHER DEPARTMENT EMPLOYEES will be subject to disciplinary action of termination from state employment for test results indicating a breath alcohol concentration of .08 or higher.

23. A person whose breath alcohol concentration falls below these defined cut off levels may be subject to disciplinary or corrective action where impairment is observably evident and factors such as the following exist:

   a. The person was driving a State vehicle
   b. The person has not been performing job functions satisfactorily
   c. The person has engaged in inappropriate or unacceptable work behavior.

PROHIBITED ACTIVITIES

24. The following activities are prohibited for Department employees and will result in disciplinary action of termination from state employment.

   a. Having a positive drug or alcohol test above allowed concentration levels.
   b. Reporting for duty or remaining on duty while having illegal drugs or alcohol in their system as determined by drug and alcohol testing.
   c. Being on duty while possessing illegal drugs.
   d. Using illegal drugs or alcohol while performing job duties.
   e. Performing safety-sensitive functions or driving state vehicles or any vehicle for state business within four hours after consuming alcohol.
   f. Using alcohol within eight hours following the accident or before undergoing a post-accident alcohol test, whichever comes first.
DISCIPLINARY ACTION

25. The use of illegal drugs or abuse of alcohol has a detrimental effect on the mission of the Department. Employees who have a positive drug or alcohol test result are subject to disciplinary action of termination from state employment. Department employees are prohibited from unlawfully manufacturing, dispensing, possessing, using, selling, or distributing any controlled substances or alcohol whether during working hours or nonworking hours on state property at any time including state owned or controlled property (vehicles or real property) and wherever state work is being performed. Those engaged in such activity are subject to disciplinary action that will result in termination.

26. Actions Based on Verified Positive Findings:

a. The employee will be suspended with pay pending the initiation and resolution of termination proceedings upon notification of a verified positive finding or first determination of illegal drugs being used or alcohol being misused. Employees will not be permitted to drive a state vehicle or any vehicle for state business.

b. The employee will be advised of resources available to him or her in evaluating and resolving problems associated with drug and alcohol abuse. He or she will be referred to a substance abuse professional that can determine what assistance, if any, the employee needs in resolving problems associated with controlled substance use or alcohol misuse.

c. The management official will initiate appropriate disciplinary action against the employee consistent with state statute and DHRM rules.

27. This policy is applicable for rehired employees who were terminated or resigned because of a positive drug or alcohol test. Employees will not be rehired for one year after last day paid if termination or resignation is due to positive drug or alcohol test. Employees must have written documentation from a Substance Abuse Professional that he or she has satisfactorily completed the recommended course of action.

RECORDS

28. All testing information specifically related to individuals is confidential. In order to make information readily retrievable the Drug Program Coordinator shall maintain all records related to testing.
29. All records and information of personnel actions taken against employees with verified positive test results will be forwarded to the Human Resource Office. This information will remain confidential with only authorized individuals with a "need-to-know" having access to them.

Background

Definitions

**EAP Coordinator** – Employee Assistance Program Coordinator can be contacted in the Department’s Human Resource Office at 801-965-4090.

**EAP Provider** – Blomquist Hale Consulting Group, Inc. the Department’s EAP provider, can be contacted by calling 1-800-926-9619.

**Drug Program Coordinator** – Can be contacted in the Department’s Human Resource Office at 801-965-4090.

**Substance Abuse Professional (SAP)** – a licensed physician (Medical Doctor or Doctor of Osteopathy) or a licensed or certified psychologist, social worker, employee assistance professional, or addiction counselor (certified by the National Association of Alcoholism and Drug Abuse Counselors Certification Commission) with knowledge of and clinical experience in the diagnosis and treatment of alcohol and controlled substance-related disorders.

**DHRM** – Department of Human Resource Management

**Pre-employment/Pre-appointment Testing** – Selected applicant for safety sensitive positions will be tested before employment or appointment. This includes current employees in non-covered positions who are selected for covered positions and all external selected applicants for covered positions. Each offer of employment will be conditioned upon the successful completion of a test for illegal drugs. Any applicant who tests positive in the pre-employment drug test will be rejected and be ineligible for hire for at least 12 months, including seasonal employment. Any employee testing positive in a Pre-employment/Pre-appointment test will be terminated. There must be verified negative results before any safety sensitive duties can be performed.
**Random Testing** – Periodic, unannounced testing of employees in safety sensitive positions. Random Testing is a system of drug and alcohol testing imposed without individualized suspicion that a particular individual is using drugs illegally or alcohol misuse as defined in this policy. People serving in safety sensitive positions or who have been assigned safety sensitive duties as defined in this policy are subject to random testing after hire or appointment. Employees who are not classified in a safety sensitive title but do hold a CDL and may be called on at any time to drive will be subject to Random Testing for drugs. Managers must submit the names of employees with CDL’s that are not in safety sensitive titles to the Drug Program Coordinator before any safety sensitive functions are performed so random testing for drugs can take place.

**Reasonable Suspicion Testing** – A drug or alcohol test conducted on an employee based on specific, contemporaneous, articulated observations concerning the appearance, behavior, speech or body odors of the employee.

**Post-Accident Drug or Alcohol Testing** – Testing for the presence of drugs or alcohol in an employee who is involved in an accident with a Department vehicle or equipment or other accidents that meet the post-accident criteria.

**Return-to-duty Testing** – Testing conducted before returning an individual who has tested positive for drugs or alcohol to his or her position including safety sensitive duties.

**Follow-up Testing** – An employee will be subject to a minimum of six drug or alcohol tests over the next 12 months upon his or her return to their position including safety sensitive positions and upon satisfactory completion of rehabilitation. The employee may be subject to additional follow-up tests during the next 48 months.

**Safety Sensitive Positions** – Safety sensitive positions are those positions that directly impact the safety of the general public or where there is access to controlled substances during the course of performing job duties. All employees that possess a CDL as part of the job requirements fall into this category. The following positions are currently designated as safety sensitive by the Department of Human Resource Management and are subject to all testing including random testing:

<table>
<thead>
<tr>
<th>Official Job Titles</th>
<th>Official Working Titles</th>
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</thead>
<tbody>
<tr>
<td>Aircraft Maintenance Supervisor</td>
<td>Aircraft Maintenance Supervisor</td>
</tr>
<tr>
<td>Aircraft Mechanic</td>
<td>Aircraft Mechanic</td>
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<tr>
<td>Aircraft Pilot</td>
<td>Aircraft Pilot II</td>
</tr>
<tr>
<td>Apprentice Electrician*</td>
<td>A. Signal Maintenance Specialist</td>
</tr>
<tr>
<td>Director, Division of Aeronautics</td>
<td>Dir, DOT Div. Of Aeronautics</td>
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<td>Position</td>
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<tr>
<td>Drilling Supervisor</td>
<td>Drilling Supervisor</td>
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<tr>
<td>Electronic Technical Specialist II*</td>
<td>Electronic Technical Specialist II</td>
</tr>
<tr>
<td>Electronic Technical Specialist III*</td>
<td>Electronic Technical Specialist III</td>
</tr>
<tr>
<td>General Maintenance Worker I*</td>
<td>Transportation Aide</td>
</tr>
<tr>
<td>Inspector II*</td>
<td>UDOT Bridge Inspector II</td>
</tr>
<tr>
<td>Inspector III*</td>
<td>Bridge Inspector III UDOT</td>
</tr>
<tr>
<td>Journey Auto Worker*</td>
<td>Journey Mechanic</td>
</tr>
<tr>
<td>Journey Driller</td>
<td>J. Driller</td>
</tr>
<tr>
<td>Journey Electrician*</td>
<td>J. Signal Maintenance Specialist</td>
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<tr>
<td>Lead Auto Worker</td>
<td>Lead Mechanic</td>
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<tr>
<td>Lead Welder CDL</td>
<td>Lead Welder</td>
</tr>
<tr>
<td>Maintenance Training Specialist I</td>
<td>UDOT Maint. Training Specialist I</td>
</tr>
<tr>
<td>Maintenance Training Specialist II</td>
<td>UDOT Maint. Training Specialist II</td>
</tr>
<tr>
<td>Roadway Operations Coordinator</td>
<td>Incident Mgt. Program Coord.</td>
</tr>
<tr>
<td>Roadway Operations Safety Manager*</td>
<td>Canyon Snow Safety Manager</td>
</tr>
<tr>
<td>Maintenance Area Supervisor, UDOT</td>
<td>Maintenance Area Supervisor, UDOT</td>
</tr>
<tr>
<td>Roadway Operations Specialist CDL</td>
<td>Lead Incident Management Specialist</td>
</tr>
<tr>
<td>Roadway Operations Specialist CDL</td>
<td>Avalanche Forecaster</td>
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<tr>
<td>Roadway Operations Specialist CDL</td>
<td>Highway Operations Specialist III</td>
</tr>
<tr>
<td>Roadway Operations Supervisor</td>
<td>Highway Operations Supervisor</td>
</tr>
<tr>
<td>Shop Manager*</td>
<td>Shop Manager</td>
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<tr>
<td>Shop Supervisor CDL</td>
<td>Shop Supervisor</td>
</tr>
<tr>
<td>Trainer II*</td>
<td>Maintenance Safety Trainer</td>
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<tr>
<td>Transportation Technician I</td>
<td>Transportation Technician I</td>
</tr>
<tr>
<td>Transportation Technician II</td>
<td>Transportation Technician II</td>
</tr>
<tr>
<td>Transportation Technician III</td>
<td>Transportation Technician III</td>
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</tbody>
</table>
All positions within the Department will be reviewed on a regular basis to see if they fit the criteria necessary to be included in the random drug testing pool and any other position that may be considered to have Safety Sensitive Duties that is not listed.

* Names of employees in these positions must be submitted to the Drug Program Coordinator before they will be randomly tested for drugs.
PRIOR EMPLOYMENT VERIFICATION FOR SAFETY SENSITIVE POSITIONS

Responsibility: Hiring Official or Designee

Actions

1. Obtain a release of information from the candidate before the request for information. This information should be obtained and reviewed to insure that the Department is in compliance with FHWA regulations.

2. Obtain and review the following information from any employer for whom the candidate has performed safety sensitive functions in the previous two years:
   a. Information on the driver's alcohol test in which a breath alcohol concentration of .04 or greater was indicated.
   b. Information on the driver's controlled substance tests in which a positive result was indicated. The probationary employee will be terminated if there is a positive drug test reported by a previous employer within the last year before employment with the Department. Refer to #27 of policy.
   c. Any refusal to submit to a required alcohol or controlled substance test.

RANDOM TESTING

Responsibility: Collection agency contracted by DHRM

3. Produce a list of individuals within a class to be selected for random drug and alcohol testing. A representative from the collection agency will conduct all tests according to federal guidelines.

4. Notify the selected employee's first level leader before the actual collection. Coordinate all scheduling with the collector. The management official at the next level will be contacted in situations where the first-level leader is unavailable.
Responsibility: Employee’s Leader

5. Shortly before the actual collection, typically the same day, the leader will inform the employee privately that he or she has been identified through a random selection process for drug or alcohol testing.

6. The leader will immediately report to the Department’s Drug Program Coordinator or designee any problems encountered during employee notification. A designated staff member from the Human Resource Office will serve as the Drug Program Coordinator.

Responsibility: Collection Agent

7. The Collection Agent may proceed with a randomly selected alternate when an employee selected for random testing is unavailable for legitimate reasons or the agent may return to conduct the random drug or alcohol test later in that month.

REASONABLE SUSPICION TESTING: Reasonable suspicion testing is authorized when management has cause to suspect that any employee is using illegal drugs or misusing alcohol. The Drug Program Coordinator, Human Resource Director, or their designee must be consulted before implementing reasonable suspicion testing procedures. Some factors to be considered in requesting a reasonable suspicion test:

a. Inconsistent work quality
b. Poor concentration
c. Lower productivity
d. Increased absenteeism
e. Unexplained disappearances from the job site
f. Careless mistakes
g. Errors in judgment
h. Needless risk-taking
i. Disregard for safety
j. Job-related accidents
k. Extended lunch periods
I. Early departures

Management should document the event and any difficulties encountered.

ALCOHOL: Reasonable suspicion alcohol testing must take place within two hours. The mere possession of alcohol does not constitute a need for reasonable suspicion testing, which must be based on observations concerning the employee's job performance, appearance, behavior, speech, body odor, or any combination of these. The employee in question where reasonable suspicion exists will not be allowed to drive a State vehicle or a personal vehicle on state business or perform safety-sensitive functions until an alcohol test is administered and the alcohol concentration measures less than .02 or 24 hours have elapsed following the determination that reasonable suspicion of alcohol use exists.

ILLEGAL DRUGS: Reasonable suspicion testing is based on observations concerning the employee's job performance, appearance, behavior, speech, body odor or any combination of these. The employee in question where reasonable suspicion exists will not be allowed to drive a State vehicle or a personal vehicle on state business or perform safety-sensitive functions until the results of the drug testing are confirmed.

Responsibility: UDOT Management

8. Consult with the Department's Human Resource Office to determine if reasonable suspicion exists. The employee will be reassigned to non-safety sensitive duties pending the results from the drug test or placed on paid administrative leave if a reasonable suspicion exists and if the employee is in a safety sensitive position.

9. Documentation will be developed describing the circumstances that formed the basis that reasonable suspicion exists to authorize such testing. This documentation will be retained in a secure confidential file maintained by the Drug Program Coordinator. Discipline will be documented as part of the employee's personnel record according to Human Resource Rules when disciplinary action is taken as a result of a positive test.

Responsibility: Drug Program Coordinator, EAP Coordinator, or HR Director

10. Notify the drug collection agency immediately when the determination has been made to conduct reasonable suspicion testing.

11. Notify the employee's leader or, in his or her absence, an upper-level management official that collection procedures have been initiated.
**Responsibility:** Leader or Management Official

12. Provide the employee with written notice that he or she is being tested because of a reasonable suspicion. The written notice may include:

   a. A statement describing relevant circumstances that form the basis for the decision to conduct reasonable suspicion drug or alcohol testing.

   b. Assurance that the testing procedures follow federal guidelines.

   c. Drug testing only: Notice of the opportunity for submitting supplemental medical documentation to the Medical Review Officer if, and only if, the test results are positive.

   d. The consequences of a confirmed positive result or refusal to be tested.

13. Immediately report to the Drug Program Coordinator any problems encountered during employee notification that would prevent testing.

**PRE-EMPLOYMENT AND PRE-APPOINTMENT TESTING (Drugs Only)**

All employees assigned to safety sensitive duties (see definitions), must be tested before performing any safety sensitive duties regardless of the duration of the position. This includes those on the snow plan. The individual occupying the position will be subject to all other types of drug and alcohol testing including random testing.

**Responsibility:** Regional Designee or Drug Program Coordinator

14. Notify the drug collection agency and provide the proper information concerning the employee being tested. The drug test should be the last action taken before filling the position with the selected applicant. The applicant cannot perform safety sensitive duties until the results of the drug test are received by the Drug Program Coordinator and the results are negative. The employee will be terminated if the results are positive.

**POST-ACCIDENT TESTING** – Drug or alcohol tests for employees who are operating or driving state vehicles or equipment and meet the post-accident criteria will be tested according to standardized testing procedures. Testing for the presence of drugs or alcohol will be conducted following a vehicle or equipment accident or on the job injury that involves or results in:

   a. A fatality.
b. An employee receiving a citation under State or local law for a moving traffic violation arising from the accident and bodily injury to any person who, as a result of the injury, immediately receives medical treatment away from the scene of the accident beyond first aid.

c. An employee receiving a citation under State or local law for a moving traffic violation arising from the accident and one or more motor vehicles incurring damage as a result of the accident requiring the motor vehicle to be transported away from the scene by a tow truck or other motor vehicle.

Disabling damage does NOT mean damage that can be remedied temporarily at the scene without special tools or parts; tire disablement with or without other damage even if no spare tire is available; headlight or tail light damage or damage to turn signals, horn, or windshield wipers that may make them inoperative. Disabling damage does not include damage from an accident resulting from getting in to or out of a stationary motor vehicle or an accident involving only the loading or unloading of cargo.

d. Any circumstances that meet the reasonable suspicion criteria outlined in this procedure.

e. Testing for illegal drugs should be conducted as soon as possible. Attempts to conduct a test will cease and written documentation prepared by management or Region, District Safety, or Risk Manager stating the reasons why the test was not promptly administered if a drug test has not been administered within 32 hours following the incident.

f. Testing for alcohol should take place within two hours of the accident. Written documentation will be prepared by management or the Region, District Safety, or Risk Manager stating the reasons why the test was not promptly administered in cases where circumstances prevent the testing of a driver within this time frame. Attempts to conduct a test will cease if an alcohol test has not been administered within eight hours following the incident.

g. People subject to post-accident alcohol testing must remain available and refrain from consuming alcohol for eight hours following the accident or until he or she submits to an alcohol test, whichever comes first.
h. The Department and DHRM recognize post-accident **alcohol** tests conducted by Federal, State, and local officials as meeting the requirements of this rule under the following conditions:

1) The official must have independent authority to conduct the test.

2) Tests must conform to Federal, State, or local requirements.

3) Tests must require a blood or breath sample.

**Responsibility:** Employee involved in the accident and Supervisor

15. Contact the appropriate region or group personnel to report the accident which would include Department Management, the Region, District Safety, or Risk Manager or for employees in Operations or at the Complex the Workers Compensation or Liability Claims Manager in the Department Risk Management Office.

**Responsibility:** UDOT Management including Area Supervisors, Project Engineers, or Region, District Safety, or Risk Manager

Use the following steps when determining those subject to testing:

16. Determine whether the accident is a covered event under Post-Accident Testing. This determination is based on review of all available facts and should be determined as soon as possible based on these guidelines (see a - e under post accident testing).

17. Management will take all practical steps to identify any additional employees whose work performance or behavior may have been a contributing factor to the accident following a determination that the accident qualified as a covered event.

18. The employee will be reassigned to non-safety sensitive duties pending the results from the drug test or placed on paid administrative leave if post accident testing is carried out and if the employee is in a safety sensitive position.

**Responsibility:** Administrative Coordinator, Area Supervisors, Project Engineers, Drug Program Coordinator, EAP Coordinator, HR Director, Region Manager, District Safety Manager, Risk Manager, or other Department Management

19. Notify the drug collection agency and provide the proper information concerning the employee who is subject to testing.
20. Contact the immediate leader with the necessary information who will then notify the employee of the time, place, and requirements of the post-accident drug test.

21. Notify the Drug Program Coordinator or designee in the Department Human Resource Office with the necessary information.

RETURN-TO-DUTY TESTING – Employees returning to work, including safety sensitive positions, after having met agreed upon stipulations between themselves and Department management, must undergo a return-to-duty drug and alcohol tests with a verified negative result before returning to work, including safety sensitive duties.

Responsibility: Drug Program Coordinator

22. Contact the Collection Agent to conduct the return-to-duty testing.

FOLLOW-UP TESTING – All employees referred through administrative channels who undergo counseling or enter a rehabilitation program for using illegal drugs or misusing alcohol will be subject to unannounced testing for one year following successful completion of such a program. Employees who violate this procedure or Department Policy regarding illegal drugs and alcohol misuse, whose employment is not terminated, will be subject to unannounced follow-up testing. The employee will be subject to a minimum of six follow-up tests in the ensuing 12 month period. The employee will be subject to a minimum of three follow-up tests during the second year.

Responsibility: Drug Program Coordinator

23. Will contact the Collection Agent to conduct the return-to-duty or follow-up testing.
Purpose
To have the Utah Department of Transportation (Department) comply with the
Department of Human Resource Management Rules concerning working hours
and to ensure employee productivity is continually sustained during normal
working hours.

Policy
WORK SCHEDULES
1. Normal work schedules will be determined based on the needs of the
   Department with consideration for employees' personal needs and
desires.

2. Employees who are non-exempt from the Fair Labor Standards Act as
   identified by the Department of Human Resource Management are not to
work before, beyond, or outside their normal hours or are not to work
overtime unless authorized. An accurate record of all time worked is to be
kept.

3. Regular workdays may be shifted within the work week, but employees
   must be given reasonable notice of a change in their regular work
schedule. This does not apply to an employee being called to respond to
an emergency situation or where working hours need to be aligned with
the working hours of contractors.

4. Employees' work schedules need to be maintained by the operating unit
   and be made available to inspection and audit by the Department, State,
or other regulatory agencies.

5. All full-time employees may take a minimum of a 30 minute
   uncompensated lunch break.

WORK WEEK
The basic workweek for a full-time employee consists of 40 working hours per
week.

An alternative work schedule for an employee may be adopted, where practical,
at the sole discretion of the Group or Region Leader or designee, providing that
the hours from 8:00 a.m. to 5:00 p.m., Monday through Friday, are adequately
staffed where services are required. An alternative work schedule may be
assigned to an employee based on the season or an employee's job assignment
to meet necessary business requirements. The Group or Region Leader or
designee may, on a temporary or permanent basis, adjust the work schedule of individuals or units to provide adequate services.

An employees’ work schedule may be either continuous or intermittent within any 24-hour day. Management reserves the right to require employees to work overtime in order to meet the demands of unforeseen emergencies and to provide services to the public.

The work schedule for the employee will be constant until it is changed by the Group or Region Leader or designee.

**ON-CALL TIME**

On-call compensation will accrue at a rate of one hour compensation for every twelve hours the employee is on-call where the nature of an employee’s work requires that he or she be available for work on-call during an off work time period. The one-hour of compensation will be pro-rated at 15 minutes of compensation for every three hours on-call.

An employee may be called out for emergencies even though the employee has not been notified as being on-call.

Credit for the on-call time will be recorded as time eligible for compensation but will not be recorded as hours worked. Any time actually worked during the on-call period will be recorded as hours worked, not as on-call time. See DHRM Rule R477-8-4(8)(c) for more on-call work conditions.

Conditions of on-call time:

1. The employee is considered to be on-call only if the manager or supervisor has specifically instructed and agreed in writing that the employee be available for call to duty. See On-Call Agreement below.

2. On-call status will be designated by a supervisor and must be in writing and documented in UPM on an annual basis. Carrying a beeper or cell phone does not constitute on call time without this written agreement.

3. Time is considered on-call time when the employee has freedom of movement in personal matters but must be able to respond within time limits designated by the manager or supervisor.

**TRAVEL TIME**

1. Normal commuting time from home to work and back is not counted towards hours worked. No time will be recorded as work hours unless the work has been pre-authorized while the employee is a passenger on any work-to-home or home-to-work travel. The employee may be disciplined for working without pre-authorization.
2. Employees required to meet at a specific work location before traveling to the work site will be paid from the time they are to be at that location. They will be paid up to the time they arrive back at that location at the end of the work period if they return to that location at the end of the work period. Employees should not be allowed an excessive amount of traveling time that is a part of the hours of work time.

3. An employee who is required to report to a work site that is farther than his or her regular commuting time will be paid for the difference.

4. Time employees spend traveling from one job site to another during the normal work schedule will count towards hours worked.

5. Employees who travel on official state business will be paid for time spent traveling except for meal periods during their normal working hours of their regular working days. Employees must also be paid for time spent traveling during normal working hours on non-working days such as Saturday, Sunday, and holidays.

   Travel time as a passenger on an airplane, train, boat, bus, or other public transportation outside of regular working hours will not be considered as hours worked.

**Background**

This policy has been developed in compliance with the Department of Human Resource Management’s requirements for state agencies.

**Definitions**

FLSA – Fair Labor Standards Act
ON-CALL AGREEMENT

Employee Name: ____________________________  EIN: ___________________________
Supervisor Name: ____________________________  Division/Office: ___________________

Agreement Terms and Conditions:

I hereby agree to be placed in an on-call status with the Department of Transportation and understand that management has required that I make myself available to return to work during management specified dates and time frames.

My signature also denotes the following:

1) I acknowledge that I have freedom of movement in personal matters and that I am not being restricted to a specified location but have made myself available for call to duty.

2) I acknowledge that I will respond to a call or page within _____ minutes. If I am required to report to a specified work site, I will do so within _____ minutes.

3) I will be compensated at my regular hourly rate for on-call time at a rate of one hour for every 12 hours that I am in an on-call status.

4) All on-call time accrued will be reported on my time sheet for the pay period in which it was earned.

5) All time actually worked is to be reported on the State time sheet for the pay period in which it was earned. Any time actually worked during the on-call period is recorded in 15 minute increments as “hours worked.”

6) Credit for the on-call time will be recorded as time eligible for compensation, but not recorded as hours worked. Any time actually worked during the on-call period will be recorded as hours worked, but not as on-call time.

7) Any breach of this agreement may result in disciplinary action.

Employee Signature: __________________________________  Date:  _____________
Supervisor Signature: __________________________________  Date: ______________
Purpose
To establish the Utah Department of Transportation (Department) policy and procedure concerning overtime and to establish the responsibility for obtaining proper authorization for use of overtime.

Policy
1. Overtime work will be kept to a minimum consistent with the operating needs of the Department. Overtime will be approved according to Department procedures.

2. Overtime compensation is established for each class title by the Department of Human Resource Management and is identified as N (Fair Labor Standards Act, non-exempt) or E (Fair Labor Standards Act, exempt).

FAIR LABOR STANDARDS ACT NON-EXEMPT (FLSA-N)

3. FLSA-N employees will be compensated for overtime worked at the rate of one and one half times their regular rate of pay for hours actually worked in excess of 40 hours in a work week. FLSA-N employees will be compensated for overtime worked with pay except where employees have signed an agreement indicating the acceptance of compensatory time. This allows the Department discretion to give compensatory time or pay for overtime worked. Employees who indicate they will accept compensatory time do so with the understanding that management reserves the right to pay down any compensatory time balances at any time.

4. An employee’s election to accept pay only or compensatory time for overtime worked will be in effect when a new agreement is signed. The employee’s election may be changed at any time.

5. FLSA-N employees who elect to receive compensatory time may accumulate up to a maximum of 80 hours. Additional overtime will be paid on the pay day for the period in which it was earned once the maximum is reached.

6. FLSA-N employees will earn excess time when actual hours worked plus holidays paid and hours spent on jury duty exceed 40 hours in a work week. No leave time other than holiday and jury leave will result in an employee accruing excess time.
Excess time is earned only until the employee accumulates 40 hours of actual work in a work week, after which overtime rules apply (see section 3).

Excess leave may be taken as time off from work, may be paid down at any time at management’s discretion, or may accumulate up to 80 hours, after which any additional excess leave earned will be automatically paid down.

FAIR LABOR STANDARDS ACT EXEMPT (FLSA-E)

7. Any compensatory time earned by FLSA-E employees is not an entitlement, is not a benefit, and is not a vested right.

8. FLSA-E employees are eligible for straight-time overtime compensation when they actually work in excess of 80 hours in a work period (two week pay period). They will be compensated for overtime worked by granting them time off at a rate of one hour off for each hour of overtime worked.

9. Any additional overtime will be paid on the pay day for the period in which it was earned for FLSA-E employees who have accumulated the maximum of 80 hours compensatory time.

10. FLSA-E employees will earn excess time when actual hours worked plus holidays paid and hours spent on jury duty exceed 80 hours in a pay period. No leave time other than holiday and jury leave will result in an employee accruing excess time.

11. Any compensatory time earned by FLSA-E employees but not taken, will lapse at the end of the Department’s annual overtime year. The Department will consider the last day in the fifth and fifteenth payroll period as the last day of the overtime year for Department employees in an exempt position.

Compensatory time that has been earned but not taken, will lapse for any FLSA-E employee who leaves the agency through a transfer to another agency, termination, retirement, or who will otherwise not return to work before the end of the overtime year.
EXCESS HOURS

12. Employees may use excess hours the same way as annual leave.

13. Department management will approve excess hours before the work is performed.

14. Department management may deny the use of any leave time, other than paid holiday and jury leave, that results in an employee accruing excess hours.

Background

This policy and procedure has been developed in compliance with the Department of Human Resource Management’s requirements for state agencies.

Definitions

<table>
<thead>
<tr>
<th>FLSA-E</th>
<th>Employees who are exempt from the Fair Labor Standards Act.</th>
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<tbody>
<tr>
<td>FLSA-N</td>
<td>Employees who are not exempt from the Fair Labor Standards Act.</td>
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</table>
Procedures
Overtime

OVERTIME TYPE: EMERGENCY

Responsibility: Region or Group Leader or Designee

Actions

1. Authorize emergency overtime work under vested authority and according to Department policy with pay for eligible personnel when necessary to affect the safety of the highway user under conditions of roadway damage, highway construction, snow removal or other emergency situations.

2. Review explanation of emergency overtime on payroll forms submitted by leader.

OVERTIME TYPE: NON-EMERGENCY WORK

Responsibility: Requesting Authority

3. Assess overtime need. Adjust work schedules to avoid overtime if possible.

4. Prepare overtime request providing justification for the overtime and indicating the names, titles, rates of pay and anticipated hours required for individuals who are to work the overtime.

5. Send request to the Region or Group Leader or designee for approval.

Responsibility: Region or Group Leader or Designee

6. Review request for adequate justification. Approves or disapproves request under vested authority of the Department Director. Assures effective planning, scheduling, and monitoring procedures are in place to minimize abuse. Consider alternatives to overtime use.

7. Return request to originator and indicates whether the overtime has been approved or disapproved.

8. Assure that overtime use is kept at a minimum consistent with the operating needs of the Department.

9. Hold leaders accountable for proper monitoring and use of overtime. Assure that overtime regulations and procedures are being followed.
Responsibility: Requesting Authority

10. Monitor overtime worked to assure it is within the limits approved. Keep overtime work to a minimum.

11. Prepare payroll forms and sends to region or group administrative section (payroll) with a copy of the overtime approved.

Responsibility: Region or Group Administration

12. Compare overtime worked with payroll documents to assure compliance with the region, group leader, or designee approval. Hours for individuals may differ from the original approval as long as total hours approved are not exceeded. An explanation is to be made for the difference.

13. Prepare overtime exception report for the Region or Group Leader where overtime worked exceeded authorized overtime.

14. Maintain records on overtime usage and approval for audit by the Department, State, or other regulatory agencies.
Purpose
To comply with the Department of Human Resource Rules concerning leave for Utah Department of Transportation (Department) employees.

Policy
This leave policy will explain the following types of leave:

a. Annual Leave
b. Sick Leave
c. Converted Sick Leave
d. Holiday Leave
e. Leave Without Pay
f. Worker’s Compensation
g. Funeral Leave
h. Jury Duty Leave
i. Military Leave
j. Family Medical Leave
k. Administrative Leave

LEAVE TYPE: General Conditions of Leave

1. No paid leave will accrue or be granted to temporary, seasonal, or per diem employees. Leaders have the discretion to give leave benefits to Schedule TL and some IN (Time-limited Projects) employees.

2. Employees on annual, sick, funeral, or paid military leave will continue to accrue annual and sick leave at their regular rate.

3. An employee transferring from one department of state service to another is entitled to transfer all accrued annual, sick leave, and converted leave to the new department.
4. No employee is allowed annual or sick leave with pay for any period of time beyond or in advance of time already accrued.

5. Full time employees will receive leave benefits in proportion to the number of hours they work according to the tables provided in the Department of Human Resource Management Rules.

6. Permanent part time employees working a regular schedule of less than full time will accrue a proportional amount of annual and sick leave according to the tables provided in the Department of Human Resource Management Rules.

LEAVE TYPE: Annual Leave

1. Eligible employees will accrue annual leave with pay based on the following years of State service:
   
a. Zero through five years – four hours per pay period.
   
b. Beginning of sixth year through ten years – five hours per pay period.
   
c. Beginning of eleventh year through twenty years – six hours per pay period.
   
d. Beginning of twenty-first year or more – seven hours per pay period.

2. Accrual and annual leave are determined based on permanent employment, can be with more than one State agency, and need not have been continuous or full time.

3. Eligible employees may begin to use annual leave time after completing the equivalent of two full pay periods of employment.

4. Department leaders will allow every employee the option to use annual leave each year for at least the amount accrued in the year. Annual leave granted will be approved in advance by the employee’s leader.

5. Any unused accrued annual leave in excess of 320 hours will be forfeited at the beginning of the first pay period of each calendar year. The first pay period usually takes place around the middle of January.
6. Employees terminating or retiring from State service will be cashed out in a lump sum for all annual leave accrued through the last day actually worked. No leave-on-leave may accrue or be paid, nor will contributions to benefits, other than FICA tax be paid on the cashed out annual leave.

LEAVE TYPE: Sick Leave

1. Sick pay is provided as insurance against loss of income when an employee is unable to perform his/her work because of illness or injury.

2. It is the responsibility of leaders to ensure that sick leave regulations are complied with and not abused. Abuse of sick leave privileges may be considered as grounds for disciplinary action.

3. Employees shall accrue sick leave with pay at the rate of four hours each pay period. Sick leave will accrue without limit.

4. An eligible employee may begin to use accrued sick leave after having completed the equivalent of at least two full pay periods of employment.

5. Sick leave may be granted for preventive dental or medical care, maternity or paternity and adoption care, or because of illness, injury, or temporary disability of a spouse or dependents living in the employee’s home. Exceptions may be granted for other unique medical situations.

6. Each employee absent because of illness or injury will arrange for a telephone report to his or her leader at the beginning of the scheduled work day they are absent. Management may require medical reports such as back to work approvals to return to work for illnesses or injuries before the employee returns to work.

7. Any application for a grant of sick leave to cover an absence that exceeds three successive working days will be supported by administratively acceptable evidence such as a medical certification. A leader may require an employee to produce a doctor’s certification of illness regardless of the number of days on sick leave if there is reason to believe that an employee is abusing sick leave.

8. Sick leave will not accrue during any period when an employee is on leave of absence without pay status. Employees in a paid leave status will continue to accrue sick leave.

9. Employees separating from Department service may not receive compensation for accrued unused sick leave unless they are retiring. Employees who are rehired within 12 months of separation will have their previously accrued unused sick leave credit reinstated.
10. Any absence for illness beyond the accrued sick leave may continue under the following provisions:

a. An approved leave-without-pay status not to exceed 12 months.

b. An approved Family Medical Leave status.

c. An annual or other accrued leave status as approved by the employee’s leader.

11. Employees must support sick leave requests with an appropriate proof of illness which may include a doctor’s certification and other documentation as requested by the Department after filing a termination notice.

LEAVE TYPE: Converted Sick Leave

Employees may convert a portion of unused sick leave to converted sick leave as an incentive to reduce sick leave abuse.

An employee will become eligible in the next calendar year for the sick leave incentive program if he or she has accrued 144 hours of unused sick leave. Any hours of unused sick leave accrued in excess of 64 will be transferred to the converted sick leave account and may be used in any one of three ways at the option of the employee during a calendar year in which the employee is eligible.

1. It may be used for annual leave.

2. It may be used as sick leave.

3. A maximum of 320 hours may be accrued in the converted leave account. Excess hours may be left as regular sick or converted to annual. Hours must be used within the year when accrued annual leave exceeds 320 hours if converted to annual.
LEAVE TYPE: Holiday Leave

An eligible employee will accrue eight hours paid holiday leave whenever a holiday occurs. Holiday leave normally will be taken on the holiday. The following have been designated legal holidays in the State of Utah. Offices will be closed, except as otherwise provided by law:

- New Year’s Day: January 1
- Dr. Martin Luther King Jr. Day: Third Monday of January
- Presidents’ Day: Third Monday of February
- Memorial Day: Last Monday of May
- Independence Day: July 4
- Pioneer Day: July 24
- Labor Day: First Monday in September
- Columbus Day: Second Monday in October
- Veterans’ Day: November 11
- Thanksgiving Day: Fourth Thursday in November
- Christmas Day: December 25
- Any day designated by the Governor as a legal holiday.

The Monday following a holiday that falls on a Sunday will be observed as the holiday. The preceding Friday of a holiday that falls on a Saturday will be observed as a holiday. Departments, divisions, institutions, and agencies of the State of Utah that deal directly with the public will maintain a minimum staff on duty to facilitate necessary public contracts. An employee required to work on an observed holiday will receive another day off or will receive compensation for the excess hours worked. An employee must be paid in the pay period in which the holiday falls.

Permanent part time employees who work a regular schedule of less than the standard number of hours in a pay period but at least 50 percent will accrue holiday leave in proportion to the time worked in the pay period that includes the holiday.

Employees working compressed schedules will receive a maximum of 90 hours of holiday leave in each calendar year. Employees on a compressed schedule will receive an equivalent workday off not to exceed eight hours or will receive compensation for the excess hours at a later date if the holiday falls on a regularly scheduled day off.
LEAVE TYPE: Leave Without Pay

1. A career service employee may be granted continuous leave of absence without pay for up to 12 months from last day worked upon approval of his or her written application by the Region or Group Leader with consultation from the Department’s Human Resources Office for reasons of benefit to the employee and the State. Check with the Human Resource Representation in the group or region in which the employee works, the Human Resources Office, or with the DHRM rules if the absence is due to Workers Compensation or Long Term Disability.

2. A career service employee may be granted medical leave without pay for a period not to exceed six months cumulative from the first day of absence or inability to perform the employee’s regular position, provided that the necessity for his or her absence from duty is verified by certification from a registered medical practitioner.

3. Employees may be allowed to take leave-without-pay without exhausting annual or sick leave balances at the discretion of the Department except when taking Family Medical Leave. An employee may take up to ten consecutive working days without affecting the leave accrual rate.

4. Employees who return to work on or before the expiration of leave without pay will be placed in a position with comparable pay and seniority to their previously held position provided the same or comparable duties can be performed with or without reasonable accommodation. The employee will also be entitled to previously accrued annual and sick leave.

5. Leave without pay for non-disability reasons will not be granted unless there is a positive expectancy that the employee will return to work at the expiration of such leave.

6. Health insurance benefits are discontinued under leave-without-pay status unless the employee personally continues the premiums. An exception to this is in case of work related injury or illness, long term disability, or as provided under the Family Medical Leave provisions.

LEAVE TYPE: Workers Compensation

See Workers Compensation Leave Policy UDOT 05–75. Additional information can be obtained from the Human Resource Representative for the employee’s group or region, DHRM rules, Department Risk Management Unit or the Human Resources Office.
LEAVE TYPE: Funeral Leave

A maximum of three working days funeral leave with pay per occurrence at management’s discretion will be granted to employees to attend the funeral of a member of the immediate family. Such leave will not be charged against accrued sick or annual leave.

Immediate Family means relatives of the employee or spouse including in-laws, step-relatives, or equivalent relationships as follows:

   a. Spouse
   b. Parents
   c. Siblings
   d. Children
   e. All level of grandparents
   f. All level of grandchildren

LEAVE TYPE: Jury Duty Leave

Each employee entitled to paid leave under these rules is entitled to leave of absence with full pay for such period of required absence when, in obedience to a subpoena or direction by proper authority the employee appears as a witness for the federal government, the State of Utah, or a political subdivision thereof or is called to serve on a jury or as a witness in a grievance hearing. Witness or jurors fees paid to employees in a leave with pay status (other than annual leave) will be returned to agency payroll clerks for deposit with the State Treasurer. The fees will be deposited as a refund of expenditure in the low org. where the salary is recorded.

Time absent by reason of subpoena in litigation not required by the employee’s position to testify not in official capacity, but as an individual, will be taken as annual leave or leave without pay.

LEAVE TYPE: Military Leave

1. Employees will give notice of official military orders as soon as possible before such service begins. Contact the Human Resource Representative for the group or region for additional information.
2. Employees who are members of the National Guard or Military Reserves with official military orders are entitled to military leave not to exceed 15 regularly scheduled working days per calendar year without loss of pay or loss of annual or holiday leave. One day of military leave is the equivalent of 10 hours. Employees may not claim salary for non-working days spent in military training or for traditional weekend training.

3. Employees will be placed in their original position or one of like seniority status and pay upon termination from active military service, under honorable conditions. The cumulative length of time allowed for re-employment may not exceed five years. Employees are entitled to re-employment rights and benefits including increased pension and leave accrual. People entering military leave may elect to have payment for annual leave deferred. Employees will present evidence of military service and leave without pay status in order to be reemployed:

   a. Return at the beginning of the next regularly scheduled work period on the first full day after release from service taking into account safe travel home plus an 8-hour rest period for service less than 31 days.

   b. Submit an applicant for reemployment within 14 days of release from service of more than 31 days but less than 181 days.

   c. Submit an application for reemployment within 90 days of release from service for service of more than 180 days.

LEAVE TYPE: Family Medical Leave

Employees are allowed to take up to 12 weeks off each calendar year for the birth of a child, adoption of a child, placement of a foster child, a serious health condition of the employee, or care of a spouse, dependent child, or parent with a serious medical condition according to the Family and Medical Leave Act. Employees eligible under this rule will continue to receive medical insurance benefits. Additional information is available from the Human Resource Representative in the region or group, the Human Resources Office or the DHRM Rules.

LEAVE TYPE: Administrative Leave

A career-service employee may be granted administrative leave with pay at the direction of the Region Director or Group Leader or designee for a period not to exceed eight successive working days. Any additional administrative leave must be approved by the Department Executive Director or Deputy Director. Use of administrative leave is to be documented on an employee's leave record.
Purpose
To provide needed sick leave to qualified Utah Department of Transportation (Department) employees.

Policy
The Sick Leave Assistance Program is intended to aid employees who have had a catastrophic accident or illness during extended absences from work and whose leave benefits have been or will be exhausted. This policy is not intended to underwrite abusive use of sick leave.

With the exception of part-time employees a maximum of three calendar months of donated leave may be utilized by an employee for any single instance. Long Term Disability (LTD) coverage is available after three calendar months for those that qualify.

Leave-on-leave will accrue if a person is on approved donated sick leave.

Employees may donate annual or converted sick leave hours to the Department Sick Leave Assistance Program. Annual or converted leave will not be donated from leave balances that would normally be lost at the end of the calendar year unless it is possible for the employee to take the time for personal use before year end. Employees donating leave to the Sick Leave Assistance Bank will not have a choice as to who receives the donated leave. The distribution of the leave will be made by the Region or Group to eligible employees.

Only career service employees eligible for leave benefits are eligible to utilize this program.

Hours donated to the Sick Leave Assistance Program may not be used until all other forms of useable leave are exhausted.

Sick Leave Assistance may not be utilized at the same time as workers compensation or long term disability benefits.

All use of the Sick Leave Assistance Program is subject to post audit.

Only employees of agencies with approved leave bank programs may donate annual leave to another agency with a leave bank program if mutually agreed on by both agencies.
Background
This policy and procedure is in compliance with DHRM rules.

Definitions
Catastrophic is defined in the context of this policy as meaning an illness, a physical condition, or an accident producing a life threatening or incapacitating situation for which extensive medical treatment and prolonged absence from work are necessary.
Responsibility: Region or Group

Actions

1. Administrative Services, Comptroller, Internal Audit, and Community Relations will be considered a group for the purposes of this policy and procedure. Each Region of Group will establish their own leave bank for their area.

DONATIONS FROM THE SICK LEAVE BANK

Responsibility: Employee or employee's supervisor

2. Make a written request for approval to utilize the Sick Leave Assistance Program. The request is to include the employee’s name, the date leave benefits will be exhausted, the date the employee’s absence began, a record of the employee’s past year sick leave, and a signed release by the employee authorizing the attending physician to release medical information concerning the severity, the prognosis, and an estimate of how much work will be missed.

Responsibility: Region or Group Leader or Designee

3. Review the request and approve or deny. The request is sent to the Sick Leave Assistance Coordinator for that area to handle the necessary payroll paperwork if approved. It is returned to the employee with reasons why the Sick Leave Assistance Program could not be used if the request is denied. The Region or Group Leader or designee will have final approval or disapproval authority.

4. The Region or Group may notify its employees of the need for donated hours if it does not have adequate leave for a request. There will be no solicitation for donated leave for specific employees.

5. Regions or Groups that still do not have adequate leave for a request may contact other regions or groups for assistance from their leave bank.
6. The Region or Group may go Department wide with the request as a last resort with approval from the employee if leave is not available from other leave banks. The request must be approved by the Region or Group Leader. No more than one request can be made per employee per incident.

7. The Region or Group may authorize one employee donating to another specific employee with a written request and authorization from employee donating the time.

DONATIONS TO SICK LEAVE ASSISTANCE BANK

Responsibility: Employee

8. Submit the state leave form to the payroll section of the employee’s Region or Group. Only annual leave or converted sick leave hours may be donated to a leave bank. This does not include annual leave that would normally be lost at the end of the calendar year unless it is possible for the donating employee to take annual leave before the calendar year end.

Responsibility: Region or Group’s Payroll Section

9. Credit the Region or Group Sick Leave Assistance Bank with the appropriate number of hours donated and debit the donor’s leave record.
Purpose
To define the policy of the Utah Department of Transportation (Department) regarding a voluntary physical fitness program for its employees.

Policy
The Department encourages its employees to participate in an appropriately prescribed physical fitness program. The Department may grant up to 90 minutes each workweek for an employee to participate in an exercise program to assist employees in this pursuit. An employee’s participation in this program is not an implied right. The following will apply:

A. Employees are encouraged to see their personal physician to ensure they are physically capable of participating in a physical fitness program.

B. Employees must submit an approved Exercise Agreement Form (Form ADM-74) to the Region Administration group or Comptroller’s Service Center prior to starting the program.

C. Employees participating in the program may report compensated exercise time up to three days per week for 30 minutes each day, or up to two days per week for 45 minutes each day.

D. Participation in this program will be suspended for FLSA non-exempt employees on weeks when the employee has more than 40 compensated hours, and for FLSA exempt employees on pay periods when the employee has more than 80 compensated hours.

E. Exercise time is not cumulative. Exercise time not used cannot be saved or accumulated for later use.

F. Employees on a formal corrective or disciplinary action process may not utilize the physical fitness program.

G. Exercise time must be reported by using Activity 7G99.

H. Employees assume all risks associated with participating in the Department’s program. Injuries incurred during compensated exercise time will not be considered work-related injuries for purposes of workers compensation benefits.

I. Exercise time may only be used during the employee’s regularly scheduled workday.
J. The Exercise Agreement form must be reviewed and renewed each fiscal year.

Utilization of the privileges granted by this policy will not interfere with normal work functions. Leaders may schedule working hours so that any employee who wishes to join an exercise program may do so where possible.

Background
This policy is in support of employees maintaining a healthy lifestyle consistent with Healthy Utah. The Department encourages employees to utilize Healthy Utah’s resources, including seminars, health challenges, wellness programs, and annual testing sessions.

Rule R477-8-3 permits agencies to allow compensated release-time exercise for up to three days per week for 30 minutes, and requires participating agencies to maintain a written policy regarding exercise time.
Responsibility: Employee

Actions
1. Obtain approval from supervisor to participate in an exercise program during working hours. Approval must be given by use of the Department Exercise Agreement Form (Form ADM-74).

Responsibility: Immediate Supervisor

2. Approve or deny Form ADM-74.

3. Upload approved Form ADM-74 to Utah Performance Management system (UPM) as an attachment within the employee’s current annual performance plan.

4. Send approved Form ADM-74 to the payroll support group (Region Administration group or Comptroller’s Service Center).

Responsibility: Region Administration group, Comptroller’s Service Center

5. Maintain original Form ADM-74 in payroll files until the end of the fiscal year.

Responsibility: Employee

6. Abide by all provisions of policy, including accurate time reporting using Activity 7G99.

Responsibility: Immediate Supervisor

7. Suspend participation in the program on weeks when the employee will have more than 40 compensated hours (if FLSA non-exempt) or on pay periods when the employee will have more than 80 compensated hours (if FLSA exempt).
Responsibility: Payroll accountants

8. Review payroll data and ensure that a valid Form ADM-74 is on file for employees who report exercise time, a maximum of 90 minutes per week of exercise time is reported, and that participation in the program has been suspended for FLSA non-exempt employees with over 40 compensated hours in the week and for FLSA exempt employees with over 80 compensated hours in the pay period.

Responsibility: Immediate Supervisor, Region or Group Leader

9. Revoke or suspend participation in the program if it is being abused, if it interferes with normal work functions, if it is not occurring during normal working hours, or if the employee is not using it for exercise.

Responsibility: Employee, supervisor

10. Repeat process at the start of each new fiscal year.
Utah Department of Transportation

Exercise Agreement

The Department of Transportation authorizes ________________________ (employee) to participate in an exercise program as governed by UDOT Policy 05-74.

Exercise Program:

<table>
<thead>
<tr>
<th>Day</th>
<th>Time</th>
<th>Description of exercise</th>
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</table>

Fiscal Year: _____  EIN: ________  Home Unit: _____  FLSA Status: [ ] Non-exempt  [ ] Exempt

The following conditions apply:

- Participation in the exercise program is not a right.
- The employee assumes all risks and liability for the exercise program.
- Exercise time must be reported using Activity 7G99.
- Employees may report a maximum of 90 minutes of compensated exercise time per week.
- Only the specified exercise program above is eligible to be reported as compensated exercise time.
- Participation in the exercise program will be suspended on weeks when the FLSA non-exempt employee has more than 40 compensated hours, and on pay periods when the FLSA exempt employee has more than 80 compensated hours.
- Participation in the exercise program will be revoked if the employee enters formal corrective or disciplinary action.
- Participation in the exercise program will be reviewed and renewed annually during June for the following fiscal year.
- Participation in the exercise program may be suspended or revoked for abuse, interference with normal work functions, or failure to comply with Policy 05-74.

My signature below certifies that I understand and agree to all terms and conditions of the Department’s Physical Fitness policy and those contained in this form. I consent to voluntarily participate in this program and assume all risks associated with my designated exercise program. I waive and release all rights and claims against the Department for any and all injuries, ailments, or other consequences I may suffer as a result of my participation in this exercise program.

Employee’s Signature ____________________  Date ________________

Approval:

Supervisor’s Signature ____________________  Date ________________

Upload completed form to UPM as an attachment within the employee’s current annual performance plan. Send hardcopy of completed form to the Group/Region payroll accountant. Hardcopies will be purged at end of the fiscal year.

Rev. 2/9/15
Purpose
To provide the means in which a Utah Department of Transportation (Department) employee who is injured on the job may receive full pay while on Workers’ Compensation Leave.

Policy
It is the policy of the Department to supplement worker’s compensation benefits by allowing employees to use their sick, annual, compensatory, excess and converted sick time.

Background
This policy has been developed in compliance with the Department of Human Resource Rules.

Definitions
RDS/R Manager – Region/District Safety/Risk Manager

Claims Specialist – Representative of the Department Risk Management Section acts as the RDS/R Manager for the Complex.

Return To Work Team (RWT) – May include RDS/R Manager, Region Administrative Coordinator, employee’s immediate supervisor, and others as necessary. The RWT for the Complex will include the Claims Specialist, Human Resources, employee’s immediate supervisor, and others as necessary.
Responsibility: Employee

Actions

1. Immediately notify Supervisor of injury.

Responsibility: Supervisor and Employee

2. Immediately notify RDS/R Manager of injury.

3. Completely fill out the Employer’s First Report of Injury or Illness (form 122). Forward the form 122 to the RDS/R Manager.

Responsibility: RDS/R Manager

4. Receive and review completed form 122 from supervisor and employee. Transcribe information from the submitted form 122 to the electronic format and submits to the Workers’ Compensation Fund of Utah. Sends copy of form 122 to the employee, Claims Specialist, Region Administrative Coordinator (if applicable) and Comptroller - Payroll Coordinator. Workers’ Compensation Fund of Utah forwards form 122 to the Labor Commission.

Responsibility: Region Administrative Coordinator or Claims Specialist for the Complex

5. Notify local payroll of the employee’s industrial leave.

Responsibility: Comptroller – Payroll Coordinator

6. Notify employee of options in writing when first check is received in the Comptroller’s Office. The employee will be given the option to use their accrued leave benefits to supplement the Workers’ Compensation check. The employee will need to refund to the Department any accrued leave paid if the employee’s first benefit check and accrued leave paid exceeds their normal gross salary. This leave will be reinstated to the employee’s leave balances.
Responsibility: Employee

7. Obtain a release to return to work from the physician or preferred provider.

8. Give the release to the immediate supervisor before starting the first work day if the employee’s release indicates no work restrictions.

9. Obtain approval from the RWT Team as per policy and procedure 06E-3 if the employee’s release indicates work restrictions.

Responsibility: Supervisor

10. Notify the RDS/R Manager (Claims Specialist for the Complex) and the Region Administrative Coordinator (if applicable) when the employee has been released to return to work. Send copies of the release to the RDS/R Manager immediately.

Responsibility: Region Administrative Coordinator (Claims Specialist for the Complex)

11. Notify Comptroller’s Office and local payroll of the employee’s return to work.

Responsibility: Comptroller – Payroll Coordinator

12. Authorize full retirement credit to be paid for injured employee.
Purpose
To provide a program whereby Utah Department of Transportation (Department) employees can perform their assigned work outside of the office, generally within their home, relieving them from a daily commute to the office.

Policy
General Provisions
1. Telecommuting is neither an employee right nor employee benefit. Telecommuting is a management option that may be made available to some employees when a mutually beneficial situation exists for the state, the Department, and the employee. Telecommuting agreements may be terminated at any time by the Department. Employees who telecommute do not have an obligation to continue in a telecommuting arrangement. Senior leaders will review and approve or disapprove all telecommuting proposals.

2. The telecommuting policy is for routine scheduled occurrences and not intended for ad hoc, short-term situations where Department employees work at an alternative site on special occasions to complete specific projects.

3. Telecommuters generally work at their Department office from two to three days per week and a secondary location or alternative work site one to two days per week. The secondary work location is generally a home office, although other alternatives are possible. Telecommuting may not require a computer or telecommuting equipment. Telecommuting is not intended to be full time.

4. The standard work week schedule will be 5-8’s, Monday through Friday. The telecommuting employee’s work hours and work assignments are a management option. The work schedule should be between 8:00 a.m. and 5:00 p.m. for support and customer service.

5. Telecommuting is for good performers. Employees who are not performing at an acceptable level in all aspects of the job will not be considered for telecommuting. Employees should serve in their present position for six months before being considered for telecommuting. Employees who are on a performance improvement plan, disciplinary action, have unsatisfactory performance rating, or whose daily work habits are not satisfactory as judged by the supervisor will not be considered for telecommuting. Temporary employees such as TL or IN will not be considered for telecommuting.

6. Telecommuting will not be used as a substitute for dependent care. The telecommuting employee cannot be the primary care provider for infants, preschool children, children off track, or dependent adults during the work day. Arrangements for dependent care must be made as if the employee is at the office work site, with documentation from the provider.
7. Exceptions to these provisions must be approved, in writing, by the senior leader.

**Participant Selection Criteria**
Telecommuting is a voluntary program. Supervisors may use the following criteria in determining potential telecommuting participants.

8. The employee is an independent worker
   a. Self-reliant
   b. Self starter
   c. Trustworthy
   d. Good performer
      1) In the position for six months
      2) Not on a performance improvement plan or disciplinary action
      3) Overall Acceptable Performance Review
   e. Good work habits
   f. Works with little supervision

9. Job duties
   a. Independent work
      1) The essential tasks do not support customers or few customers.
      2) Work does not require face-to-face communications in a structured office setting.
      3) Work does not require data or resources from other sources.
   b. Work should be task oriented
   c. There are no special security needs that require the work to be done only at the office.

10. Knowledge of computers and required software, if necessary.

11. Has access to office space at alternative work location free from interruptions and with proper office furniture and equipment.
**Participant**

12. Should be cognizant of other people’s perceptions that are created as result of telecommuting and must be cautious in their daily affairs.

13. Employees will be accessible for telephone contact during their normal work hours.

14. The State will not be responsible for any costs associated with using an employee’s home as a telecommuting location such as maintenance, insurance, and utilities.

15. The employee is responsible for complying if the telecommuting arrangement involves activities that must be cleared through zoning ordinances or home association regulations.

**Leader (Supervisor)**

16. Supervisors will make prudent and frugal use of state funds, equipment, buildings and supplies (R477-9-1) in approving telecommuting. Telecommuting arrangements may be more expensive for the Department.

17. Supervisors may use the Participant Selection Criteria in reviewing the employee’s request.

**Performance Plan – Guidelines**

18. The performance plan should be based on work tasks not process management. The plan should include standards and measures so that both the employee and supervisor understand that telecommuting is a benefit to the Department as well as to the employee. Every employee who participates in the Program will have a performance plan.

**Alternative Work Site**

19. The specific workspace designated by the employee will be considered an extension of the State workspace during the approved work hours and the State’s liability for job-related accidents will continue during the understood and approved work hours. Workers’ Compensation liability will be limited to this workspace as opposed to applying to all areas of the alternative work site. The employee agrees to notify the supervisor immediately of any accident or injury that occurs at the alternative work site and to complete any required forms.

20. Injuries to a third party are not covered since the telecommuting program does not include personal contact with others for business or interaction on official business.

21. All standards such as locked files and passwords for software for confidential information and records that apply at the office also apply at the alternative work site. Unauthorized disclosure will subject the employee to penalties provided by law up to and including termination.
22. Access to Department computers and networks will be in accordance to State and Department standards.

23. Restricted-access materials such as payroll will not be taken out of the primary office or accessed through the computer at a remote location.

24. The approved designated work area, furniture and equipment will be ergonomically correct at the employee’s expense.

**Equipment and Supplies – Participant**

25. Employees who telecommute and are required to have a computer to perform their assignments will use their own private computer. All other equipment and supplies assigned to the employee are the property of the State and are issued to the employee on a temporary basis. The employee must sign for receipt of the equipment, if any.

26. The State will not be liable for damages to the employee’s personal or real property while the employee is working at the telecommuting location unless damages are caused as a direct result of malfunctioning State-owned equipment.

27. Employees will make prudent and frugal use of state funds, equipment, building, and supplies (R477-9-1).

28. Supplies required to complete assigned work at the telecommuting location should be obtained during one of the employee's in-office visits. The Department will not reimburse the employee for supplies such as computer floppy disks and cables. Out-of-pocket expenses for supplies normally available at the primary work location will not be reimbursed.

29. The employee is responsible for returning all equipment, supplies, and work products used at the telecommuting location upon request of the Department or upon termination of his or her participation in the project.

**Equipment and Supplies – The Department**

30. Expenses not specifically covered above will be dealt with on a case-by-case basis, taking into account the reasonableness of the expense, other expenses reimbursed for the employee, and the overall budget for the project.

31. The immediate supervisor will approve or disallow reimbursement requests not specifically covered.

32. Furniture and computers will not be supplied by the State.

33. The Department will reimburse the employee for costs associated with any toll charges or long distance charges incurred for business purposes. These charges will be explained and agreed upon in advance and documentation will be provided by the employee and approved by the supervisor.
34. The State will reimburse the telecommuting employee for software for compatibility with different systems used by the Department as needed.

**Related Provisions**

35. Any software developed on state-owned computer equipment or a personal computer during working hours is the property of the state.

36. Participation in a telecommuting program grants the same rights as any State employee, including the worker’s compensation benefits, defense and indemnification for claims against an employee arising out of state employment as provided by the Utah Government Immunity Act.

37. The telecommuter will provide access to the alternative work site upon request by the Department as a condition of a telecommuting program for such things as: document confidentiality, management purposes, equipment security, safe working conditions, program compliance, or other work related matters. Leaders or other representatives of the Department may visit the work site to retrieve equipment and other State property in case of an employee’s extended illness, termination, or retirement.

38. Any agreements or contracts that have been signed by employees during the course of their employment will still be in effect while working at an alternative work site, such as the overtime agreement. All Department and state policies, procedures, and rules are in effect while working at an alternative work site.

**Background**

This policy and procedure are in compliance with DHRM rules.

**Definitions**

Telecommuting involves work that an employee performs on a routine basis, independent of others, and can be accomplished by the employee outside of the primary office environment pursuant to a pre-approved written agreement between the employee, supervisor, Senior leader, and others as necessary.

A Senior Leader is someone who is a member of the QIC (Quality Improvement Council.)
Responsibility: Employee and Immediate Supervisor

Actions

1. Review the participant selection criteria, the employee’s duties, and the past performance of the employee.

2. Identify those duties that the employee performs regularly, independent of others that can be accomplished outside the office environment.

Responsibility: Employee

3. Read this policy, procedure, and guidelines and complete the Telecommuting Feasibility Request.

4. Submit feasibility request to his or her immediate supervisor.

Responsibility: Immediate Supervisor

5. Review the telecommuting request and complete the supervisor's portion of the request.

6. Approve or deny the request. Forward request to the Senior leader for approval, if approved by immediate supervisor.

Responsibility: Senior Leader

7. Review documentation and determine if telecommuting is in the best interest of the Department and employee considering all aspects including cost and possible budgetary constraints.

If approved by the Senior Leader:

Responsibility: Employee and Immediate Supervisor

8. Meet together to modify the employee’s performance plan as needed for telecommuting.

9. Complete a Telecommuting Agreement.

10. The agreement will be renegotiated annually with copies sent to the Human Resource Office.

11. The employee or leaders may end the telecommuting arrangement at any time.
This checklist will help the immediate supervisor and senior leader determine the appropriateness of matching job assignments to telecommuting. Section I should be completed by the employee. Section II should be completed by the supervisor with final approval by the Senior leader.

<table>
<thead>
<tr>
<th>Section I (TO BE COMPLETED BY EMPLOYEE)</th>
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<tbody>
<tr>
<td>1. Briefly describe your current job responsibilities:</td>
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<tr>
<td>2. Which job responsibilities would be completed utilizing the telecommuting arrangement?</td>
</tr>
<tr>
<td>3. Which days each week do you plan to work away from your Department Office?</td>
</tr>
<tr>
<td>4. The standard work schedule is four days a week, ten hours a day. Do you agree to work this schedule?</td>
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<tr>
<td>5. Describe the equipment, supplies or other needs, if any, required at the alternative work location to support your telecommuting arrangement.</td>
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<tr>
<td>6. Describe the proposed office arrangement at your secondary location.</td>
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<td>7. Describe plans for ensuring confidentiality/security.</td>
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<td>8. Describe how your availability and customer service will be transparent to your customers?</td>
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<tr>
<td>9. What computer applications do you use now and would require for a telecommuting arrangement? (Word processing, electronic mail, spreadsheets, mainframe applications, etc.)</td>
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<tr>
<td>10. Identify your customers:</td>
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<tr>
<td>11. List dependants living at home including ages.</td>
</tr>
<tr>
<td>12. Describe all dependent care arrangements including name and address of all providers.</td>
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### Section II
**(TO BE COMPLETED BY SUPERVISOR)**

<p>| | |</p>
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<tbody>
<tr>
<td>1.</td>
<td>What are the benefits to the Department if this employee telecommutes?</td>
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<tr>
<td>2.</td>
<td>What are the additional costs for the Department if telecommuting is allowed? Cost of long distance calls, other costs.</td>
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<th>Signatures:</th>
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<tr>
<td>Supervisor:</td>
<td>Date Employee Date</td>
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<tr>
<td>Senior Leader:</td>
<td>Date</td>
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</tbody>
</table>
## TELECOMMUNICATION AGREEMENT

| Employee: |  |
| Division: |  |
| Primary Work Location (Office) Address |  |
| Telephone |  |
| Approved Telecommuting Location Address |  |
| Identify the space which will be used as the work at home work site, Telephone |  |
| Data Transmission Telephone |  |
| Hours Available for Telephone Contact |  |

### WORK AT HOME

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<th>WORK AT HOME</th>
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I, the undersigned, being at least eighteen years of age and in consideration for the opportunity of voluntarily performing my work duties at a location other than my assigned work location or in consideration for the opportunity to participate in the Utah Department of Transportation Telecommuting Program, do hereby agree to this waiver and release.

I acknowledge that I will not provide care for infants, preschool children, children off track, or dependent adults during the workday while at my telecommuting site.

I certify that I have read, and reviewed all of the material required by the Department Telecommuting Policy, including but not limited to, all the Department forms governing telecommuting and any other state or department policy or rules governing the use of state equipment and any other policies or rules that may affect working at another location than my primary work location. I agree to abide by all of the policies, rules, and other material governing this activity.

I acknowledge and consent to the right of my immediate supervisor or others authorized by agency management, to visit and inspect my telecommuting location at any time during my scheduled work hours. I understand that such visits do not have to be scheduled or arranged with me and that I may or may not be notified of these visits. I understand that such visits or inspections may be for the purpose of reviewing my work, assessing my compliance with the rules and policies governing work at home, assessing the safety of my telecommuting work site, or other work related activities.
I certify and agree that use of my personal computer or any other personal equipment for work related activities at my home or at other locations away from my normal work site is voluntary. I agree that I will release, acquit, and forever discharge the State of Utah, its agencies, departments, officers, employees, volunteers, or agents from any and all liability, claims, demands, necessary repairs, actions, attorney fees, and causes or actions whatsoever for any loss, injury, harm, or claim to me or to my property that occurs during the use of my personal property or equipment for state business. I agree that if necessary the state may load state owned software onto my personal computer for work related activities. I also certify that I understand that I will not be compensated in any way for the use of my personal computer or other personal equipment nor for any repairs to my personal equipment. I agree to notify my supervisor immediately upon the malfunction or failure of any equipment or software and to take other appropriate actions.

I acknowledge that worker’s compensation benefits will be available to me for injuries or illnesses sustained or contracted during the course and scope of my employment. I also acknowledge that worker’s compensation will be the exclusive remedy for any and all job related injuries or illnesses. I further acknowledge that the worker’s compensation exclusive remedy provision will apply to any injury or illness sustained or contracted at my telecommuting site.

I acknowledge that I retain the standard liability coverage and protections provided to me by the Utah Governmental Immunity Act for the work activities and products conducted or developed during the time that I work at my work at home office or work away from the office site. I do hereby release, acquit, and forever discharge the State of Utah, its agencies, departments, officers, employees, volunteers, or agents from any and all liability, claims, demands, attorney fees, actions, and causes of actions arising from damage to me, to my family, to my property, and to all others arising from activities not directly associated with my work activities.

I have carefully read and understand the contents of this and other required documents and I specifically intend them to cover the full period that I participate in the Utah Department of Transportation Telecommuting Program.

This agreement is effective from ___________ to _____________ unless terminated by management or the employee.

__________________________________  _____________________
Employee Name                      Signature     Date

__________________________________  _____________________
Employee’s Supervisor               Signature     Date

__________________________________  _____________________
Senior Leader’s Signature           Date
Purpose

To provide guidance for establishment of a leave bank as provided for in the reference. This policy authorizes and defines the limitations for use of a leave bank intended to provide additional leave hours for eligible Utah Department of Transportation (Department) employees who suffer an illness, condition, or an unforeseen or catastrophic event and who do not have sufficient leave to remain in a paid status during their absence from work.

Policy

A. Eligible employees who have suffered an illness, condition, or an unforeseen or catastrophic event, whose leave benefits have been or will be exhausted, may apply for donation of annual, excess, or converted sick leave from other state employees. Other state employees may donate leave to the Department but it must comply with this policy and must be approved by the Region Director or Group Leader. Region Directors or Group Leaders may create and take recommendations from a sick leave committee.

B. Only employees currently receiving benefits may apply to receive leave bank hours. Leave banks are usually for accidents or conditions incurred by the employee but management will consider on a case-by-case basis granting leave banks to employees who have dependents who suffer from an illnesses or other conditions.

1. Access to a leave bank is not an employee right and will be authorized at management discretion after considering multiple factors regarding the employee and their request for leave.

2. A general leave bank will be established and eligible employees will receive hours from this bank. A leave bank can be established for the individual requiring leave if adequate hours are not available in the general leave bank. Employees may donate annual, excess, and converted sick leave hours in any amount.

3. The employee must exhaust all his or her available leave including annual, sick, converted sick, excess, and comp before donated hours may be transferred to the individual needing leave.
4. Donated leave time will be added to the employee’s sick leave balance once the employee’s leave is exhausted. The leave balances of donating employees will be reduced by the number of hours they contribute. The employee receiving the hours continues to be paid by the employing division. There is no cost to the division of employees contributing to the leave bank.

5. Employee use of the leave bank is not intended to be a long-term solution. With the exception of part-time employees, a maximum of three calendar months of donated leave hours may be utilized by an employee for each leave bank assistance request.

6. The employee cannot use donated leave time at the same time as other income maintenance such as Workers Compensation.

7. Employees must agree to return the Application for Leave Bank Approval form for sick leave assistance to appropriate management personnel. This information will be used to determine if the employee is eligible to receive donated leave. (See Attachment 1)

8. Use of the leave bank does not extend the 12 weeks allowed under FMLA.

C. State law requires that employees forfeit all accrued annual leave that is in excess of 320 hours at the end of each calendar year. Therefore, all annual leave that would be forfeited by Department employees will be transferred to the Department’s general leave bank. All excess annual leave will be transferred to the general leave bank after the final payroll for pay period 26 has been processed.
Responsibility: Employee Requesting Leave Bank or Designee

Actions

1. Complete the Application for Leave Bank and Approval form (see Attachment 1). Make application before the employee exhausting their leave benefits if possible.

2. Submit application to the Region or Group Leader.

Responsibility: Region or Group Leader

3. Review the request and approve or deny it.

4. Consider factors such as the following when reviewing an employee’s application requesting permission to use the leave bank:
   
   a. Employee’s leave usage – determine if the employee has used their leave in a judicious manner.
   
   b. Duration of employment.
   
   c. Anticipated duration of illness or condition.
   
   d. Use of leave banks in the past.

Responsibility: Employees Choosing to Donate Time to a Specific Person

5. Verify that the Region or Group Leader has approved the specific person to receive personal sick leave donations.

6. Complete and submit to payroll for processing (Attachment 2 State donation form or Attachment 3 Department donation form) to donate time directly for the benefit of the specific person named.

Responsibility: Payroll

7. Once sick bank has been approved payroll coordinates donations with other State agencies or employees wanting to donate, for processing on behalf of the specific person named.
Responsibility: State Finance and Payroll Coordinator

8. The Department has established that the State Finance Department will setup the leave bank functionality. Once in place the agency staff can use the procedures outlined in this document or in the Business Process and Procedures put in place by the State of Utah Finance Department located in the accelerated SAP procedures guide to help account for all leave donations, usage, and balances.

These procedures involve two basic steps:

a. Assign the employee to the Department’s leave bank. This does not need to be done again unless the employee transfers to another agency.

b. Designate whether the employee is donating or withdrawing leave to or from the leave bank and enter the numbers of hours.

Maintenance: The administrator will enter the employee number, the action, and the approved date for donations. Adjustments to the donations or leave banks will happen automatically.

Reports: Agency Leave Bank History report can be run by a personnel number, organization key, or by the agency as a whole. This will allow for a full accounting or all the donations and withdrawals reported through this leave maintenance system and also better account for processes.

The Payroll Coordinator will be able to maintain and run these reports as needed for management.
DEPARTMENT OF TRANSPORTATION
Application for Leave Bank

Name: _______________________________ Employee Number: ____________

Unit: ____________ Dept./Region/Area Name: _________________________

I am requesting that a leave bank be established for my benefit because:

Briefly describe why assistance is needed:
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________

Attach – Additional information you feel will assist in the decision-making process.

Employee Signature: _______________________________ Date: ____________

Dates of anticipated leave of absence:
Beginning date: ______________________ Ending date: ______________________________

Leave balances at the end of the last pay period:
Annual: ________ Sick: _________ Converted Sick: ________ Comp: ______ Excess: ______

Approval to Use Sick Leave Bank
Employee Supervisor: _______________ Approved_____ Denied* _______ Date: _________
Region or Group Leader: _______________ Approved_____ Denied* _______ Date: _________

Approval to Use Individual Sick Leave Donations
Employee Supervisor: _______________ Approved_____ Denied* _______ Date: _________
Region or Group Leader: _______________ Approved_____ Denied* _______ Date: _________

*If denied, please attach an explanation of your decision.
Leave Bank Donation Request Form

Employee Name ____________________________ Employee Number ________ Company ________

Department Name ____________________________ Home Dept./Unit/Dist. No. __________ Division ________

I hereby donate ________ hours of annual leave to:

I hereby donate ________ hours of converted sick leave to:

I hereby donate ________ hours of excess leave to:

☐ The Leave Bank of the Department of: ____________________________

OR

☐ __________________________________ a specific individual in the Department of: ____________________________

and grant my authorization to have this amount deducted from my leave balance. I understand that this authorization is irrevocable and these hours will not be restored to my leave balance.

__________________________________________  ____________________________
Signature of Employee                         Date of Donation

FOR DEPARTMENT USE ONLY

__________________________________________  ____________________________
Signature of P/R Clerk deducting leave donation  Date

__________________________________________  ____________________________
Signature of P/R Clerk adding leave donation    Date
DEPARTMENT OF TRANSPORTATION
Leave Donation Form

Donating Employee: __________________________________

Employee Number: ___________________________________

Department: __UDOT___ Agency: __810___ Unit: _________

Type of Leave and Number of Hours Being Donated:

I Hereby Donate: ____________ Hours of Annual Leave

I Hereby Donate: ____________ Hours of Converted Sick Leave

I Hereby Donate: ____________ Hours of Excess Leave

I Hereby Donate: ____________ Hours of Compensatory Time
(Only employees designated as non-exempt from the FLSA may donate compensatory time)

Receiving Employee: ____________________________________________

I authorize the above number of hours be deducted from my leave balances. I understand that this authorization is strictly voluntary and is irrevocable and these hours will not be restored to my leave balance even if not used by the employee who receives the leave.

Signature of Employee: ___________________ Date of Donation: _________

**********************************************************************

Signature of P/R Clerk Deduction and or Adding Leave:

Deducting Leave

_________________________________________  Date: _______________

Adding Leave

_________________________________________  Date: _______________

Adjustments in SAP Made by
SAP Leave Bank Accounting

Effective: July 9, 2008
Revised: December 17, 2013

**Purpose**
To establish the process and procedure for SAP Leave Bank Accounting at the Utah Department of Transportation (Department).

**Policy**
Department staff will electronically account for all leave donations, usage, and balances in the SAP Payroll System.

**Background**
The Department has requested the Division of State Finance to activate the leave bank functionality in the SAP Payroll System.
Responsibility: Payroll Coordinator

Actions

1. Assign the employee to the Department leave bank. This does not need to be done again once this assignment is made for an employee unless the employee transfers to another agency.

2. Designate whether the employee is donating leave hours to or withdrawing leave hours from the leave bank and enter the numbers of hours.

Responsibility: Administrator

3. Enter the employee number, the action, and the approved date for donations. Adjustments to the donations or leave bank will then occur automatically.

Responsibility: Payroll Coordinator

4. Maintain and run reports as requested by management. Agency Leave Bank History can be run by a personnel number, by organization key, or by the agency as a whole. This will allow for a full accounting of all the donations and withdrawals reported through this leave maintenance system.
Purpose
To identify the process through which a qualified employee receives educational assistance. The Utah Department of Transportation (Department) encourages its employees to improve job performance and increase career potential through college-level coursework.

Policy
1. Educational assistance is granted at the discretion of Department management. It is not an employee right. Its availability is contingent upon available budget. Misuse of funds is grounds for discontinuation of participation in the program.

2. The employee’s educational pursuit will provide a benefit to the Department.

3. Career Service Department employees are eligible to participate in the program. Seasonal or temporary Department employees are not eligible to participate. TL interns with benefits are eligible. Employees must be employed by the Department at the time they successfully complete the course to be eligible for reimbursement.

4. Educational courses must be taught by an institution that is accredited by a regional or national accrediting agency recognized by the U.S. Secretary of Education. Courses must award college credit. Courses that award certification but no college credit are not eligible.

5. Employees must submit a completed Educational Assistance Contract before starting a course or program for which reimbursement is sought. The contract must include the school catalog course description as well as required approval signatures.

6. Employees will declare all other sources of funding such as scholarships, grants, or faculty reductions on the Educational Assistance Contract.

7. The course and course study must be completed on the employee’s own time, outside of working hours. Arrangements must be made with the employee’s leader to make up the time taken for classes if courses are taken during working hours.

8. Employees must successfully complete the course with a C or better to be eligible for reimbursement. Audited courses are not eligible for reimbursement.
9. Tuition, course fees, lab fees, and e-books directly related to course work are eligible for reimbursement. No other fees such as late fees, parking fees, student fees, printed books, room, or board are eligible.

10. Reimbursement requests must be submitted to the program coordinator within 30 days of completion of the course. Employees must have submitted the following documentation to receive reimbursement:
   
a. The completed Educational Assistance Contract.
   
b. An official detailed receipt or invoice verifying the paid amount of tuition and course-related fees.
   
c. A report card or transcript that proves successful course completion with a C or better.

11. An employee can receive a maximum of $5,250 each calendar year, unless approved in advance by the Executive Director or the Executive Director’s designee. The date of educational assistance is the reimbursement date, not the starting or ending date of the course. Any unused funds will not carry over to the next year.

12. Employees who terminate from Department employment must reimburse any educational assistance received within the previous 12 month period.

13. Employees will be responsible for the payment of all state or federal taxes that may result from the receipt of this benefit.

Background
This policy complies with DHRM Rule, Section R477-10-4 and FIACCT 05-03.04. Refer to IRS Publication 970 Chapter 11 for information on employer-provided Educational Assistance Programs. Refer to IRS Publication 15-B Section 2 for information on fringe benefits.
Responsibility: Employee

Actions

1. Obtain an Educational Assistance Contract from the Educational Assistance Program Administrator.

2. Complete the contract and take to supervisor for approval and signature.

Responsibility: Immediate Supervisor

3. Approve the Educational Assistance Contract if the course or program does not detract from the employee’s ability to perform the necessary duties of their job.

Responsibility: Employee

4. Submit the completed Educational Assistance Contract to the Educational Assistance Program Administrator before starting the coursework.

Responsibility: Educational Assistance Program Administrator

5. Evaluate the completeness, authenticity, and acceptability of the Educational Assistance Contract.

6. Submit contracts that reflect new courses of study to the Department Learning & Development Director for approval. This would include employees who are enrolling in a degree program or those who are starting classes for the first time or re-enrolling after a 12 month absence.

Responsibility: Department Training Director (for new educational goals)

7. Approve the Educational Assistance Contract if the course or program meets state requirements and provides a benefit to the Department.

Responsibility: Educational Assistance Program Administrator

8. Keep the contract on file until the coursework has been completed.
Responsibility: Employee

9. Take the courses and comply with all of the terms of the Educational Assistance Contract.

10. Submit the grade received and proof of payment to the Educational Assistance Program Administrator within 30 days of course completion.

Responsibility: Educational Assistance Program Administrator


12. Monitor employee educational assistance fund reimbursements to verify that the maximum annual allocation is not exceeded.

Responsibility: Employee

13. Reimburse all educational assistance received during the 12 month period prior to Department employment termination.
Purpose
To recognize the need and support the function of an orientation-type Rotational Training Program for engineering personnel just entering engineer status at the Department of Transportation (Department).

Policy
1. Applicants enter the program as a result of applying and interviewing competitively for open positions. Incumbents are generally hired at the Engineer I level underfilling an Engineer II slot. Rotational Engineers may be hired at the Engineer II level as dictated by succession needs.

2. All new Rotational Engineers are hired into TL with benefits positions for the time that they spend in the Rotational Engineer program. They become schedule B employees when they compete for and are selected for Engineer III positions—either as an Engineer III or as an Engineer II underfill.

3. A Rotational Engineer entering the program as an Engineer I is given Engineer II status and an accompanying 12 percent raise in pay upon completing two years of post-graduate, stamped engineering experience.

4. An additional 6 percent raise in pay is awarded upon the successful completion of the Professional Engineer exam.

5. Rotational Engineers are not given Engineer III status while on the rotational program. Incumbents are required to compete for schedule B, Engineer III positions through regular job postings. Incumbents with fewer than four years of post-graduate engineering experience who meet minimum qualifications—including passing the Professional Engineer exam—may underfill Engineer III positions as an Engineer II but do not receive Engineer III status and the additional 6 percent raise in pay—for a total of 24 percent between the Engineer I and the Engineer III level—until meeting the experience requirement.

6. Rotational Engineers in the program pass through the training under the supervision and coordination of the Training Manager which assumes administrative responsibility including scheduling of rotation, with approval of the Rotational Advisory Committee, as well as personnel actions. Rotation requirements are listed below:
a. Incumbents complete each of the following required rotations: **Region Construction** for 9 months, ideally spread over two construction seasons; **Region Design** for 12 months.

b. Incumbents complete the following recommended rotations: **Region Maintenance** for 6 months; **Central or Region Traffic and Safety** for 6 months; a **Central Rotation** for 3 to 6 months including, where possible, those assigned to Region 4.

c. Incumbents finish out time on in the rotational program with **Elective Rotations** for 9 to 15 months. Rotational Engineers should focus on getting through the required rotations first, before completing any elective rotations. The remainder of their time on the program can be filled with elective rotations.

7. Rotational engineers are encouraged to begin applying for full-time positions competitively after 3½ years in the program.

8. Rotational Engineers may be released from the program before three years as required by region or department business needs. Region Directors working with the UDOT Deputy Director will have flexibility in using Rotational Engineers to fill region personnel needs.

9. Rotational Engineers are hired with the understanding that they are flexible and mobile during their time in the Rotational program. Some travel and relocation may be required.

**Background**

This program has been developed over time to insure that the Department has qualified civil engineers that are familiar with the function and purpose of transportation engineering.
Responsibility: College Graduate Applicant

Actions

1. May serve in apprenticeship-type training during summers on the Student Career Intern Program, during junior and senior years of college.

2. Meet the program requirements of being able to receive an engineer rating.
   a. Receives a Civil Engineer Degree at an accredited college or university.

3. Submit to the Human Resources Office a program application complete with signatures and support documentation.

Responsibility: Training Manager

4. Review the employee’s qualifications and application.

5. Participate in examining the applications, interviewing the applicants, approving or disapproving the applicants. Recommend beginning date and area for placement if approved.

6. Notify applicant of acceptance or rejection. If accepted:
   a. Notify and get approval from the office into which the new trainee will be assigned.
   b. Notify the applicant of the first location and work assignment on his or her training schedule.
   c. Orient the new trainee to the program.

Responsibility: Trainee

7. Report to the first assigned location for training.
Responsibility: Training Manager

8. Maintain personnel records and carry out personnel actions needed or requested by the Human Resources Office.

9. Provide training to thoroughly orient the trainee to the area as outlined in the Rotational Training policy.

10. Set up performance plans for Rotational Engineers using a UPM-based template that includes general objectives and goals that are universal to the program. Day-to-day rotation supervisors and Rotational Engineers add three to four specific goals or objectives that reflect specific functions of the rotation.

11. Provide a performance evaluation to the trainee showing his or her progress at the end of each training period assigned.

Responsibility: Trainee

12. Participate in all areas of training as assigned and comply with all rules and procedures observed in the areas assigned.

13. Provide written reports to Training Manager of outlining accomplishments and experiences for each rotation. Upload reports to the UPM “Attachments” tab.

14. Communicate work related problems or requests that cannot be resolved to the Training Manager.

Responsibility: Region Rotational Coordinator

15. Rotate the trainee through the various areas until all suggested areas are completed, providing as much varied engineering experience as possible.

16. Mentor rotational engineers in assigned region through regular meetings.

17. Communicate current situations regarding department staffing requests to the Training manager and other members of the Rotational Advisory Committee for direction.

Responsibility: Trainee

18. Work to find a permanent position beginning no later than 6 months before completion of 4 years.

a. Permanent assignment availability will be through the current job posting system.
19. Pass Professional Engineers License and notify the Training Manager and Human Resources Office with appropriate documentation.
Purpose
The purpose of professional development pay for aircraft mechanics is to develop and retain qualified aircraft mechanics and to compensate aircraft mechanics for the additional time and effort spent improving their professional skills, education, and implementing current best practices – providing a significant benefit to UDOT Division of Aeronautics.

Policy
1. Requirements
   • Be a full-time employee of UDOT Division of Aeronautics.
   • Possess a valid Federal Aviation Administration (FAA) Airframe and Power plant license.
   • Perform regular inspections and maintenance of state owned aircraft in accordance with current FAA regulations, bulletins, and advisory circulars (airframe, power plant, propeller, accessories, appliances and component parts).
   • Maintain detailed inspection and maintenance records in accordance with current FAA regulation and policy.
   • Complete the requirements for the level of award applied for as outlined in Appendix A.

2. Compensation
   There are three levels of compensation:
   Level 1: $51.02 per pay period.
   Level 2: $102.25 per pay period.
   Level 3: $153.37 per pay period.

   Requirements for each level of compensation are outlined in Appendix A.

   The professional pay amount will increase consistent with legislatively authorized salary increase, which will include general increases, cost of living increases, discretionary salary increases, targeted funding, general increases as long as there exists sufficient funding within the annualized base budgets for the fiscal year in which the adjustment is given.
3. **Revocation**
The professional development pay program is applicable only to individuals who qualify. An employee who does not meet overall expectations on their annual performance review will be suspended from the program until meeting successful criteria in an official Performance Improvement Plan (PIP). Once the employee successfully complies with the PIP, he may re-apply for the program. The employee will also be suspended from the program if he is undergoing a disciplinary process. Once the disciplinary action is imposed, the employee may re-apply for the program after one year. A letter of warning is not considered a disciplinary process. This will be overseen by the Director of Aeronautics.

Failure to maintain any of the qualifications or to successfully complete the requirements for compensation will result in cessation from the program. An employee may re-apply when he once again meets the qualifications and requirements.

4. **Policy Exceptions**

The Executive Director or Deputy Director of UDOT may authorize exceptions to this program with consultation from the Human Resources Office.
**Procedures**

**Responsibility:** Employee Requesting Professional Development Pay

**Actions**
1. Verify that the qualifications outlined in the Policy have been met.

**Responsibility:** The employee's supervisor

**Actions**
2. Verify:
   - Satisfactory job performance is documented in the most recent UPM Performance Review
   - The employee has not been subject to disciplinary action within the past year.

**Responsibility:** Employee Requesting Professional Development Pay

**Actions**
3. Complete the requirements for the level of award requested as outlined in Appendix A (Levels of Award for UDOT Aircraft Mechanics)

4. Submit a completed Request for Professional Development Pay Form (see Appendix A) together with copies of supporting documentation to the Director of Aeronautics.
APPENDIX A
Levels of Award for UDOT Aircraft Mechanics

Qualification
Within the previous three years, the aircraft mechanic must have completed the requirements for one of the following levels:

**Level 1 ($51.12 per pay period)**
1. Achieve one of the following objectives:
   - Successfully complete a factory approved school on a specific airframe / engine / avionics of at least 40 hours in length.
   - Attend at least 40 hours of Aviation Maintenance Management / Regulatory / Safety related courses.
2. Earn one soft skill completion certificate. The Soft Skill certificate must be in a field related to the aviation industry or specific skills that will enhance the work environment. Classes must be approved by the Director of Aeronautics.
3. Have current FAA Aviation Maintenance Technician (AMT) Award Certification (6 hours training) based on the requirements in the current FAA Bulletin.
4. Meet overall expectations on annual performance review.

**Level 2 ($102.25 per pay period)**
1. Achieve one of the following objectives:
   - Successfully complete a factory approved school on a specific airframe / engine / avionics or at least 80 hours in length.
   - Attend at least 80 hours of Aviation Maintenance Management / Regulatory / Safety related courses.
2. Earn two soft skill completion certificates as described in Level 1.
3. Have current Bronze FAA Aviation Maintenance Technician (AMT) Award Certification (12 hours training) based on requirements in current FAA Bulletin.
4. Meet overall expectations on annual performance review.

**Level 3 ($153.37 per pay period)**
1. Achieve one of the following official recognitions:
   - FAA Inspection Authorization (requires bi-annual renewal from FAA based on number of inspections and/or major repairs signed off).
   - Master Mechanic Certification on a state owned aircraft.
   - National Business Aircraft (NBAA) Corporate Aviation Management (CAM) certification
2. Earn three soft skill completion certificates as described in Level 1.
3. Have at least a current Bronze FAA Aviation Maintenance Technician (AMT) Certification (12 hours training) based on the requirements in the current FAA Bulletin.

4. Meet overall expectations on annual performance review.

The professional pay amount will increase consistent with legislatively authorized salary increase, which will include general increases, cost of living increases, discretionary salary increases, targeted funding, general increases, as long as there exists sufficient funding within the annualized base budgets for the fiscal year in which the adjustment is given.
Professional Development Pay Request Form

Name of Employee: ____________________________________________

Employee I.D. # _______________________

Level of compensation applied for (check one):

_____ Level 1 - $51.12 per pay period
_____ Level 2 - $102.25 per pay period
_____ Level 3 - $153.37 per pay period

Note: Copies of supporting documentation must be submitted with this signed request form.

I have read and understand the Professional Development Compensation for Aircraft Mechanic policy. I meet the qualifications and have completed the requirements for the level of compensation applied for.

_________________________________________  ________________
Employee Signature                      Date

Approval

_________________________________________  ________________
Director of Aeronautics                Date

_________________________________________  ________________
Director of Operations                 Date
Purpose
Establish a credited fleet maintenance-training program and to standardize the processes for managing a Certified Technician Program within automotive/truck/heavy equipment - tradecraft services. Also, to compensate technicians that achieve and maintain the technical expertise necessary for an ASE certification.

Establish a process for managing the Certified Automotive Technician Program. ASE is a nationally recognized institute for certifying automotive, truck repair and parts technicians. ASE certified technicians demonstrate higher standards of training, skill, and ability in the equipment repair industry. ASE certifies technicians in more than 40 different and specialized areas in the automotive and trucking field.

Policy
Technicians must demonstrate a minimum of two years experience in an area of certification to receive an ASE certification. The ASE program requires technicians to re-certify every five years because of changing technology in the automotive industry. Re-certification measures a technician's ability and understanding of current technologies in the field.

Employee, Shop Supervisor, Region Equipment Manager, and/or the Shop Manager and the Equipment Operations Manager will select from UDOT’s approved/recommended core ASE testing areas: Auto/Light Truck Series or Medium/Heavy Truck Series. Testing areas must be within the working duties and assignments of the employee.

Employees with the following job classifications are eligible under this policy and can participate in this stipend pay program. Profession development pay will be limited to a maximum of 12 certifications.
Apprentice Auto Worker, Journey Auto Worker, Lead Welder, Journey Welder, Apprentice Welder, Service Station Operator, Lead Auto Worker, Shop Supervisor, Shop Manager, Parts Specialist, Equipment Systems Specialist, Equipment Specialist and Equipment Operations Manager.

<table>
<thead>
<tr>
<th>Auto/Light Truck Series</th>
<th>Medium/Heavy Truck Series</th>
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</thead>
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<td>T4 Brakes</td>
</tr>
<tr>
<td>A5 Brakes</td>
<td>T5 Suspension and Steering</td>
</tr>
<tr>
<td>A6 Electrical/Electronics Systems</td>
<td>T6 Electrical/Electronic systems</td>
</tr>
<tr>
<td>A7 Heating and Air Conditioning</td>
<td>T7 Heating, Ventilation, &amp; A/C</td>
</tr>
<tr>
<td>A8 Preventive Maintenance Inspection</td>
<td>T8 Preventive Maintenance Inspection</td>
</tr>
<tr>
<td>A9 Light Vehicle Diesel</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Truck Equipment Test</th>
<th>Service Consultant Test</th>
</tr>
</thead>
<tbody>
<tr>
<td>E1 Truck Equip Installation and repair</td>
<td>C1 Automotive service consultant</td>
</tr>
<tr>
<td>E2 Electrical/Electronic systems Install &amp; repair</td>
<td>General Auto Maintenance</td>
</tr>
<tr>
<td>E3 Aux/Power Sys Install &amp; Repair</td>
<td>G1 Auto Maintenance &amp; Light Repair</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Parts Specialist Series</th>
<th>Advance Level Test</th>
</tr>
</thead>
<tbody>
<tr>
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<td>L1 Auto Adv. Engine performance</td>
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<tr>
<td>P1 Med/Heavy Truck Dealership Parts Specialist</td>
<td>L2 Electronic diesel engine diagnose spec.</td>
</tr>
<tr>
<td>P4 General Motors Parts Consultant</td>
<td>AWS Certifications</td>
</tr>
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<td>QC7-93 Supplement C Performance</td>
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<td>QC7-93 Supplement G Performance</td>
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<thead>
<tr>
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<th>Truck Equipment Series</th>
</tr>
</thead>
<tbody>
<tr>
<td>B2 Painting and Refinishing</td>
<td>E1 Installation and Repair Specialist</td>
</tr>
<tr>
<td>B3 Non-Structural Analysis and</td>
<td>E2 Electrical/Electronic Systems</td>
</tr>
<tr>
<td>B4 Structural Analysis and Damage</td>
<td>E3 Auxiliary Power Systems</td>
</tr>
<tr>
<td>B5 Mechanical and Electrical</td>
<td>Optional Select test from 4.1.1</td>
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<tr>
<td>B6 Damage Analysis and Estimating</td>
<td>Optional Select test from 4.1.1</td>
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<td>Optional Select test from 4.1.1</td>
<td>Optional Select test from 4.1.1</td>
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</tbody>
</table>

The participant must have a valid Utah commercial driver license (CDL).

**Important Note:** These are recommendations and may be adjusted, according to the individual technician’s duties.
Professional Development Pay

Professional development pay will be Thirty dollars ($31.91)* per pay period for each certification earned. Twelve (12) certifications will be the maximum for each employee’s professional development pay (see job titles/duties) or $383.03 per pay period.

After successful completion of each certification, the technician must complete a peer review by a 2-person committee. The committee will consist of the immediate supervisor and one additional person with knowledge of that technician’s working abilities and skills. The purpose of this review is to ensure that the technician is proficient in the actual work. Each technician should have demonstrated those abilities in the shop environment. These work tasks and assignments must have been related to the test area for which they will receive the pay stipend. These skill sets have to be obtained prior to any professional development pay.

Important Note: The professional development pay will be discontinued if an employee does not maintain their certifications and their ability to complete the work for the areas in which they are certified in.

The professional development pay amount will increase consistent with legislatively authorized salary increase, which will include general increases, cost of living increases, discretionary salary increases, targeted funding, general increases, as long as there exists sufficient funding within the annualized base budgets for the fiscal year in which the adjustment is given.

*Professional Development Pay was $30.00 when initiated in 2013. Adjusted with legislative authorized salary increase – most current $31.91 effective FY18 (July 1, 2017)
**Procedure**

**Certified Automotive Technician Professional Development Pay**

**Responsibility:** Shop Supervisor, Regional Equipment Managers, and Equipment Operation Manager

**Actions**

1. The supervisor will administer and give approval for the Certified Technician Program

2. Supervisor: Will approve each area of testing and shall determine which certifications are appropriate for the job-related duties of each employee.

**Responsibility:** Employee

**Actions**

3. It is the employee’s responsibility to register for the appropriate courses, prepare for the testing and ensure that the requirements of the program are met.

**Responsibility: Utah Department of Transportation**

**Actions**

4. ASE (Automotive Service Excellence) registration and testing will be paid in advance by the Utah Department of Transportation for its employees. Completion of the certification testing will be limited to two attempts; the department will not pay for registration fees for failure to pass the testing after two attempts per year

5. Testing is available by appointment at an authorized computer based testing facility.

   - **Computer Base Testing (CBT)**
     UDOT will reimburse for the current cost of each CPT test and registration fees

6. Recertification Fee every 5 years, this includes up to 12 tests
Candidate Qualification Worksheet
ASE Certification Program

Peer Review Board:
The purpose of the board is to determine if the applicant can perform at the required level. If the peer review board determines that the applicant is not ready for the proposed level, the applicant and supervisors will be notified of areas that need improvement. The employee’s supervisors and employee should develop a plan to bring the employee’s performance to the proposed level.

Instructions
It is the Automotive Repair Technician’s responsibility to initiate the Peer Review process by completing and signing the Candidate Qualification Worksheet. Upon completion, the applicant will give the Supervisor’s Rating sheet to their supervisor and within 10 working days, complete the Candidate Qualification Worksheet, add any comments and sign where indicated. There is no minimum-rating requirement from supervisors. However, a poor rating or lack of support from the Supervisor or Peer Review Board may indicate problems that are beyond the scope of the Peer Review Board and should be dealt with through the performance evaluation process.

Section 1- Personal Information
Fill in the blanks as requested; all fields are required. If unsure of Employee ID # verify through payroll technician.

Section 2- ASE Certification Course
List course number as well as description of course in the blank provided. Upon successful completion of the course the Peer Review Committee will fill in the date of completion.

Section 3- ASE Peer Review Committee
Section 3 is to be filled out by the Peer Review Committee upon successful completion of the course that the technician is enrolled in.

Section 4- References
Give the name, position held, and a phone number of three co-workers, (at least one from your shop) other than your supervisor, that has intimate knowledge of your work habits, skills and abilities.

Section 5- Professional Development Pay
This section is to be filled out by Supervisor and Payroll Technician. They are to list courses completed and effective date of professional development pay.
1. **Personal Information**

<table>
<thead>
<tr>
<th>Name</th>
<th>Date of Enrollment</th>
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<tr>
<th>Employee ID #</th>
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<th>Region/Group</th>
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<thead>
<tr>
<th>Supervisor’s Name</th>
<th>Phone No.</th>
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2. **ASE Certification Course Enrolled**

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<th>Course</th>
<th>Date of Completion</th>
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</table>

3. **ASE Certification Peer Review Committee**

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<thead>
<tr>
<th>Knowledge of assigned duties within the course taken</th>
<th>Yes/No</th>
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<tr>
<th>Care and use of tools and equipment</th>
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<tr>
<th>Demonstrated Abilities in Shop Environment</th>
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<tr>
<th>CDL Drivers License</th>
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<tr>
<th>Flexibility (willingness to work in other areas)</th>
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<tr>
<th>Proficient in the maintenance and repair of equipment</th>
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</table>
4. References: List three co-workers familiar with your work habits

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Phone #’s</th>
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</table>

I affirm that this worksheet, and any additional documentation, contains no misrepresentation or falsification and that the information is true and complete to the best of my knowledge.

_________________________________________  ________________________
Applicant’s Signature                  Date

I verify that the above named employee has completed the minimum requirements under UDOT Policy and recommend for an ASE Stipend.

_________________________________________  ______________
Employee Supervisor                  Date

_________________________________________  ______________
Peer Review Committee Member             Date

Comments:
Purpose
Establish a credited fleet maintenance-training program and standardize the processes for managing a Certified Technician Program within automotive/truck/heavy equipment - tradecraft services. Also, to compensate those technicians that achieves and maintains the technical expertise necessary for an ASE certification. Establish a process for managing the Certified Automotive Technician Program. ASE is a nationally recognized institute for certifying automotive, truck repair and parts technicians. ASE certified technicians demonstrate higher standards of training, skill, and ability in the equipment repair industry. ASE certifies technicians in more than 40 different and specialized areas in the automotive and trucking field.

Policy
Technicians must demonstrate a minimum of two years experience in an area of certification to receive an ASE certification. The ASE program requires technicians to re-certify every five years because of changing technology in the automotive industry. Re-certification measures a technician’s ability and understanding of current technologies in the field.

Employee, Shop Supervisor, Region Equipment Manager, and/or the Shop Manager and the Equipment Operations Manager will select from UDOT’s approved / recommended core ASE testing areas: Auto/Light Truck Series or Medium/Heavy Truck Series. Testing areas must be within the working duties and assignments of the employee.

Employees with the following job classifications are eligible under this policy and can participate in this professional development pay program. Professional development pay will be limited to a maximum of 12 certifications.
Apprentice Auto Worker, Journey Auto Worker, Service Station Operator, Lead Auto Worker, Shop Supervisor, Shop Manager, Parts Specialist, Equipment Specialist and Equipment Operations Manager.

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<td>Advance Level Test</td>
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<td>L2 Electronic diesel engine diagnose spec.</td>
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<tr>
<td>P1 Med/Heavy Truck Dealership Parts Specialist</td>
<td></td>
</tr>
<tr>
<td>P3S Med/Heavy Truck Aftermarket Parts Specialist (Suspension and Steering)</td>
<td></td>
</tr>
<tr>
<td>P4 General Motors Parts Consultant</td>
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</tr>
</tbody>
</table>

Employees with the following job classifications are eligible under this policy and can participate in this professional pay program. Professional Development Pay will be limited to a maximum of 8 certifications.

Automotive body Worker, Automotive Painter.

<table>
<thead>
<tr>
<th>Collision Repair and Refinish Series</th>
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</thead>
<tbody>
<tr>
<td>B2 Painting and Refinishing</td>
<td></td>
</tr>
<tr>
<td>B3 Non-Structural Analysis and Damage Repair</td>
<td></td>
</tr>
<tr>
<td>B4 Structural Analysis and Damage Repair</td>
<td></td>
</tr>
<tr>
<td>B5 Mechanical and Electrical Components</td>
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<tr>
<td>B6 Damage Analysis and Estimating</td>
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<td>Optional Select test from 4.1.1</td>
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</tbody>
</table>
Lead and Journey Welder.

<table>
<thead>
<tr>
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<tbody>
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<td>E3 Auxiliary Power Systems</td>
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<tr>
<td>Optional  Select test from 4.1.1</td>
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<thead>
<tr>
<th>AWS Certifications</th>
</tr>
</thead>
<tbody>
<tr>
<td>QC7-93 Supplement C Performance</td>
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<tr>
<td>QC7-93 Supplement G Performance</td>
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</table>

The participant must have a valid Utah commercial driver license (CDL).

**Important Note:** These are recommendations and may be adjusted, according to the individual technicians’ duties.

**Professional Development Pay**

Compensation will be Thirty dollars and 68 cents ($30.68) per pay period for each certification earned. Twelve (12) certifications will be the maximum for each employee’s professional development pay (see job titles/duties) or $368.10 per pay period. Certain job titles will be limited to Eight (8) certifications or a maximum or $245.40 per pay period.

The professional development pay amount will increase consistent with legislatively authorized salary increase, which will include general increases, cost of living increases, discretionary salary increases, targeted funding, general increases, as long as there exists sufficient funding within the annualized base budgets for the fiscal year in which the adjustment is given.

After successful completion of each certification, the technician must complete a peer review by a 2-person committee. The committee will consist of the immediate supervisor and one additional person with knowledge of that technician’s working abilities and skills. The purpose of this review is to ensure that the technician is proficient in the actual work. Each technician should have demonstrated those abilities in the shop environment. These work tasks and assignments must have been related to the test area for which they will receive the professional development pay. These skill sets have to be obtained prior to any professional pay development pay.

**Important Note:** If an employee does not maintain their certifications and their ability to complete the work for the areas in which they are certified in, the professional development pay will be discontinued.
**Procedure**

*Certified Automotive Technician Professional Development Pay*

**Responsibility:** Shop Supervisor, Regional Equipment Managers, and Equipment Operation Manager

**Actions**

1. The supervisor will administer and give approval for the Certified Technician Program

2. Supervisor: Will approve each area of testing and shall determine which certifications are appropriate for the job-related duties of each employee.

**Responsibility:** Employee

**Actions**

3. It is the employee’s responsibility to register for the appropriate courses, prepare for the testing and ensure that the requirements of the program are met.

**Responsibility: Utah Department of Transportation**

**Actions**

4. ASE (Automotive Service Excellence) registration and testing shall be paid in advance by the Utah Department of Transportation for its employees. Completion of the certification testing will be limited to two attempts; the department will not pay for registration fees for failure to pass the testing after two attempts.

5. Testing is done twice yearly and up to four tests can be taken for each testing session.

   A. Computer Base Testing (CBT)
      
      $37.00 each test / as of 2007 – Year
      
      Registration Fee $70.00 / as of 2007 – Year

   B. Pencil / Paper Testing (PPT)
      
      $27.00 each test / as of 2007 – Year
      
      Registration Fee $32.00 / as of 2007 – Year

6. Recertification Fee every 5 years, this includes up to 4 tests $70.00
Candidate Qualification Worksheet  
ASE Certification Program

Peer Review Board  
The purpose of the board is to determine if the applicant can perform at the required level. If the peer review board determines that the applicant is not ready for the proposed level, the applicant and supervisors will be notified of areas that need improvement. The employee’s supervisors and employee should develop a plan to bring the employee’s performance to the proposed level.

Instructions  
It is the Automotive Repair Technician’s responsibility to initiate the Peer Review process by completing and signing the Candidate Qualification Worksheet. Upon completion, the applicant will give the Supervisor’s Rating sheet to their supervisor and within 10 working days, complete the Candidate Qualification Worksheet, add any comments and sign where indicated. There is no minimum-rating requirement from supervisors. However, a poor rating or lack of support from the Supervisor or Peer Review Board may indicate problems that are beyond the scope of the Peer Review Board and should be dealt with through the performance evaluation process.

Section 1- Personal Information  
Fill in the blanks as requested; all fields are required. If unsure of Employee ID # verify through payroll technician.

Section 2- ASE Certification Course  
List course number as well as description of course in the blank provided. Upon successful completion of the course the Peer Review Committee will fill in the date of completion.

Section 3- ASE Peer Review Committee  
Section 3 is to be filled out by the Peer Review Committee upon successful completion of the course that the technician is enrolled in.

Section 4- References  
Give the name, position held, and a phone number of three co-workers, (at least one from your shop) other than your supervisor, that has intimate knowledge of your work habits, skills and abilities.

Section 5- Professional Development Pay  
This section is to be filled out by Supervisor and Payroll Technician. They are to list courses completed and effective date of professional development pay.
1. **Personal Information**

<table>
<thead>
<tr>
<th>Name ________________________________</th>
<th>Date of Enrollment ________</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employee ID # ________________________</td>
<td>Org ________</td>
</tr>
<tr>
<td>Region/Group _________________________</td>
<td></td>
</tr>
<tr>
<td>Supervisor’s Name ____________________</td>
<td>Phone No. _________________</td>
</tr>
</tbody>
</table>

2. **ASE Certification Course Enrolled**

<table>
<thead>
<tr>
<th>Course</th>
<th>Date of Completion</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
</tr>
<tr>
<td>2.</td>
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<tr>
<td>3.</td>
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<td>4.</td>
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<td>7.</td>
<td></td>
</tr>
<tr>
<td>8.</td>
<td></td>
</tr>
</tbody>
</table>

3. **ASE Certification Peer Review Committee**

<table>
<thead>
<tr>
<th>Knowledge of assigned duties within the course taken</th>
<th>Yes/No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Care and use of tools and equipment</td>
<td></td>
</tr>
<tr>
<td>Demonstrated Abilities in Shop Environment</td>
<td></td>
</tr>
<tr>
<td>CDL Drivers License</td>
<td></td>
</tr>
<tr>
<td>Flexibility (willingness to work in other areas)</td>
<td></td>
</tr>
<tr>
<td>Proficient in the maintenance and repair of equipment</td>
<td></td>
</tr>
</tbody>
</table>
4. References: List three co-workers familiar with your work habits

<table>
<thead>
<tr>
<th>Name</th>
<th>Position</th>
<th>Phone #’s</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
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<td></td>
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<td></td>
</tr>
</tbody>
</table>

I affirm that this worksheet, and any additional documentation, contains no misrepresentation or falsification and that the information is true and complete to the best of my knowledge.

________________________________________   _____________
Applicant’s Signature       Date

I verify that the above named employee has completed the minimum requirements under UDOT Policy and recommend for an ASE professional development pay.

_______________________________________________ Date _____________
Employee Supervisor

_______________________________________________ Date _____________
Peer Review Committee Member

Comments:
5. Payroll Technician

Course Completed for Professional Development Pay

<table>
<thead>
<tr>
<th></th>
<th>Effective Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td></td>
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<tr>
<td>3.</td>
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<td>4.</td>
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<td>7.</td>
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<tr>
<td>8.</td>
<td></td>
</tr>
</tbody>
</table>
Purpose
Develop and retain a qualified group of technicians working in materials testing.

Have a process that will encourage personnel to attain difficult and time-consuming qualifications required for Materials positions.

This policy is separate from the Transportation Technician program established by UDOT Policy 05C-52.

Policy
This Policy establishes the Professional Development Pay Program for technicians and specialists working in materials testing.

1. Eligibility
This Policy will apply only to full-time, merit employees classified and employed and are required by the Region District Engineer, Region Materials Engineer, or Statewide Materials Engineer (field, Region, or Central lab respectively) to obtain and maintain certifications applicable to this Policy.

2. Professional Development Pay
A technician or laboratory certification specialist may formally petition the Regional Materials Engineer, Region District Engineer, or Statewide Materials Engineer for inclusion into the Professional Development Pay Program as defined in Tables 1, 2 or 3. The technician will use the Request Forms in Appendix A to formally petition for the professional pay once required and included in their Performance Plan. Compensation will be given with professional development pay every payroll period as detailed in Tables 1, 2 or 3.

Technicians are limited to professional development pay totals, as described in Tables 1, 2, or 3.

Professional development pay is based on the current midpoint of the pay range for an Engineering Technician IV and as such may need to be adjusted if that pay range changes.

The professional development pay amount will increase consistent with legislatively authorized salary increase, which will include general increases, cost of living increases, discretionary salary increases, targeted funding, general increases, as long as there exists sufficient funding within the annualized base budgets for the fiscal year in which the adjustment is given.
3. **Revocation**
   The professional development pay program is only applicable to individuals who qualify, while they are required to and hold the certifications described in the Eligibility section. Any reassignment, transfer or promotion, as defined by DHRM Rules, to a non-qualifying position will result in an immediate cessation of professional development pay unless the reassignment also requires certifications. An employee that does not meet overall expectations on their annual performance review will be suspended from this professional development pay program until meeting successful criteria in an official performance improvement plan (PIP). Once the employee proves to be successful on a PIP, they may re-apply for the professional development pay program. The employee will also be suspended from the program if they are undergoing a disciplinary process. Once the disciplinary action is imposed, the employee may re-apply for the professional development pay program any time after one year. A letter of warning is not part of the disciplinary process. Failure to maintain any of the professional development pay certifications or to successfully complete all of the Independent Assurance testing from the time the employee begins receiving professional development pay will result in immediate cessation from the program. Employees in this situation may re-apply for the professional development pay program once they re-certify and/or complete all Independent Assurance testing.

4. **Policy Exceptions**
   The Executive Director, UDOT, or Deputy Director, UDOT may authorize exceptions to this program with consultation from the Human Resources Office.
Procedures
General Information
Eligible technicians may request entrance into the program by submitting the appropriate form. The form is to be submitted to the Region District Engineer (field lab personnel), Region Materials Engineer (Region lab personnel), or the Statewide Materials Engineer (Central Lab personnel). Forms for eligibility are contained in Appendix A. Further, the employee’s immediate supervisor must verify satisfactory job performance as documented in the UPM system and include the required certifications in the employee’s Performance Plan. When approved, the signed form will be sent to the Region Director or Group Leader (or designee) for submission to payroll.

<table>
<thead>
<tr>
<th>Category</th>
<th>TTQP Qualifications</th>
<th>Professional Pay amount per Pay Period</th>
<th>Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base</td>
<td>Sampling, Reduction and Density, SRDTT</td>
<td>None</td>
<td>As Required for Position</td>
</tr>
<tr>
<td></td>
<td>Concrete Testing, CTT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Field, Region, and Central Labs</td>
<td>Embankment and Base, EbTT</td>
<td>$130.10 per pay period*</td>
<td>Attain all three qualifications</td>
</tr>
<tr>
<td></td>
<td>Aggregate, AgTT</td>
<td>As of FY19</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Asphalt, AsTT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Region and Central Labs</td>
<td>Superpave Mix Design, SMD</td>
<td>$65.05 per pay period*</td>
<td>Attain this Qualification in addition to the EbTT, AgTT, and AsTT Certifications</td>
</tr>
<tr>
<td></td>
<td>Concrete Strength, CsTT</td>
<td>$21.33 per pay period*</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Laboratory</td>
<td>$43.72 per pay period*</td>
<td></td>
</tr>
<tr>
<td>Category</td>
<td>Qualifications</td>
<td>Professional Pay amount per pay Period</td>
<td>Requirements</td>
</tr>
<tr>
<td>--------------------------</td>
<td>--------------------------------------------------------------------------------</td>
<td>----------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Steel Inspection</td>
<td>CWI (Certified Welding Inspector)</td>
<td>$65.05* per pay period</td>
<td>Attain required experience and certification as a UDOT employee.</td>
</tr>
<tr>
<td></td>
<td>BCI (Bridge Coatings Inspector) Certification</td>
<td>$65.05* per pay period</td>
<td></td>
</tr>
<tr>
<td></td>
<td>UT Levels 1 and UT Levels 2</td>
<td>$65.05* per pay period</td>
<td></td>
</tr>
<tr>
<td></td>
<td>ASNT Mag Particle Level I-II ASNT Radiographic Film Interpretation/ testing Level I-II ASNT Die Penetrant Testing Level I/II AGA Galvanizing Inspector</td>
<td>$65.05* per pay period</td>
<td>Have at least one year of experience in UDOT steel inspection and all listed ASNT and AGA certifications.</td>
</tr>
<tr>
<td>Precast Concrete Inspection</td>
<td>Concrete Testing, CTT</td>
<td>None</td>
<td>As required for position</td>
</tr>
<tr>
<td></td>
<td>Concrete Strength, CsTT</td>
<td>$21.33* per pay period</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Prestressed Concrete Inspector Level 1 Certification</td>
<td>$43.72* per pay period</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Prestressed Concrete Inspector Level 2 Certification</td>
<td>$65.05* per pay period</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Prestressed Concrete Inspector Level 3 Certification</td>
<td>$130.10* per pay period</td>
<td>As of FY19</td>
</tr>
<tr>
<td>Category</td>
<td>Qualifications</td>
<td>Professional Pay amount per pay Period</td>
<td>Requirements</td>
</tr>
<tr>
<td>-------------------</td>
<td>--------------------------------------------------------------------------------</td>
<td>---------------------------------------</td>
<td>----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Binder Lab</td>
<td>T-44 Solubility in TCE T-48 Flash Point T-49 Penetration T-59 Particle Charge T-72 Saybolt Viscosity Residue by Evaporation T-78 Residue by Distillation T-316 Viscosity T-53 Softening Point T-201 Kinematic Viscosity T-202 Viscosity by Vacuum T-228 Specific Gravity T-240 RTFO T-301 Elastic Recovery T-313 Creep Stiffness T-314 Direct Tension T-315 Dynamic Shear T-316 Viscosity</td>
<td>None</td>
<td>Successfully demonstrate with a “Pass” grade three test procedures for an AMRL inspector as required position</td>
</tr>
<tr>
<td></td>
<td></td>
<td>$65.05* per pay period</td>
<td>Successfully demonstrate with a “Pass” grade two additional test procedures for an AMRL inspector for a total of 5 test procedures</td>
</tr>
<tr>
<td></td>
<td></td>
<td>$65.05* per pay period</td>
<td>Successfully demonstrate with a “Pass” grade two additional test procedures for an AMRL inspector for a total of 7 test procedures</td>
</tr>
<tr>
<td></td>
<td></td>
<td>$65.05* per pay period</td>
<td>Successfully demonstrate with a “Pass” grade two additional test procedures for an AMRL inspector for a total on 9 test procedures</td>
</tr>
<tr>
<td></td>
<td>Attain National Binder Technician Certification Program (BTCP) Certificate or equivalent as determined</td>
<td>$65.05* per pay period</td>
<td>BTCP requires two years’ experience in a binder lab prior to taking the certifying exam. Any binder lab performing AASHTO M-320 testing is sufficient to meet this requirement. Certification while employed at UDOT and achievement of the Level III technician status is required to obtain this compensation.</td>
</tr>
</tbody>
</table>

*Amounts shown are effective as of FY19 July 2018, but may be subject to change in accordance with Part 2 of this Policy and Procedure 05-86.
Approval Request Form (Region/Field Laboratory Technician)

Employee: ________________________________

Employee Number: ________________________________

Professional Development Pay Amount per Pay Period: ________________________________
Professional Development Pay for these certifications: ________________________________

Requirements
1. Full-time, merit employee who is required to obtain and maintain the following certifications and meet listed requirements.
2. Professional Development Pay provides significant benefit to the Department.
3. Satisfactory performance, as documented in the UPM system and as verified by immediate supervisor.
   Supervise (Signature/Print Name) ________________________________
4. Requirements to maintain certifications are included in employee’s Performance Plan.

<table>
<thead>
<tr>
<th>Category</th>
<th>TTQP Qualifications</th>
<th>Professional Development Pay amount per pay period</th>
<th>Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Base</td>
<td>Sampling, Reduction and Density, SRDT</td>
<td>None</td>
<td>As required for position</td>
</tr>
<tr>
<td></td>
<td>Concrete Testing, CTT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Field or, Region Labs</td>
<td>Embankment and Base, EbTT</td>
<td>$130.10* per pay period</td>
<td>Maintain all three qualifications</td>
</tr>
<tr>
<td></td>
<td>Aggregate, AgTT</td>
<td>As of FY19</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Asphalt, AsTT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Region Labs</td>
<td>Superpave Mix Design, SMD</td>
<td>$65.05* per pay period</td>
<td>Attain this Qualification in addition to the EbTT, AgTT, and AsTT certifications</td>
</tr>
<tr>
<td></td>
<td>Concrete Strength, CsTT</td>
<td>$21.33* per pay period</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Laboratory, LbTT</td>
<td>$43.72* per pay period</td>
<td></td>
</tr>
</tbody>
</table>

*Amounts shown are effective as of FY19 July 2018, but may be subject to change in accordance with Part 2 of Policy and Procedure 05-86.

Justification
I have personally verified that this employee has met each of the requirements set forth.

District/Materials Engineer Signature      Date             District/Materials Engineer (Print)
**Approval Request Form (Central Laboratory Technician)**

Employee: ____________________________

Employee Number: ____________________________

Professional Development Pay Amount per Pay Period: ____________________________

Professional Development Pay for these certifications: ____________________________

**Requirements**

1. Full-time, merit employee who is required to obtain and maintain the following certifications and meet listed requirements.
2. Professional Development Pay provides significant benefit to the Department.
3. Satisfactory performance, as documented in the UPM system and as verified by immediate supervisor.

   Supervise (Signature/Print Name) ____________________________________________

4. Requirements to maintain certifications are included in employee’s Performance Plan.

<table>
<thead>
<tr>
<th>Category</th>
<th>TTQP Qualifications</th>
<th>Professional Development Pay amount per Pay Period</th>
<th>Requirements</th>
</tr>
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<tbody>
<tr>
<td>Base</td>
<td>Sampling, Reduction, and Density, SRDT</td>
<td>None</td>
<td>As required for position</td>
</tr>
<tr>
<td></td>
<td>Concrete Testing, CTT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Central Labs</td>
<td>Embankment and Base, EbTT</td>
<td>$130.10* per pay period</td>
<td>Attain all three qualifications</td>
</tr>
<tr>
<td></td>
<td>Aggregate, AgTT</td>
<td>As of FY19</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Asphalt, AsTT</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Central Labs</td>
<td>Superpave Mix Design, SMD</td>
<td>$65.05* per pay period</td>
<td>Attain this Qualification in addition to the EbTT, AgTT, and AsTT certifications</td>
</tr>
<tr>
<td></td>
<td>Concrete Strength, CsTT</td>
<td>$21.33* per pay period</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Laboratory, LbTT</td>
<td>$43.72* per pay period</td>
<td></td>
</tr>
</tbody>
</table>

*Amounts shown are effective as of FY19 July 2018, but may be subject to change in accordance with Part 2 of Policy and Procedure 05-86.

**Justification**

I have personally verified that this employee has met each of the requirements set forth.

Statewide Materials Engineer Signature    Date    Statewide Materials Engineer (Print)
Approval Request Form (Central Laboratory Binder Technician)

Employee: ____________________________
Employee Number: ____________________________
Professional Development Pay Amount per Pay Period: ____________________________
Professional Development Pay for these certifications: ____________________________

**Requirements**

1. Full-time, merit employee who is required to obtain and maintain the following certifications and meet listed requirements.
2. Professional Development Pay provides significant benefit to the Department.
3. Satisfactory performance, as documented in the UPM system and as verified by immediate supervisor.
   - Supervise (Signature/Print Name)
4. Requirements to maintain certifications are included in employee’s Performance Plan.

<table>
<thead>
<tr>
<th>National Certifications or Test Method Certification</th>
<th>Professional Development amount per Pay Period</th>
<th>Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>T-44 Solubility in TCE</td>
<td>None</td>
<td>• Successfully demonstrate with a “Pass” grade three test procedures for an AMRL inspector as required for position</td>
</tr>
<tr>
<td>T-48 Flash Point</td>
<td>$65.05* per pay period</td>
<td>• Successfully demonstrate with a “Pass” grade two additional test procedures for an AMRL inspector for a total of 5 test procedures</td>
</tr>
<tr>
<td>T-49 Penetration</td>
<td>$65.05* per pay period</td>
<td>• Successfully demonstrate with a “Pass” grade two additional test procedures for an AMRL inspector for a total of 7 test procedures</td>
</tr>
<tr>
<td>T-53 Softening Point</td>
<td>$65.05* per pay period</td>
<td>• Successfully demonstrate with a “Pass” grade two additional test procedures for an AMRL inspector for a total of 9 test procedures</td>
</tr>
<tr>
<td>T-201 Kinematic Viscosity</td>
<td></td>
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<tr>
<td>T-202 Viscosity by Vacuum</td>
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<td></td>
</tr>
<tr>
<td>T-228 Specific Gravity</td>
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<td></td>
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<tr>
<td>T-240 RTFO</td>
<td></td>
<td></td>
</tr>
<tr>
<td>T-301 Elastic Recovery</td>
<td></td>
<td></td>
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<tr>
<td>T-313 Creep Stiffness</td>
<td></td>
<td></td>
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<tr>
<td>T-314 Direct Tension</td>
<td></td>
<td></td>
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<tr>
<td>T-315 Dynamic Shear</td>
<td></td>
<td></td>
</tr>
<tr>
<td>T-316 Viscosity</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attain National Binder Technician Certification</td>
<td>$65.05* per pay period</td>
<td>• BTCP requires two years experience in a binder lab prior to taking the certifying exam. Any binder lab performing AASHTO M-320 testing is sufficient to meet this requirement. Certification while employed at UDOT and achievement of the Level III technician status is required to obtain this compensation.</td>
</tr>
</tbody>
</table>

*Amounts shown are effective as of FY19 July 2018, but may be subject to change in accordance with Part 2 of Policy and Procedure 05-86.

**Justification**

I have personally verified that this employee has met each of the requirements set forth.

Statewide Materials Engineer      Date                  Statewide Materials Engineer (Print)
Approval Request Form (Central Laboratory Concrete/Steel Technician)

Employee: 
Employee Number: 
Professional Development Pay Amount per Pay Period: 
Professional Development Pay for these certifications: 

Requirements

1. Full-time, merit employee who is required to obtain and maintain the following certifications and meet listed requirements.
2. Professional Development Pay provides significant benefit to the Department.
3. Satisfactory performance, as documented in the UPM system and as verified by immediate supervisor.
4. Requirements to maintain certifications are included in employee’s Performance Plan.

<table>
<thead>
<tr>
<th>Category</th>
<th>Qualifications</th>
<th>Professional Development Pay amount per pay period</th>
<th>Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Steel Inspectors (steel)</td>
<td>CWI (Certified Welding Inspector)</td>
<td>$65.50* per pay period</td>
<td>Attain required experience and certification as a UDOT employee</td>
</tr>
<tr>
<td></td>
<td>BCI (Bridge Coatings Inspector)</td>
<td>$65.50* per pay period</td>
<td></td>
</tr>
<tr>
<td></td>
<td>UT Levels 1 and UT Level 2</td>
<td>$65.50* per pay period</td>
<td></td>
</tr>
<tr>
<td></td>
<td>ASNT Mag Particle Level I-II</td>
<td>$65.50* per pay period</td>
<td>Have at least one year of experience in UDOT steel inspection as Engineering Technician Level III or Level IV an all listed ASNT and AGA certifications</td>
</tr>
<tr>
<td></td>
<td>ASNT Radiographic Film Interpretation/testing Level I-II</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>ASNT Die Penetrant Testing Level I/II</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>AGA Galvanizing Testing</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Precast Concrete Inspectors (Concrete)</td>
<td>Concrete Testing, CTT</td>
<td>None</td>
<td>As required for position</td>
</tr>
<tr>
<td></td>
<td>Concrete Strength, CsTT</td>
<td>$21.33 per pay period</td>
<td>Have at least one year of experience in that assignment</td>
</tr>
<tr>
<td></td>
<td>Prestressed Concrete Inspector Level 1 Certification</td>
<td>$43.72* per pay period</td>
<td>Attain required experience and certification as a UDOT employee</td>
</tr>
<tr>
<td></td>
<td>Prestressed Concrete Inspector Level 2 Certification</td>
<td>$65.05* per pay period</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Prestressed Concrete Inspector Level 3 Certification</td>
<td>$130.10 per pay period</td>
<td></td>
</tr>
</tbody>
</table>

*Amounts shown are effective as of FY19 July 2018, but may be subject to change in accordance with Part 2 of Policy and Procedure 05-86.

Justification
I have personally verified that this employee has met each of the requirements set forth.

Statewide Materials Engineer Signature      Date      Statewide Materials Engineer (Print)
Technician Acceptance Form

Employee: ________________________________________________________________

Employee Number: __________________________________________________________

Professional Development Pay Amount per Pay Period*: ________________________
Professionals Development Pay for which certifications / Experience:_______________

I, ________________________________ understand and agree with the following conditions:

Failure to maintain any of the required certifications or failure to successfully complete all of the required Independent Assurance testing will result in immediate cessation of my participation in the Professional Development Pay Program.

I understand that corrective or disciplinary action may be imposed for failure to obtain or maintain certifications required for my position. Furthermore, disciplinary action for any reason will result in immediate cessation in my participation in the Professional Development Pay Program.

I also understand that any reassignment, transfer or promotion, as defined by DHRM Rules to a non-qualifying position, will result in an immediate cessation of my participation in the Professional Development Pay Program.

I certify that I have fulfilled the requirements for Professional Development Pay Program inclusion. I have read and understood the conditions as acceptance into this program.

*Amounts shown are effective as of FY19 July 2018, but may be subject to change in accordance with Part 2 of Policy and Procedure 05-86.

Technician Signature ___________________ Date ___________ Technician Name (Print) ____________________________
Motor Carrier Safety Investigator Professional Development Pay Program
UDOT 05-87
Effective: February 2017 Revised: New

Purpose
The purpose of the professional development pay for Motor Carrier Safety Investigator is to develop and retain a qualified group of Safety Investigators. Have a process that will encourage personnel to attain difficult, time-consuming, and energy-consuming qualifications required for Investigator positions.

Policy
This policy applies to Motor Carrier Specialist III classified as Safety Investigators and Safety Investigator Supervisors.

This Policy will apply only to full-time, merit employees classified and employed as follows:
Motor Carrier Specialist III positions which are qualified safety investigators assigned to a Motor Carrier Division.

Motor Carrier Safety Investigator Supervisors which are qualified safety investigators assigned to the Motor Carrier Division.

Not all Motor Carrier Specialist III positions are eligible to receive equal professional pay, as there are distinct levels of qualification and effort required. These qualifications and any associated experience requirements are identified in Tables 1 with the professional pay levels appropriate to the effort required.

This Policy will establish a process for managing the Professional Development Pay Program for Motor Carrier Specialist III working as Safety Investigators and Motor Carrier Safety Investigator Supervisors. There are two working titles associated with the Motor Carrier Specialist III position, inspector and investigator. Inspector and investigators are required to conduct inspections on commercial motor vehicles. They must both pass the following courses to be certified to conduct inspections:

North American Inspection – 2 week
General Hazardous Materials – 1 week
Cargo Tank – 1 week

The inspectors and investigators conduct vehicle/driver inspections. They must regularly conduct inspections according to FMCSA and CVSA standards. These inspections involve paperwork for one driver and one vehicle combination. During the inspection they review:
Review permits, registrations, IFTA, valid insurance card.
Logs or time records for a maximum of eight days.
Verify drivers are operating with the proper licenses.
Inspect the vehicle for defects
Inspect hazardous materials being transported on the vehicle being inspected.

In addition to the inspector requirements, safety investigators are recognized to demonstrate higher standards of skill, training and ability in all aspects of Federal Motor Carrier Safety Regulations. They must pass rigorous courses involving regulations, written and practical test for safety audits and compliance reviews. They are required to maintain certification by regularly completing safety audits, compliance investigations, vehicle inspections and inspections on non-bulk and bulk hazardous material packages.

In addition to the required classes for inspectors, investigators must pass the following courses to become certified to conduct safety audits and compliance reviews:

- Compliance Intervention – 2 weeks
- Safety Audit – 2 weeks

The additional two courses are the first differences between the two positions. The main difference is the complexity associated with conducting safety audits and compliance reviews which are a more in depth comprehensive review of the company safety status. They are conducted on companies which have anywhere from one to a thousand drivers or vehicles. They are conducted with carrier officials ranging from owner/operators, safety directors and CEO’s. The following is a list of the various areas which are investigated during these contacts.

Hazardous materials:
- Shipping papers and training of employees
- Cargo tank inspections and compliance certificates for vehicles which are sampled
- Safety Security Plan if needed
- Safety Permit if needed
- Hazardous Materials Registration if needed

Insurance, operating authority
Driver qualifications and files
Time records/logs

Maintenance:
- Roadside and terminal inspections
- Repair and preventative maintenance records
Annual inspections
Daily vehicle inspection reports
Brake certification
Accident investigation
Controlled substance/alcohol testing
Evidence must be gathered for prosecution
A report is compiled listing violations along with a summary of the overall
company’s status
Case preparation for civil penalties

**Professional Development Pay**
A safety investigator and safety investigator supervisor may formally petition the
Motor Carrier Division Director for inclusion into the Professional Development
Pay Program as defined in Tables 1. The investigator will use the Request
Forms in Appendix A to formally petition for the compensation. Professional
development pay will be given with qualifying certifications every payroll period
as detailed in Tables 1.

The professional development pay amount will increase consistent with
legislatively authorized salary increase, which will include general increases, cost
of living increases, discretionary salary increases, targeted funding, general
increases, as long as there exists sufficient funding within the annualized base
budgets for the fiscal year in which the adjustment is given.

**Revocation**
The Professional Development Pay Program is only applicable to individuals who
qualify, while they hold the job titles described in the Eligibility section. Any
reassignment, transfer or promotion, as defined by DHRM Rules, to a non-
qualifying position will result in an immediate cessation of the professional
development pay. An employee that does not meet overall expectations on their
annual performance review will be suspended from this program until meeting
successful criteria in an official performance improvement plan (formerly
corrective action plan). Once the employee proves to be successful on a PIP,
they may re-apply for the program. The employee will also be suspended from
the program if they are undergoing a disciplinary process. Once the disciplinary
action is imposed, the employee may re-apply for the program any time after one
year. A letter of warning is not part of the disciplinary process. This will be
overseen by the Motor Carrier Investigator Supervisor for the Investigators and
the Motor Carrier Manager will oversee this program for the Motor Carrier
Investigator Supervisor.

Failure to maintain any of the listed certifications or to successfully complete all
courses from the time the employee begins receiving the professional
development pay will result in immediate cessation from the Professional
Development Pay Program. Employees in this situation may re-apply for the
program once they re-certify and/or complete all Federal Motor Carrier Safety Administration testing for auditors and investigators.

**Policy Exceptions**
The Executive Director, UDOT, or Deputy Director, UDOT may authorize exceptions to this program with consultation from the Human Resources Office.
Procedures

Professional Development Pay Motor Carriers

Eligible Motor Carrier Specialist III and Motor Carrier Supervisors hired as investigators gain entrance into the program by submitting the appropriate form. The form is to be submitted to the Motor Carrier Division Director. Forms for eligibility are contained in Appendix A.

Further, the employee’s immediate supervisor must verify satisfactory job performance as documented in the UPM system and no disciplinary actions within the past year. When approved, the signed form will be sent to the Motor Carrier Division Director for submission to payroll.

Responsibilities: Employee requesting Professional Development Pay, qualified employee must:

Actions

1. Safety Investigators must successfully pass the National Training Center Courses:
   A. North American Inspection – 2 week
   B. General Hazardous Materials – 1 week
   C. Cargo Tank – 1 week
   D. Safety Audit – 2 week
   E. Compliance Review – 2 week

2. They must maintain FMCSA applicable certification standards.

3. They must have a satisfactory performance, as documented in employee’s UPM System with no disciplinary action within the past year.

4. Complete Forms for eligibility are contained in Appendix A.

Responsibilities: Qualified employee supervisor must:

Actions

5. Verify satisfactory job performance as documented in the UPM System

6. Verify no disciplinary actions within the past year

7. Sign form in Appendix A

8. Send signed form to the Motor Carrier Division Director for approval
Responsibilities: Motor Carrier Division Director:

Actions
9. Verify all actions complete by employee and supervisor
10. Verify no disciplinary actions within the past year
11. Sign form in Appendix A
12. Send signed form payroll
<table>
<thead>
<tr>
<th>Category</th>
<th>Safety Investigator Qualifications</th>
<th>Professional Development Pay Amount per Pay Period</th>
<th>Requirements</th>
</tr>
</thead>
</table>
| Compliance Review and Safety Audit Certification | $100.00 | • Compliance Review (Investigative Safety Analysis) Certification  
• Safety Audit Certification  
• Be primarily assigned to the Motor Carrier Division |
Approval Request Form (Safety Investigator)

Employee/EIN: __________________________

Professional Pay amount per Pay Period: __________________________

Professional Pay for these certifications: __________________________

Requirements
1) Full-time, merit Motor Carrier Specialist III, Safety Investigator or Motor Carrier Safety Investigator Supervisor assigned to Motor Carrier Division.
2) Compensation provides significant benefit to the Department.
3) Satisfactory performance, as documented in employee's UPM system, and no disciplinary action within the past year as verified by immediate supervisor Supervisor (Signature/Print Name)

4) Obtain and maintain the applicable following certifications and meet the listed requirements:

<table>
<thead>
<tr>
<th>Category</th>
<th>Motor Carrier Specialist III</th>
<th>Professional Development Pay Amount per Pay Period</th>
<th>Requirements</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compliance Review and Safety Audit Certification</td>
<td>$100</td>
<td>• Compliance Review (Investigative Safety Analysis) Certification</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Safety Audit Certification</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>• Be primarily assigned to the Motor Carrier Division.</td>
<td></td>
</tr>
</tbody>
</table>

Justification

I have personally verified that this employee has met each of the requirements set forth and is assigned to the required full-time position within Motor Carrier Division as a Safety Investigator. These certifications for which this compensation is proposed will provide significant benefit to the Department.

Motor Carrier Director Signature ____________ Date ____________ Motor Carrier Director (Print)
Safety Investigator Acceptance Form

Employee/EIN: __________________________
Professional Pay amount per Pay Period: __________________________
Professional Pay for which certifications / experience: __________________________

I, __________________________ understand and agree with the following conditions:

Failure to maintain any of the required certifications or failure to successfully complete all of the required Independent Assurance testing will result in immediate cessation of my participation in the Professional Development Pay Program.

I understand that a performance improvement plan or disciplinary action may be imposed for failure to obtain or maintain certifications required for my position. Furthermore, disciplinary action for any reason will result in immediate cessation of my participation in the Professional Development Pay Program.

I also understand that any reassignment, transfer or promotion, as defined by DHRM Rules to a non-qualifying position, will result in an immediate cessation of my participation in the Professional Development Pay Program.

I certify that I have fulfilled the requirements for Professional Development Pay Program inclusion.

I have read and understood the conditions of acceptance into this program.

_________________________  __________________________
Investigator Signature       Date   Investigator Name (Print)
Use of State Equipment

Effective: February 11, 1994
Revised: July 30, 2014

Purpose
To comply with the State of Utah and the Utah Department of Transportation (Department) rules and regulations concerning the use of all State equipment.

Policy
The use and protection of State property is primarily the responsibility of the user and his or her organization.

1. State owned equipment is to be used by authorized people for official State business including State issued credit and gas cards.

2. State vehicles are for the use of Department employees in conducting their official activities. Employees must adhere to the following:
   a. Personal use of a State vehicle must be approved and used according to the current Administrative Rule R27-3.
   b. Each employee authorized to operate State owned equipment is required to hold a valid operator's license (Commercial Driver's License [CDL] where required) and operate the equipment in a safe and prudent manner. The valid license is to be in the employee's possession at all times when operating equipment.
   c. All operators and passengers in state vehicles will wear seat belt restraints while in a moving motor vehicle. Refer to Utah Traffic Code 41-6a-1803 and Administrative Rule R27-3-15.
   d. Prohibited activities while operating a moving motor vehicle are:
      • Write, read, or send a written message
      • Manually dial a phone number
      • Access the internet
      • View or record a video
      • Enter data into the device
   e. Use of a handheld wireless communication device is permitted anytime during an emergency procedure, when reporting a safety hazard, when reporting a criminal activity, or when the communication device system such as a State installed two-way radio is physically or electronically integrated into the motor vehicle.
   f. State of Utah employees from other agencies may accompany an authorized driver in a state vehicle, as long as the trip is for business purposes only.
   g. The Department Executive Director has given pre-approval for non-State of Utah employees doing business with the Department for example consultants, contractors, media, academia, and other Government Officials to accompany an authorized driver in a state vehicle, as long as the trip is only for business purposes.
h. Pre-approval must be given by the Department Executive Director for passengers that are not employed by the State of Utah or those that are not doing business for the Department.

3. Copy machines, printers, and FAX machines are for official State business. Personal use is not allowed unless the cost is reimbursed to the State by the user.

4. Data processing equipment and the use of other information technology assets are defined in UDOT Policy 07A-1.

5. Telephones are to be used for State business. It is recognized that occasional personal use may be required. The call is to be of short duration when this is the case. The employee must make arrangements to pay for a long distance call.

6. Taping or recording communications between State employees or State officers and other people is prohibited except with the express approval of the Governor upon the recommendation of the Recording Policy Review Board. This board consists of the Attorney General or designee and the Governor's General Counsel with the Commissioner of Public Safety as an advisor to the Board.

7. Incidence of theft, loss, vandalism, or misuse of State property that identifies employee's failure to promptly report such events or negligence as enabling such incidents to occur will be investigated and appropriate disciplinary action taken.

8. Personal safety protective equipment provided by the Department will be worn on the job and maintained in a sanitary and reliable condition according to adopted policy or procedure wherever it is necessary by reason of hazards of process, environment, chemical hazards, or specified work activity. Refer to UDOT Policy 06E-2.

9. Any employee found abusing or misusing State equipment including using State equipment for personal use will be subject to disciplinary action.
Purpose
To establish the policy for determining which Utah Department of Transportation (Department) positions are allowed to take vehicles home in order to be more productive and responsive in their job tasks. It will also determine which ones are required to report this fringe benefit to the IRS (commuters) and which ones do not (garagers). Also, define process for short duration commute authorization.

Policy
To provide guidelines to insure the Department is in compliance with the IRS Publication 15-B, Employer’s Tax Guide to Fringe Benefits, Department of Finance Policy 10-01.00, Travel – State Vehicle Usage, and Department of Administrative Services/Fleet Operations Rules listed below:

R27-3-6 Application for Commute or Take Home Use
R27-3-7 Criteria for Commute or Take Home Privilege Approval
R27-3-8 Exemptions from IRS Imputed Daily Fringe Benefits
R27-3-9 Enforcement of Commute Use Standards

The term Region Director in this policy applies to all four Region Directors and any of the Group Leaders at the Central headquarters.

Fleet Operations is in charge of managing the Take Home Policy for all State agencies. Special arrangements have been made with Fleet Operations in order for the Department to adhere to its own internal policy. These agreements are mostly concerned with the application and renewal process required by Fleet Operations.

Listed below are the only positions that are entitled to take vehicles home unless permission is granted by the Executive Director or designee:

1. The Executive Director is the only Department leader authorized for personal use. The Deputy Director, Region Directors and Operations Director are authorized to commute.

2. Roadway Operations Manager I positions are authorized to commute, except for special crews. Special Crew Manager I positions may be given a limited or seasonal commute privilege at the discretion of the Region Director. This will only be under conditions where they are required to give emergency response and not just act as regular snowplow operators or maintenance workers. There must be careful control of these types of privileges.
3. Roadway Operations Manager II and shop supervisor positions are authorized to commute except when the Region Director determines that the nature of an individual’s work and time on the job are primarily office-focused rather than an assignment that requires they work primarily in the field out of their vehicles.

4. Roving Mechanics are authorized to commute during winter months only. This privilege does not cover Shop Supervisors or Mechanics who primarily work in the shop.

5. Region Risk Managers are authorized to commute in order to respond to accidents in a timely manner.

6. Resident Engineers are authorized to commute.

7. There are times when it is a benefit to the Department to allow commute privileges to Permits, Construction, Transportation, Materials Technicians, and other personnel. It will be the responsibility of the Region Director to limit commuting to times when a benefit is clearly defined. They will also control parking, reporting, and commuting by personnel to or from sites that are remote from the normal home office. All personnel parking, reporting, and commuting to work sites will require written approval from the Deputy Director, Region Director, or group leader. No garaging is allowed for technicians.

8. The Incident Management Teams will be allowed to garage their vehicles to respond to emergencies as needed.

9. Traffic Signal Maintenance Workers will be allowed to garage their vehicles. They primarily work from their specially equipped vehicles. Employees rotate on-call responsibility for emergencies during off hours. Those employees on-call are the only ones allowed to garage.

Commuting or garaging will be allowed only for the employees listed above unless granted permission by the Executive Director or designee.

State employees, when practical, may carpool with an employee that meets the requirements listed above. Each Region Director is responsible to strictly administer these commute and garage guidelines. Regions must notify Equipment Operations immediately of all new or cancellations of commute and garage status. It will not be necessary to give notice when seasonal commuting begins or ends but submit the FI-48s whenever commuting is occurring.
The commute and garage authorizations expire at the end of each calendar year and must be renewed to obtain a new authorization number. Each commuter and garager must fill out and submit a new MP-2 form to be renewed for the next year. This will ensure that all of the information required is as current and accurate as possible. The MP-2 form will be modified to include the employee’s signature. This will replace the new signature form required by Fleet Operations and save time during the renewal process. All completed MP-2 forms must be returned to Equipment Operations before December 15. This should give sufficient time to update the information in the database.

Notice will be sent to the Region Director to investigate and respond back to Fleet Operations or the Auditors if any complaints are received about employees not following these commute and garage guidelines.
REQUEST AUTHORIZATION OR RENEWAL FOR COMMUTING OR GARAGING

Responsibility: Employee Requesting Take Home Privilege

Actions

   a. All fields must be filled out completely.
   b. Fill out all of the employee information in the top section of the form.
   c. Select a qualifying commute or garage category from Section 1.
   d. Enter the total number of days and miles to commute or garage per month in Section 2.
   e. Enter the total number of days you are called out per year in Section 3.

2. Sign and date the bottom of the form.

3. Submit original form to the Region Director for approval.

Responsibility: Region Director

4. Review the MP-2 form for accuracy.

5. Sign and date the bottom of the form.

6. Forward original form to Equipment Operations for review.

Responsibility: Equipment Operations

7. Review the MP-2 form to ensure position qualifies for commute or garage privileges.

8. Submit the MP-2 form to Director of Operations for final approval signature.
**Responsibility:** Director of Operations

9. Sign and date the MP-2 form.


**Responsibility:** Equipment Operations

11. Enter take home information into Fleet Operations database.

12. Print out authorization form to submit to Fleet Operations.

13. Update any changed information in Fleet Focus.


15. Submit original MP-2 form and authorization form to Fleet Operations.

16. Notify employee and Region Administrative Services Managers of the authorization number to use for commuting or garaging.

17. Provide a summarized count of all commute or garage categories to the Deputy Director and the Director of Operations after the annual renewal process is complete.

**Responsibility:** Employees Authorized to Commute or Garage

18. Complete T-65A form each month as required.

   a. This form documents the total miles driven for the month, commute and garage miles, and the number of call outs per month.

   b. This information will be helpful for the annual renewal process.

19. Turn in copy of the T-65A form at the end of each month to accounting technician who enters the equipment usage for your area.

20. Report commute miles to employee’s payroll technician to be entered on an FI-48 form and processed into the SAP payroll system.

   a. This step does not apply to employees who garage their vehicles.

21. File the original T-65A forms for any future reference or auditing purposes.

22. Renew take home authorization each calendar year by December 15, by repeating the procedure from the beginning.
**Responsibility:** Region Accounting or Payroll Technicians or Comptroller's Service Center

23. Enter miles driven for the vehicle into FINET from the T-65A form.

24. Enter the fringe benefit for the employee from FI-48 for commute miles for the month.
Sponsorship of Roadside Facilities and Traveler Service Programs  
UDOT 06-03  
Effective: December 16, 2014  
Revised: new

Purpose
To establish the broad guidelines by which the Utah Department of Transportation (Department) may develop and administer private sponsorship programs. Sponsorship programs allow for the private sponsorship of Department operational activities, facilities or highway-related services and programs.

Policy
A) General Principles

The Department may establish sponsorship programs to allow for private sponsorship of, Traveler Service Programs, or Roadside Facilities such as rest areas, or other traveler and highway-related services or programs.

Revenues generated from sponsorship will be used to offset costs associated with providing the service being sponsored, and to support costs associated with operation and maintenance of the state highway system. The Department shall use any revenues received from commercial activities in a rest area to cover the costs of acquiring, constructing, operating, and maintaining rest areas in the State.

All sponsorship activities will require a sponsorship agreement between the Recipient Agency and the sponsoring organization (Sponsor). An agreement between the Department and the contractor is also required if the Recipient Agency is a contractor. Sponsorship agreements can be applicable to a site, a group of sites (such as all rest areas statewide), a corridor, or a specific highway operation or service, and can allow the Sponsor to provide products, services, or monetary contributions.

All sponsorship agreements will be economically sustainable and provide a net benefit to the public. Sponsors may be eligible for acknowledgement signs or other forms of recognition in accordance with current Federal Highway Administration (FHWA) policies, the MUTCD, Utah Administrative Rule R918-7, and this policy.

All sponsorship agreements involving the interstate highway system shall be approved by the FHWA prior to implementation.
B) Sponsorship Policies and Agreements

All sponsorship agreements shall include language requiring the Department to terminate the agreement if the Department determines that the agreement, or acknowledgement or advertisement:

- Presents a safety concern,
- Interferes with the free and safe flow of traffic, or
- Is not in the public interest;

All organizations entering into sponsorship agreements with the Department must be in compliance with the following restrictions:

1. No Sponsor will be in the business of promoting activities that would in any way have a negative impact, or dishonor or discredit the State of Utah or the Department.

2. Neither the Sponsor, nor any advertising or promotional materials associated with the Sponsor, including but not limited to digital information, signs, web site, or social media postings, may state or imply that a State agency or institution endorses a Sponsor’s product or service.

3. All sponsorship activities shall be in compliance with Federal and State laws and regulations including, but not limited to:

   a. No charge may be levied on the travelling public for goods and services, except for telephones and articles dispensed by vending machines. Such vending machines may only dispense such food, drink, and other articles as the Department determines are appropriate and desirable.

   b. The Sponsor is prohibited from entering into any contract or agreement that would result in the promotion or acknowledgement of political candidates, parties, purposes, or issues on Department property.

   c. Recipient Agency will screen potential sponsors for compliance with federal and state nondiscrimination laws, regulations, and policies. Sponsor shall not denigrate groups based on gender, religion, race, ethnic, or political affiliation, or include the name of any group that has historically advocated for the denigration of groups based on gender, religion, race, ethnic, or political affiliation.
d. No sponsorship may promote the use of, or activity in, alcohol, tobacco, drugs, gambling, sexual material, or of any substance or activity illegal for minors.

e. Sponsorship agreements shall include provisions to cover the costs associated with installation of acknowledgement signs or other means of recognition, timely maintenance thereof, and removal to original condition upon termination of the agreement, as part of the contract.

C) Program Administration

Sponsorship programs may be structured in one of the following ways:

1. Operation and Management by the Department: The Department performs the sponsored operational activity or service, and individual sponsors make payments to the Department to offset the Department’s cost, in return for recognition. The Department recruits potential sponsors. The Department enters into contractual relationships with each sponsor, receives sponsorship payments from each, and recognizes the sponsor by means of acknowledgement signs or by other means as mutually agreed by the Department and each sponsor and in accordance with Department Policy.

2. Operation and Management by a contractor: The Department enters into a contract with a private firm (with the contractor acting as Recipient Agency) to manage the sponsorship program. The contractor performs, or causes to be performed, the sponsored operational activity or service. The contractor recruits potential sponsors, establishes a fee structure between itself and each sponsor, and receives payments from each sponsor. The contractor provides and installs acknowledgement signs or other recognition. The contractor may self-perform any or all of the operational functions, or may engage subcontractors. The Department retains authority to approve any and all provisions of any contract between the contractor and sponsors. The Department approves the means of sponsor acknowledgement, including if applicable, the design of acknowledgement plaques, acknowledgement signs, and advertising, and the size, spacing, and placement of signs. The Department may pay the contractor for his services, or may require the contractor to earn his profit by means of fees paid by each sponsor. The Department may engage more than one contractor using this model (for example, one contractor for Roadside Facility sponsorships, and another for Travel Services Program sponsorships).
3. **Operation and Management by separate contractors:** The Department hires a marketing and sales contractor to recruit and engage sponsors, and a separate operations contractor to perform the operational activity or service. The Department uses revenue produced by the efforts of the marketing and sales contractor to pay for the service performed by the operations contractor, thereby reducing the Department's overall cost for the operational activity. Procurement, placement, and maintenance of acknowledgement signs or other recognition may be performed by either the marketing and sales contractor, by the operations contractor, or by the Department. The Department may engage multiple contractors using this model (such as one pair of contractors for Roadside Facility sponsorships, and another pair for Travel Services Program sponsorships).

4. **Other operation and management models are allowed,** if the participating stakeholders can demonstrate a positive benefit to the Department.

**D) Acknowledgement Signs and Acknowledgement Plaques**

Safe and orderly movement of traffic must not be compromised in considering the use of acknowledgement plaques or signs on the roadway. Safety is the overriding issue when there is any doubt as to whether an acknowledgement is appropriate.

It is essential that good engineering practices be followed, such as simplifying sign message content, using reasonable sign sizes, and placement such that driver distraction is minimized.

Acknowledgement Signs and Plaques shall be designed, sized, and placed in accordance with this policy, Utah Administrative Rule R918-7, and the MUTCD.

**E) Advertisement**

1. **General**

Advertisements will be congruent with the general conditions associated with the sponsorships and agreements requirements of this policy with respect to message content, public perception, and public safety.
The Department may reserve to itself a defined proportion of available advertisement space on any discreet surface or screen, and of display time, for promoting public messages and safety programs as deemed appropriate by the Department.

Any installation shall have provision for installation, maintenance and timely removal upon termination or expiration of the agreement at no cost to the Department.

All final aspects of advertisement will be approved by the Department prior to implementation.

2. Rest Area and Welcome Center Facilities:
   a. Physical Considerations
      1.) Type, Size, and Location
          All media types in general will be approved by the Department prior to implementation. Any advertisement within Rest Area and Welcome Center facilities shall meet all of the provisions of Administrative Rule R918-7-6.

      2.) Other Considerations
          a.) Media placed inside the facilities will be evaluated for conformity with this Policy on a case by case basis by the Department.
          b.) Multiple displays will be evaluated by the Department to determine their impact to the aesthetic value of the facility, and be approved on a case by case basis.
          c.) Advertisement inside the facilities will be approved for media type, location and size by the Department.

3. Web and Phone Based Media

Typical implementation will include flash screens, banners, audio messages, and other industry standard mechanisms for advertising. All web based, audio based, and smart phone and tablet based advertisement will need to be developed, administered, and modified in cooperation with the Department, because of the diverse and continually evolving opportunities with electronic media.
Background

The Department manages the operations of over 40 rest areas, view areas, welcome centers, ports of entry, roadside parks, and other roadside facilities on state roadways. The facilities are present on both freeway and non-freeway roadsides, as well as in both limited and free-access right-of-way.

The Department also operates traveler service programs in various forms, including the 511 Traveler Information System, UDOT Traffic Mobile Application (UDOT Traffic App), Internet web pages, express lanes, and the infrastructure necessary to support those systems.

The FHWA has developed policies and guidelines allowing for sponsorship activities within the public right-of-way as a means of providing innovative funding to highway programs.

Utah Code Sections 72-6-401, 72-6-402, and 72-6-403 authorize the Department to develop sponsorship programs that can support roadside facilities, traveler information systems, and other highway-related services or programs.

The purpose of the sponsorship of a roadside facility or traveler service program is to provide a product, service, or monetary contribution that will generate an ongoing revenue stream or cost savings to support the operation and maintenance of the Department’s network of roadside facilities, or of its traveler service programs, or of both.

The Department, in addition to acknowledgement signs or plaques, may utilize a number of other options to recognize sponsors, including but not limited to acknowledgement on in-vehicle transponders, outreach and educational materials, and Internet advertising banners, as well as within telephone messages such as those of 511 systems and other avenues.

Definitions

Acknowledgement plaques

Plaques that are intended only to inform the traveling public that a highway-related service, product, or monetary contribution has been sponsored by a person, firm, or entity. Acknowledgment plaques are installed only in the same sign assembly below a primary sign that provides the road user specific information on accessing the service being sponsored. Consistent with the MUTCD, a plaque legend is displayed on a separate substrate from that of the sign below which it is mounted.
Acknowledgement signs
Signs that are intended only to inform the traveling public that a highway-related service, product, or monetary contribution has been sponsored by a person, firm, or entity. Acknowledgment signs are installed only as independent sign assemblies.

Advertisements/advertising signs
Signs or other devices that promote commercial products or services through slogans, information on where to obtain the products and services, or other means.

Facility within a Rest Area
An enclosed building, or freestanding bulletin board or partial enclosure within a Rest Area or Welcome Center, constructed by the Department for the purpose of providing specific information to the motorist as to services, places of interest within the State, and other such information as the Department may consider desirable. Consistent with the language of 23 CFR § 752.7(c), which established information centers and systems within safety rest areas, the language “any facility constructed in the rest area” in 23 U.S.C. § 111(b) refers to the building and/or bulletin board or partial enclosure as provided in the referenced CFR provision. Other items, such as a parking space, sidewalk, pet area, bench, or picnic table, do not constitute a “facility” as defined in the CFR. Any other building, freestanding bulletin board, or partial enclosure constructed for a purpose other than to provide specific information to the motorist as to services, places of interest within the State and other such information as the Department may consider desirable (for example, to expand the amount of available advertising space) is not consistent with this definition, and therefore would not constitute a “Facility within a Rest Area” for the purpose of this policy.

FHWA
The Federal Highway Administration, whose Utah Division office will provide Policy review and approval, Sponsorship Agreement review, and risk based assessment of State Sponsorship programs and agreements.

Legend
Has the same meaning as in the MUTCD.

Main Traveled Way
The portion of the roadway for the movement of vehicles, exclusive of the shoulders, ramps, berms, sidewalks, and parking lanes.
MUTCD

The most recent edition of the Manual on Uniform Traffic Control Devices for Streets and Highways adopted by the Department in accordance with Section 41-6A-301, Utah Code, and Utah Administrative Rule R920-1, commonly called the Utah MUTCD.

Recipient Agency

An organization that directly receives the highway-related service, product, or monetary contribution from the sponsor entity. The recipient agency might be the Department, or a contractor engaged by the Department to administer the highway-related service, manage the sponsorship program, or perform both functions.

Roadside Facility

A Facility constructed to support the highway system. Examples include Rest Areas, Welcome Centers, View Areas, Scenic Overlooks, Ports of Entry, and Chain-Up Areas.

Sponsorship Agreement

An agreement between a recipient agency and a sponsor, in which the sponsor is to be acknowledged for the provision of a highway-related service, product, or monetary contribution.

Sponsorship Program

A program that allows a person, a firm, or an entity to sponsor an element of the Department's highway operation through the provision of highway-related services, products, or monetary contributions.

Sponsor

A person, firm, or entity that provides a monetary contribution, or highway-related service or product, to the recipient agency, in return for recognition in some form for doing so, such as logo display on an acknowledgement sign or plaque, electronic advertising, or advertisement in a facility.

Traveler Service Programs

Systems developed to support the collection, analysis, and distribution of information about the Department's highway network, or programs used to positively impact traffic operations and maintenance. These include systems such as the Department's Internet page, UDOT Traffic Mobile Application, Traveler Information 511 System, Express Lanes, Zero Fatalities, and others.

Visible

The sign legend is capable of being seen by the viewer from the main traveled way.
Use of Seat Belts within State Equipment
UDOT 06-04
Effective: October 5, 2016
Revised: New

Purpose
To define the Utah Department of Transportation (Department) usage standard for seatbelts in equipment and motor vehicles owned, leased, or rented by the Department. Provide a documented expectation and outline of consequences for choosing to disregard the use of an important safety vehicle safety feature.

Policy
All operators and passengers in state vehicles will wear seat belt restraints while in moving equipment and motor vehicles. Utah Traffic Code 41-6a-1803, Administrative Rule R27-3-15, and Department Policy 06-01 all require the use of seatbelts in moving equipment/motor vehicles.

The Department expects seat belts to be worn by all drivers and passengers within state equipment and motor vehicles. It is the responsibility of both the driver and the passenger to confirm that seat belts are properly worn. Each driver and passenger is responsible for their individual actions.

Failure to wear a properly fitted and utilized seatbelt within equipment and motor vehicles that are owned, leased, or rented by the Department will result in some form of disciplinary action. These will be as follows:

A. 1st offense – Verbal warning documented by supervisor
B. 2nd offense – Letter of reprimand
C. 3rd offense – 3 Days off without pay
D. 4th offense – Termination

Disciplinary actions will be counted over a three year period for the purpose of this policy. The supervisor will work with Human Resources while engaging in the disciplinary process.
Use of Handheld Wireless Communications Devices by Motor Vehicle Operators

UDOT 06-05
Effective: October 5, 2016 Revised: New

Purpose

To define the Utah Department of Transportation (Department) usage standard for handheld wireless communications devices by operators of moving equipment and motor vehicles owned, leased or rented by the Department. Provide a documented expectation and outline of consequences for choosing to disregard safe operating procedures and legal requirements.

Policy

The Department requires the use of handheld wireless communications devices by operators of moving equipment and motor vehicles adhere to the following requirements.

A. All operators of state vehicles adhere to the requirements of Utah Traffic Code 41-6a-1716 with regard to the use of handheld wireless communications equipment.

1. Handheld wireless communications equipment is defined as:
   - wireless telephone;
   - text messaging device;
   - laptop; or
   - any substantially similar communication device that is readily removable from the vehicle and is used to write, send, or read text or data through manual input.

B. The operator of a moving motor vehicle or equipment may:
   - Talk on the phone using a hands free device
   - View a navigation device or navigation app
   - Use a handheld communication device during a medical emergency
   - Use a handheld communication device to report a safety hazard
   - Use a handheld communication device to report criminal activity
   - Use a hands free device to access a hands free technology, a voice activated system, or a system physically or electronically integrated into the motor vehicle

C. The operator of a moving motor vehicle or equipment may not:
   - Write, send or read a text, instant message, or email
   - Dial a phone
   - Access the internet
   - View or record video
D. Failure to adhere to the requirements of Utah Traffic Code 41-6a-1716 while operating moving equipment or motor vehicles that are owned, leased, or rented by the Department will result in some form of disciplinary action. These will be as follows:

1. 1st offense – Verbal warning documented by supervisor
2. 2nd offense – Letter of reprimand.
3. 3rd offense – 3 Days off without pay
4. 4th offense – Termination

E. Corrective actions will be counted over a three year period for the purpose of this policy. The supervisor will work with Human Resources while engaging in the disciplinary process.
Purpose
The purpose of this policy is to define the means whereby UDOT can obtain vehicle location and other traffic data that is generated by electronic devices not owned by UDOT.

Background
UDOT gathers various types of traffic data in order to assess and manage the performance of state highways, and provide accurate data to the public. This data often includes vehicle speed, vehicle location, volumes of vehicles, and travel times, for example. This data has typically been gathered using non-intrusive inductance loops and radar sensors. Recent technologies now make it possible to detect vehicle presence by reading signals emitted from personal electronic devices, including Bluetooth and wifi MAC (media access control) addresses. (The MAC address is a unique hardware identification number, similar to an IP address for a computer). Future developments will introduce other methods of data gathering; this policy applies to any of these that detect transmissions from privately-owned devices. Data gathered through these techniques can be used to determine travel times, produce origin-destination data, and other information. The data is valuable to UDOT functions in planning, project development, design, construction, traffic operations, traffic safety, and other areas.

The Legislature clarified (HB 369) the ability of governmental entities to gather data from personally held electronic devices, in 2016. In part, the legislation states:

“a government entity may not obtain the location information, stored data, or transmitted data of an electronic device without a search warrant issued by a court upon probable cause. 
(2) (a) A government entity may obtain location information . . . with the informed, affirmative consent of the owner or user of the electronic device; 
(4) (a) a government entity may receive and utilize electronic data containing the location information of an electronic device from a non-government entity as long as the electronic data contains no information that includes, or may reveal, the identity of an individual.”

Obtaining consent from the many owners of these electronic devices is impractical, except in limited cases, such as a study or a defined fleet.
Policy

When UDOT deems it useful to have location information gathered from private electronic devices (cell phones for example), such information will be obtained with affirmative owner consent or through appropriate agreements from a third party, non-governmental entity. This information will contain no information that can be used to determine the owner of the device.

In cases where UDOT contracts with third parties to provide vehicle location or travel times at specific locations (as opposed to aggregated data from multiple sources) based on MAC address identification or similar unique network identifiers, the vendor will be required to encrypt that data after it is detected in a way that prevents it from being connected to the original device or owner.

MAC Reader devices owned by UDOT prior to August 1, 2016: it will be determined if those devices send data directly to a private vendor. UDOT can continue to use these devices on state roads to obtain vehicle location and travel time data if this is the case, and it is not possible for UDOT to obtain raw data directly from the device, and the vendor does not have, and cannot provide, personally identifiable information from their database.

UDOT will not purchase any additional MAC Reader devices.

UDOT may contract with non-governmental entities to collect vehicle data using MAC address detection. UDOT may also participate in the installation of these devices, owned by others, to facilitate the efficient gathering of information. Vendors providing this equipment will conform to an encryption process that conforms to this policy, similar to the following:

1. MAC addresses will be encrypted at the field device so that raw MAC addresses are never transmitted.
2. MAC addresses will be “salted and hashed” prior to transmission, processing and storage to create a unique, non-reversible information string that cannot be linked back to the raw MAC address.
3. The “salt” string will be randomly generated and changed each day, and the prior “salt” strings will be deleted.
There may be other types of devices that detect signals from private electronic devices, but do not specifically use MAC address technology. In this event, UDOT will conform to this same policy, for example, UDOT will not purchase or use said equipment (except for cases where the private device owner grants consent to the data), and UDOT may obtain data generated by this equipment from non-governmental entities only when appropriate encryption processes have been employed and no personally identifiable data is included.

UDOT may obtain and use traffic data from vendors who aggregate this data from many sources, including MAC address and GPS (global positioning system) data, provided that said traffic data does not include any personally identifiable information or facilitate the determination of that information.
Procedures

**Responsibility:** Operations Engineer

**Actions**

1. Educate Region leaders about the traffic data gathering policy and appropriate actions.

2. Identify any existing devices owned by UDOT that read MAC addresses and determine whether these send data directly to a non-governmental entity, restrict access to raw data at the device, and employ acceptable encryption procedures. Determine the appropriate disposition of devices that do not meet this criteria.

**Responsibility:** Procurement Officers

**Actions**

3. Review procurement requests to verify that devices that do not comply with this policy are not purchased by UDOT.

**Responsibility:** Region Traffic Engineers

**Actions**

4. Review Maintenance of Traffic plans for UDOT construction projects to identify any technologies that might be used to measure traffic conditions during construction and verify that those procedures meet the requirements of this policy.

**Responsibility:** Traffic Management Engineer

**Actions**

5. Oversee and review plans to obtain traffic data, specifically those that use technology to obtain this data, in whole or in part, by collecting data emitted from private electronic devices, and verify that the requirements of this policy are met.
AUTHORIZED PERSONAL USE OF PUBLIC PROPERTY
POLICY
UDOT 06-07
Effective: July 1, 2019
Revised: N/A

Purpose
A. This policy provides public servants guidance as to authorized personal use of public property, as defined in Utah Code section 76-8-101(5), to help them avoid unintentional violations of Utah Code sections 76-8-402 and 404 (as amended 2019), Offenses Against the Administration of Government. Violation of Utah Code section 76-8-402 is a felony.

B. A public servant is not guilty of a violation of Utah Code 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.

C. This policy constitutes a “written policy of the public servant’s entity” for purposes of Utah Code section 76-8-402(1)(b)(iii). For purposes of this policy, “public servants” will be referred to as “employees”.

Policy
A. 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 leader (for example, a supervisor in the employee’s organizational chain of command).

B. The Department may not impose its requirements on third parties such as consultants, independent contractors, or persons hired or paid by the Department to perform a government function. However, this policy is derived from the requirements of Utah Code sections 76-8-402 and 404, which do apply to third parties.

1. Third-party consultants, independent contractors, or persons hired or paid by the Department to perform a government function use Public Property, such as state-owned email accounts or laptops, or while performing work in public buildings or on state owned equipment or machinery, or while managing or maintaining state owned real estate.
C. Department employees responsible for hiring, managing, or monitoring third parties must assure that these third parties are aware of and familiar with the requirements of Utah Code sections 76-8-402 and 404 and the penalties that may be imposed for violating these code sections.

D. 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.

E. To help improve the effectiveness and efficiency of government services, incidental personal use of public property is authorized under Utah Code section 76-8-402 and is further authorized under this policy. Incidental personal use includes:
   1. 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
   2. Use of public property of a personal nature when such use of the public property:
      a. Is allowed to be used by the general public;
      b. Is allowed for training or skill development;
      c. Is provided or required to be provided to the public servant as an employee benefit or convenience, such as lunchroom, fitness, or nursing room facilities;
      d. Provides value to the Department that substantially outweighs the personal benefit received by the employee;
      e. Is otherwise permitted by an employee’s manager or supervisor (for example, a supervisor in the employee’s organizational chain of command) in writing prior to usage; or
      f. Is otherwise permissible under state or federal law, administrative rule or policy.
   3. Notwithstanding, incidental personal use does not include any use that:
      a. Significantly, interferes with the mission or operations of the Department of Transportation;
      b. Significantly, interferes with the performance of the employee’s or any other employee’s official duties;
      c. Significantly, compromises the integrity of public property;
d. Is for private financial gain, including but not limited to conducting outside business, employment, or other income generating activities; or
e. violates federal, state, or local law.

F. This policy does not modify the requirements of laws, rules, or policies regulating state employees’ use of public property, including but not limited to the following:

- The Department of Transportation’s Code of Ethics and Conflict of Interest Policy, UDOT 05-30
- Use of State Equipment Policy, UDOT 06-01
- Fraud Policy, UDOT 01-04
- Data Processing Technology Acceptable Use Policy, UDOT 07A-01
- Utah Administrative Code R477-9-7, Acceptable Use of Information Technology Resources
- The Utah Public Officers’ and Employees’ Ethics Act
- 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 R895-7, Acceptable Use of Information Technology Resources
- Division of Finance Policies, including FIACCT – O5-15.00 – Purchasing Card and FIACCT – 10-01.00 – Travel – Personal Use of State Vehicles
- Utah Administrative Code R27-3 – State Vehicle Use Standards
- Utah Administrative Code R27-6 – Fuel Dispensing Program
• Governor’s Executive Order 002 2014: Establishing an Ethics Policy for Executive Branch Agencies and Employees, or

• Any other Department of Transportation specific statutes, rules, or policies.
Purpose
When the annual programs are approved, they will become the basis for allocating resources to the management units responsible for carrying out the work in the field.

To establish a procedure for the development, review, approval and adjustment of personnel, equipment and material allocations to the region organizations for performance of their approved Maintenance and State force Special Authority workloads. Allocations are made to regions and not to individual station or special crew organizations. Personnel, equipment and material allocations are only for selected classifications and types.

To establish the procedure to be followed, the responsibility to be fulfilled, and deadlines to be met in the preparation and submission of the Annual Highway Maintenance Budget.

To establish the procedure and place responsibility for issuing and controlling Authorities for Expenditure (AFE’s) of construction funds in the 1000, 2000, 5000, 6000, 7000, 8000, and 9000 categories.

Policy
Annual maintenance work programs will be established for each region. The programs will be based upon application of the quantity and productivity standards for each maintenance activity to each region’s maintenance feature inventory such as number of lane miles, acres, shoulder miles, drainage installation, etc.
Proceedures
Establishing and Adjusting Region Maintenance Personnel, Equipment, and Materials
Allocations

Responsibility: Maintenance Methods Engineer

Actions

1. Receives by September 1, a copy of each Region Maintenance Budget after approval by the Assistant Director.

2. Evaluates the maintenance programs included in each of the region budgets to develop the required quantities of personnel, equipment and material.

3. Receives approved Special Authority program by January 1.

4. Evaluates the approved Special Authority programs to develop personnel, equipment and material requirements.

Responsibility: Engineer for Maintenance

5. Reviews the combined maintenance and Special Authority resource requirements and suggests necessary revisions.

Responsibility: Maintenance Methods Engineer

6. Presents developed resource allocations to each Region Director, Region Maintenance Engineer and Supervisor for their review and comment.

7. Makes necessary revisions after review by region management.

Responsibility: Engineer for Maintenance and Maintenance Methods Engineer

8. Makes final review and authorization of the individual Region Maintenance and Special Authority resource allocations.
Responsibility: Maintenance Methods Engineer

9. Publishes and distributes copies of authorized resource allocations to:
   Director
   Assistant Director
   Engineer for Maintenance
   Region Directors
   Chief, Administrative Services Division
   Comptroller
   Maintenance Methods Engineer
   Region Maintenance Engineers
   Personnel Manager
   Region Director

10. In anticipation of a change in the workload that requires an adjustment of the
    previously authorized resource allocations, submits a request and justification to
    the Engineer for Maintenance.

Responsibility: Maintenance Methods Engineer

11. Reviews the request and, as necessary, consults with the Maintenance Methods
    Engineer about its justification.

12. Submits a recommended action to the Engineer for Maintenance.

Responsibility: Engineer for Maintenance

13. Reviews recommendation and either authorizes the change in allocation or rejects
    the request.

14. Notifies the requestor and Maintenance Methods Engineer of decision.

Responsibility: Maintenance Methods Engineer

15. If allocations are changed, publishes and distributes revisions to previously listed
    individuals.
Region MAINTENANCE PERSONNEL AUTHORIZATIONS
FOR FISCAL YEAR 1, 19__ TO June 30, 19__

Region ____________

TOTAL MAN YEARS AUTHORIZED ___________________________________

MINIMUM NUMBER OF PERMANENT PERSONNEL ________________

The approved Fiscal Year 19__ Maintenance Budget* requires ____ man years of Station and Special Crew personnel to perform the maintenance workload in accordance with the Performance Standards and Annual Schedule of Maintenance Activity. An analysis of the approved State Force Special Authority projects for your Region for the Fiscal Year 19__ indicates a need for an additional ____ man year personnel allocation.

The attached Workload Distribution Graph depicts the number of personnel by month required to accomplish the maintenance workload, the snowplan requirements, and an authorized minimum number of permanent personnel. It is the responsibility of each Region to determine the type of staffing for the ____ man year difference between the total authorized ____ man years and the minimum ____ man years of permanent personnel. In light of each Region’s particular workload configuration, snow removal requirements and employment market, consideration should be given to such alternative staffing arrangements as permanent employees, seasonal hires and planned overtime to meet the difference between the total authorized man years and the minimum man years of permanent personnel.

Authorized by: ____________________________    Date ______________________________
Engineer for Maintenance

*Not including Region Overhead, Lighting Contract and Traffic Signals.
Region MAINTENANCE EQUIPMENT* AUTHORIZATIONS

Region ____________________

July 1, 19 __ to June 30, 19__

An analysis of the maintenance workload of the snow removal plans indicates the following equipment code and class requirements:

<table>
<thead>
<tr>
<th>Codes &amp; Class</th>
<th>Description</th>
<th>Number Authorization</th>
</tr>
</thead>
<tbody>
<tr>
<td>0101</td>
<td>Truck, GVW 9,001 to 15,000</td>
<td></td>
</tr>
<tr>
<td>0102</td>
<td>Truck, GVW 15,001 to 25,000</td>
<td></td>
</tr>
<tr>
<td>0103</td>
<td>Truck, GVW 25,001 to 35,000</td>
<td></td>
</tr>
<tr>
<td>0104</td>
<td>Truck, GVW 35,001 to 45,000</td>
<td></td>
</tr>
<tr>
<td>0105</td>
<td>Truck, GVW 45,001 and up</td>
<td></td>
</tr>
<tr>
<td>0301</td>
<td>Snow Plows, 12 Foot Straight Blade</td>
<td></td>
</tr>
<tr>
<td>0302</td>
<td>Snow Plows, “V” Type for Grader</td>
<td></td>
</tr>
<tr>
<td>0303</td>
<td>Rotary Snow-Go Assembly</td>
<td></td>
</tr>
<tr>
<td>0401</td>
<td>Farm Type Tractor, Bare</td>
<td></td>
</tr>
<tr>
<td>0402</td>
<td>Farm Type Tractor, w/bucket and/or Mower</td>
<td></td>
</tr>
<tr>
<td>0403</td>
<td>Farm Type Tractor, w/bucket and Backhoe</td>
<td></td>
</tr>
<tr>
<td>0501</td>
<td>Power Graders</td>
<td></td>
</tr>
<tr>
<td>0902</td>
<td>Loader, up to 1½ Yard</td>
<td></td>
</tr>
<tr>
<td>0903</td>
<td>Loader, 2 Yard</td>
<td></td>
</tr>
<tr>
<td>0904</td>
<td>Loader, Track Type</td>
<td></td>
</tr>
<tr>
<td>1001</td>
<td>Oil Distributor, 100 to 600 Gallons</td>
<td></td>
</tr>
<tr>
<td>1002</td>
<td>Oil Distributor, under 1999 Gallons</td>
<td></td>
</tr>
<tr>
<td>1003</td>
<td>Oil Distributor, 2000 Gallons or more</td>
<td></td>
</tr>
<tr>
<td>1301 or 1303</td>
<td>Spreader, 5.5 Cubic Yards</td>
<td></td>
</tr>
<tr>
<td>1302 or 1304</td>
<td>Spreader, 7.5 Cubic Yards</td>
<td></td>
</tr>
<tr>
<td>1501</td>
<td>Compressor, Up to 165 CFM</td>
<td></td>
</tr>
<tr>
<td>1502</td>
<td>Compressor, 166 to 300 CFM</td>
<td></td>
</tr>
<tr>
<td>1503</td>
<td>Compressor, Over 300 CFM</td>
<td></td>
</tr>
<tr>
<td>1702</td>
<td>Bituminous Mixer, 3/4 Cubic Yard</td>
<td></td>
</tr>
<tr>
<td>1802</td>
<td>Steel Wheel Roller, Up to 3 Ton</td>
<td></td>
</tr>
<tr>
<td>1803</td>
<td>Steel Wheel Roller, 3 to 6 Ton</td>
<td></td>
</tr>
</tbody>
</table>

*Includes selected types of equipment only.
An analysis of the maintenance workload of the snow removal plans indicates the following equipment code and class requirements:

<table>
<thead>
<tr>
<th>Codes &amp; Class</th>
<th>Description</th>
<th>Number Authorization</th>
</tr>
</thead>
<tbody>
<tr>
<td>1804</td>
<td>Steel Wheel Roller, Over 6 Ton</td>
<td></td>
</tr>
<tr>
<td>1805</td>
<td>Pneumatic Tire Roller</td>
<td></td>
</tr>
<tr>
<td>1901</td>
<td>Pickups</td>
<td></td>
</tr>
<tr>
<td>2101</td>
<td>Sweeper, Pull Type</td>
<td></td>
</tr>
<tr>
<td>2102</td>
<td>Sweeper, Self-Propelled</td>
<td></td>
</tr>
<tr>
<td>3204</td>
<td>Windrow Sizer</td>
<td></td>
</tr>
<tr>
<td>3801</td>
<td>Rotary Mower, Trail Type to 7 Foot</td>
<td></td>
</tr>
<tr>
<td>3802</td>
<td>Rotary Mower, Trail Type over 7 Foot</td>
<td></td>
</tr>
</tbody>
</table>

The above list is the target complement of equipment for your Region. It is realized that a certain time period will be required to realign your present equipment fleet to conform with the above. Therefore, future equipment requests should be submitted with the goal to achieve the above complement as soon as economically feasible.

Authorized by Engineer for Maintenance ________________________ Date _____________

(This is not a complete list)
Region Materials* Authorizations

Region ____________________________

July 1, 19__ to June 30, 19__

The approval Fiscal Year 19__ Maintenance Budget and an analysis of the approved State Force Special Authority projects for your Region for Fiscal Year 19__ provide funds for the MAXIMUM quantities of the materials listed below. It may not be necessary to use all of the amounts listed below to perform the maintenance workload in accordance with the Performance Standards.

<table>
<thead>
<tr>
<th>Material Type</th>
<th>Maintenance Amount</th>
<th>Special Authority &amp; Betterment Amount</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cover Material</td>
<td>__________</td>
<td>__________________</td>
<td>_______ Cu. Yds</td>
</tr>
<tr>
<td>Gravel for Cold Mix</td>
<td>__________</td>
<td>__________________</td>
<td>_______ Cu. Yds</td>
</tr>
<tr>
<td>Gravel, All Other</td>
<td>__________</td>
<td>__________________</td>
<td>_______ Cu. Yds</td>
</tr>
<tr>
<td>Bituminous Mix, Cold</td>
<td>__________</td>
<td>__________________</td>
<td>_______ Cu. Yds</td>
</tr>
<tr>
<td>Bituminous Mix, Hot</td>
<td>__________</td>
<td>__________________</td>
<td>_______ Cu. Yds</td>
</tr>
<tr>
<td>Liquid Asphalt, For Seal</td>
<td>__________</td>
<td>__________________</td>
<td>_______ Gal.</td>
</tr>
<tr>
<td>Liquid Asphalt, For Cold Mix</td>
<td>__________</td>
<td>__________________</td>
<td>_______ Gal.</td>
</tr>
<tr>
<td>Liquid Asphalt, All Other</td>
<td>__________</td>
<td>__________________</td>
<td>_______ Gal.</td>
</tr>
</tbody>
</table>

It is the responsibility of each Region to determine the specific kinds of material to be used within each of the above listed general material types. Consideration should be given to geographical areas, local availability of materials and the Performance Standards.

Authorized by Engineer for Maintenance ____________________________ Date __________

*Includes Selected materials only.
Establishing and Adjusting Region Maintenance Personnel, Equipment, and Materials Allocations

Responsibility: Maintenance Methods Engineer

Actions

1. Reviews the maintenance planning values (maintenance feature inventory values, maintenance quantity and productivity values, unit costs, and standard cost distributions) on the Annual Maintenance Budget Submission Manual.

2. Notifies the Comptroller by June 15 of any planning value revisions that need to be made.

Responsibility: Comptroller

3. Makes necessary revisions to the Budget Submission Form and to the Annual Maintenance Budget Submission Manual prior to budget call.

4. Issues budget call and sends the revision Form and Manual revisions to the Region Director by July 1.

Responsibility: Region Director

5. Completes the Budget Submission Form in accordance with the Annual Maintenance Budget Submission Manual.

6. Submits budget on the Budget Submission Form to the Maintenance Methods Engineer by July 15.

Responsibility: Maintenance Methods Engineer

7. Reviews Region budgets and make recommendations to the Engineer for Maintenance by August 10.

Responsibility: Engineer For Maintenance

8. Attaches requirements for capital outlay and contract services to Regions’ maintenance budget package.

9. Reviews Regions’ budget and makes recommendations to the Assistant Director by August 20.
**Responsibility:**  Assistant Director

10. Approves or adjusts total maintenance budget including capital outlay and contractual services.

**Responsibility:**  Engineer for Maintenance

11. Submits approved maintenance budget to comptroller by August 28.

**Responsibility:**  Comptroller

12. Compiles maintenance budget with the total Department of Transportation budget for submission to the Transportation Commission and Finance Department by September 10.
Note: When “Office” is shown under responsibility in this procedure the Chief Administrator for the following offices is the approving authority for AFE’s in the respective authority categories for projects which have been approved by the Transportation Commission.

<table>
<thead>
<tr>
<th>Authority Number</th>
<th>Office</th>
</tr>
</thead>
<tbody>
<tr>
<td>1000</td>
<td>Maintenance</td>
</tr>
<tr>
<td>2000</td>
<td>Aeronautics</td>
</tr>
<tr>
<td>5000</td>
<td>Planning &amp; Programming</td>
</tr>
<tr>
<td>6000</td>
<td>Planning &amp; Programming</td>
</tr>
<tr>
<td>7000</td>
<td>Planning &amp; Programming</td>
</tr>
<tr>
<td>8000</td>
<td>Maintenance</td>
</tr>
<tr>
<td>9000</td>
<td>Safety</td>
</tr>
</tbody>
</table>
The Chief Administrator for the respective office will sign all AFE’s including revisions or terminations. The signature of the Director or the Assistant Director is also required for increase in projects up to 25 percent or for new projects up to $40,000 which have not been approved by the Transportation Commission (See Policy 07-10, Programming Highway Construction Projects). Each Chief Administrator will monitor the respective categories to insure that total expenditures in that category do not exceed the budgetary limitations established for each fiscal period.
**Responsibility:** Office

**Actions**


**Responsibility:** Comptroller

2. Approves and distributes AFE. Maintains a record of all expenditures made against each authority. Publishes a current monthly report of approved amounts and expenditures to date for each authority.

**Responsibility:** Office

3. ANALYZES EACH MONTHLY REPORT AND NOTES THOSE PROJECTS WHICH ARE CRITICAL (PROJECTS WHERE EXPENDITURES ARE WITHIN APPROXIMATELY TWO MONTHS OF OVERRUNNING THE APPROVED AMOUNTS). REVIEWS WORK PROGRESS WITH REGION OR DIVISION THAT HAS PRIMARY RESPONSIBILITY FOR ACCOMPLISHING THE PROJECT. INITIATES ACTION TERMINATING THE PROJECT OR PREPARES RECOMMENDATIONS FOR INCREASING AFE. OBTAINS APPROVAL FOR INCREASES (SEE NOTE ON PAGE 1). SUBMITS PROJECT TERMINATION NOTICE OR APPROVED REVISED AFE TO COMPTROLLER FOR APPROPRIATE ACTION.

**Responsibility:** Comptroller

4. Distributes Notice of Termination or revised AFE. Prepares final accounting and retires project records in accordance with existing laws and agreements.
1000 Authority Procedure

1000 Authorities are reserved for land purchases (other than for public right-of-way and/or construction), reconstruction, remodeling or other improvements to buildings, utilizing 100 percent State funds, which meet the following criteria:

**Land Purchase:** The purchase of land for construction of buildings, parking lots, etc., other than public right-of-way.

**Building:** New construction, remodeling, enlarging or any modifications which add to the value of buildings, but excluding routine maintenance of buildings and grounds.

**Long Range Program**

**Responsibility:** Region Director or Division Head

**Actions**

1. Determines the need for additional land, building and/or modification of existing buildings.

2. Prepares long range (5 years) program of needs and estimates of costs.

3. Determines methods of accomplishment (I.E., State forces, contract, etc.).

4. Submits program to the Engineer for Maintenance.

**Responsibility:** Engineer for Maintenance

5. Reviews requests for land and/or building projects.

**Responsibility:** Maintenance Methods Engineer

6. Prepares long range cash forecast.

**Responsibility:** Engineer for Maintenance

7. Submits long range cash forecast to Assistant Director and Budget Officer.
Responsibility: Region Director or Division Head

Actions

1. Submits annual program of needs (by priority) before August 10 for the coming year, recommending method of accomplishment (i.e., State forces, contract, etc.) to the Engineer for Maintenance.

Responsibility: Engineer for Maintenance

2. Reviews program with the Assistant Director.

3. Submits recommended program to Budget Officer.

Responsibility: Budget Officer

4. Incorporates into Transportation Commission Budget and submits approved budget to Engineer for Maintenance.

Responsibility: Maintenance Methods Engineer

5. Assigns AFE number; prepares request for AFE.

Responsibility: Engineer for Maintenance

6. Signs AFE and submits it to Comptroller. Where the new or revised AFE has not been approved by the Commission, but the amounts are within the limit which may be approved by the Director or assistant Director, the AFE shall be signed by the Engineer for Maintenance and the Assistant Director or the Director.

Responsibility: Comptroller

7. Authorizes and distributes AFE according to approved distribution list.

Responsibility: Engineer for Maintenance

8. Authorizes Region/Division to proceed on State force action.

9. Writes to State Building Board asking if public hearings are necessary under the Governor’s Executive Order of July 1971 for work that is to be performed by contract.
Responsibility: State Building Board

10. Advises Engineer for Maintenance of public hearings required, if any, or that an opportunity for a public hearing be afforded.

Responsibility: Engineer for Maintenance

11. Notifies Region Director or Division Head of public hearing requirements.

Responsibility: Region Director or Division Head

12. Coordinates public hearing for location with the Chief Location Engineer and the Community Relations Division.

Responsibility: Transportation Commission

13. Conducts hearings and decides on final location and plan.

Responsibility: Region Director or Division Head

14. After approval by the commission, sends detailed topography map to Engineer for Maintenance showing recommended location of proposal building and finished floor elevation.

The plan should also show the following:

(a) Location and ownership of all existing utilities including location of lines to connect to existing utilities.

(b) Type of heat (such as natural gas, liquid petroleum, fuel oil, electric heat, etc.).

(c) Electrical power (determine if power is available from a commercial source and establish if it is single phase or three phase. If commercial source is not available, indicate the rated capacity of a generator required to supply power.

(d) Water (whether commercial or municipal source is available or well must be drilled.)

(e) Sewer (if a municipal line is available, indicate the elevation of the point where connection will be made. If no existing sewer is available for connection, show septic tank and drain field requirements including percolation test results).
Responsibility: Right-of-Way Division

15. Certifies that Department of Transportation has a use permit, fee title, lease or other conveyance for land usage.

Responsibility: Engineer for Maintenance

16. Notifies Comptroller to transfer funds for specific building to the Building Board and the Department of Finance.

Responsibility: Engineer for Maintenance
State Building Board

17. Selects the architect to design the new buildings, modifications to buildings, or plot plans as needed. (Final plans are subject to approval by the Department of Transportation.)

Responsibility: State Building Board

18. Exercises or waives option for second public hearing; advertises and conducts second public hearing, if needed.

19. Advertises for bids after hearing is completed.

20. After bids are opened, submits abstract of bids to Department of Transportation for review and rejection or approval of the bids.

Responsibility: Engineer for Maintenance

21. Notifies the Building Board of approval or rejection of bids.

Responsibility: State Building Board

22. For approved bids, awards contract and supervises construction.

Responsibility: Engineer for Maintenance

23. If any changes or change orders are deemed necessary, refers the request for changes to the project supervisor assigned by the Building Board.

Responsibility: State Building Board

24. Submits change orders to the Engineer for Maintenance for approval or disapproval.
Responsibility: Engineer for Maintenance

25. Approves or disapproves and authorizes transfer of additional funds if necessary.

Responsibility: State Building Board
Region Director or Division Head
Engineer for Maintenance

26. Conducts final inspection along with State Building Board, Region Director or Division Head.

Responsibility: Contractor

27. Upon completion of construction, furnishes the Department of Transportation (through the Building Board) “as-constructed” plans, keys, warranties, and bonds (on roofing, etc.), itemized parts list, and manufacturer’s name for equipment installed in the building.

Responsibility: Region Director or Division Head

28. After taking possession of the building, refers any deficiencies, malfunctions or failure of equipment to the Engineer for Maintenance.

Responsibility: Engineer for Maintenance

29. Coordinates with the Building Board to insure that follow-up action is taken to have the contractor make the necessary repairs.

Responsibility: Maintenance Methods Engineer

30. Reviews monthly record and notes those AFE’s that are critical (projects approaching completion or are within approximately two months of overrunning approved amount); reviews work progress with Region; makes recommendations for terminating AFE, changing scope of the project, or increasing the approved amount.

Responsibility: Region Director or Division Head

31. Submits to Engineer for Maintenance statement outlining overruns/underruns exceeding 10 percent or $500.00 authorized amount, whichever is greater, on work performed by State forces.

Responsibility: Maintenance Methods Engineer

32. Prepares Notice of Termination of AFE.
Responsibility: Engineer for Maintenance

33. Signs “Notice of Termination” and submits it to Comptroller.

Responsibility: Comptroller

34. Reviews project records and publishes notice of tentative closing date. If no requests are received to keep project open, the AFE is terminated. Prepares final accounting and retires project records in accordance with State law.

Responsibility: Region Director or Division Head
Maintenance Methods Engineer

35. Along with Maintenance Methods Engineer, maintains continuous record of expended amounts and balance of authorized amount throughout each fiscal year.

Responsibility: Engineer for Maintenance

36. Advises Controller and Assistant Director quarterly of the progress of each authority.
Maintenance Performance Standards

Effective: March 10, 1967

Purpose
Approved performance standards will serve as guides in the development of the Long-Range Maintenance Plan, Maintenance Programs, budget allocations and the state-wide application of efficient and economical maintenance methods and procedures.

To establish the procedure and assign the responsibility for the requested or required review of maintenance Performance Standards and any subsequent revision and distribution.

Policy
To assure the attainment of the desired level of maintenance; to provide uniformity throughout the State; and to give quantitative basis on which to plan and carry out the maintenance program. Performance standards will be established for:

Quality: To set the level of service and a gauge for work requirements for maintenance activities.

Quantity: To reflect the work requirement for different activities in terms of practical and significant measurements, such as cubic yards of patching, acres of mowing, etc.

Productivity: To establish methods of doing work and the productivity to be expected in terms such as: man-hours per cubic yard of patching materials, etc.
Procedures
The Review and Revision of The Maintenance Performance Standards  UDOT 06A-03.1

Responsibility:  Station Supervisor
Region Maintenance Personnel

Actions

1. Along with Region Maintenance Personnel, initiates recommendations for new or revised performance standards.

2. Along with Region Maintenance Personnel, submits these recommendations to the Region Maintenance Engineer.

Responsibility:  Region/District Operation/Maintenance Engineer

3. Reviews the recommendations and forwards them to the Maintenance Methods Engineer with a request for review and analysis.

Responsibility:  Maintenance Methods Engineer

4. Receives a request to review a particular performance standard or recognizes such a need.

5. Conducts the necessary analysis, investigations or reviews to determine the area or areas requiring revision. Consults with the Maintenance Methods Engineer as desirable.

6. Drafts revisions and presents them to the Maintenance Quality Panel.

Responsibility:  Maintenance Quality Panel

7. Reviews the draft and discusses the alternatives and/or feasibility of the proposal.

8. Submits the proposed draft with recommendations to the Engineer for Maintenance.

Responsibility:  Engineer for Maintenance

9. Reviews recommendations and approves them with desirable revisions or additions.

10. Notifies the Standards Panel and Maintenance Methods Engineer of his decision.
Responsibility: Maintenance Methods Engineer

11. Publishes and distributes approved revisions to performance standards.
Responsibility: Station Supervisor

Actions

1. Determine additions or deletions to the Highway Maintenance Feature Inventory that result from one of the following situations:
   a. Receipt of additional road responsibility due to new construction or a change in station responsibility.
   b. Notification of a change in maintenance standards which are related to the Inventory.
   c. Discovery of an error in the original Inventory.
   d. Receipt of a request for additional feature inventory or re-inventory.

2. Submit a Revision of Highway Maintenance Feature Inventory to the Region/District Maintenance Operations Analyst when additions or deletions to the Inventory are required.

Responsibility: Region/District Maintenance Operations Analyst

3. Receive revision for inventory change from Station Supervisor

4. Approves or disapproves of the revision after review.

5. Updates station inventory totals for all approved revisions in Feature Inventory System, except the following elements: 100; 110; 120; 140; 150; and 170, which are forwarded to the Feature Inventory Analyst.

6. Inform the Region/District/Maintenance Operations Engineer of the revision.

Responsibility: Feature Inventory Analyst

7. Review and save changes made by the Region/District Maintenance Operations Analysts.

8. Make changes to elements 110, 110, 120, 140, 150, and 170; entered into the feature inventory, and distributed to the users.

9. Update data processing inventory table for planning value analysis for all approved revisions.
Responsibility:  Region/District Maintenance Operations Analyst

10. Returns an updated printout of stations inventory to originating Station supervisor.
Purpose

To establish the procedure and to place responsibility for the conduct and documentation of the results of the Semi-annual (March-April and September-October) Maintenance Inspection. In general, the spring inspection is for developing work schedules, while the fall inspection is for evaluating the success of the maintenance program.

Policy

Evaluation of the performance of the maintenance function is to be conducted on a regular basis by all appropriate levels of management.

Evaluation frequency will vary depending upon the organization level as follows:

<table>
<thead>
<tr>
<th>Level</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Station Supervisor</td>
<td>Daily and bi-weekly</td>
</tr>
<tr>
<td>Region Manager</td>
<td>Bi-weekly, monthly and semi-annually</td>
</tr>
<tr>
<td>Central Office Management</td>
<td>Quarterly and annually</td>
</tr>
<tr>
<td>Commission</td>
<td>Annually</td>
</tr>
</tbody>
</table>

Evaluation will consist of an analysis of reporting system data, comparison of actual performance with performance standards, and the conduct of field inspections and observations.

Evaluation will include identification of the need for (1) increased supervision; (2) training; (3) standard review; and, (4) a determination of program progress and personnel development.

The Maintenance Performance Diagnostic Chart on the following page shall be used as a guide in the Maintenance Performance Evaluation.
Procedures
Conduct and Utilization Of The Semi-Annual Maintenance Inspection   UDOT 06A-04.1

Responsibility: Region/District Director and/or
Region/District Maintenance/Operations Engineer
Region Area Supervisor
Region Maintenance Analyst
Station Supervisor

Actions

1. Makes appointments to inspect the roads or meet with station personnel or both in each of the stations in the Region/District. It is the intent to hold two semi-annual inspections per year. During one of the inspections, all roads will be inspected as well as MMQA measures and/or other performance measures as developed by the Region/District. The other inspection can be organized to serve the Region/District’s best interests, whether that be a full road inspection or working directly with individual station crews. It is the intent that all participants wear the approved safety attire while doing these inspections to promote management’s commitment to safety.

2. Conducts an inspection for purposes of:

(a) Identifying Region Authorized Maintenance Activities for the coming six months.

(b) Identifying Special Authority (Betterments and Block Grants) request projects or making plans for performance of approved Special Authority projects.

(c) Verify and update roads to be included in the maintenance preservation strategy to include paint needs and timing.

(d) Perform at least three MMQA measurements at each station during the inspection.

(e) Evaluating the accomplishments of the preceding six month period and the quality of the routine maintenance work.

(f) Identify Contractual Maintenance Projects.
**Responsibility:** Region/District Maintenance Analysts

3. Completes the Semi-Annual Inspection report indicating the specific activities or projects authorized by the Region to be completed during the coming six month period.

4. Distributes one copy of the Inspection Report to the Station Supervisor, retains one copy at the Region office, and submits one copy to the Engineer for Maintenance.

**Responsibility:** Area Supervisor  
Station Supervisor

5. Refers to Inspection Report during the development of plans and schedules.

**Responsibility:** Region Maintenance Analyst

6. Responsible for compiling specific items and generating a detailed report and individual assignments.
SEMI-ANNUAL INSPECTION
Report

INFORMATION TO BE REPORTED DURING THE SEMI-ANNUAL INSPECTION

The following information should be reported on each inspection summary sheet:

- Date of Inspection
- Team Membership
- Station Identification
- State Route,
- For each deficiency,
  - Location, Beginning and Ending Reference point
  - Description of the Problem (7D07, 7S69, etc...)
  - Assignment (person by their code number)
  - Date identified (month/Year)
  - Completion Date
  - Comments

Station (Yard and Building) Checklist

YARD
1. Sign Storage
2. Salvage Material Storage
3. Stock Piles
4. General Appearance
5. Outside Inventory

OPEN SHED
1. Appearance
2. Gas Dispensing Island
3. Storage of Inventory

MAIN STATION
1. General Appearance
2. Tool Storage
3. Stock Room
4. Rest Room
5. Oil Storage
6. First Aid Kit(s)
7. Fire Extinguisher(s)
8. Electrical
9. Heating
10. Painting
11. Plumbing
12. Bulletin Board
   a. Current Department Directives
   b. Work Schedules
   c. EEO Posters
      1. EEO is The Law poster
      2. Notice Americans with Disabilities Act poster
      3. Representatives for EEO poster
   d. Safety Information
      1. RCRA Emergency/Contingency Plan sheet
      2. OSHA - Safety and Health Protection On The Job poster

13. Tool Box Meeting Minutes

EQUIPMENT
1. Visual operating appearance of the equipment
2. Cleanliness
3. Equipment Jacket up to date

ROADWAY CHECKLIST

1. Drainage
2. Surface
3. Delineators
4. Signing
5. Painting (striping)
6. Litter
7. Vegetation
8. Fence
9. Mowing
10. Shoulders
11. Roadside Appurtenance

MMQA Check List
Purpose
To establish the procedure for originating, processing and disposition of the Operations Management System source document.

To establish the procedure for requesting and receiving highway maintenance cost data.

To establish the procedure for additions to, deletions from, or changes in the maintenance activities as they are defined in the Maintenance Handbook.

Policy
The Operations Management System has been established to provide information for purposes of performance evaluation, and the development of a work program and budget. Report data will be made available to Operation Management personnel at all levels, from Commission to Station Supervisor, in a form best designed to serve their needs.

Reports to field operating personnel will be used as guides to improving the performance of Station and Special Crew Supervisors.

Reports will be provided to management for purposes of overall Region performance evaluation, activity standards review, planning value analysis and cost evaluation.
Responsibility: Station or Special Crew Supervisor

Actions

1. Prepare Work Orders for a two-week period.

Responsibility: Area Supervisor

2. Reviews stations Work Orders using the OMS. Provides feedback and guidance if needed.

Responsibility: Station or Special Crew Supervisor

4. Make Work Orders available to station personnel.

5. Prepares Day Cards for each activity completed using prepared Work Orders.

Responsibility: Analyst and Area Supervisor

6. Reviews a sample of Work Orders for:

   (a) Accuracy of reporting, insuring that the correct activity number was used for the operation performed.

   (b) Completeness, insuring that all resources used in the operation were properly reported, including accomplishments.

Responsibility: Region Accounting

7. Ensures all payroll data is entered accurately and works with analyst to contact station supervisors with any discrepancies and corrects data as needed.

8. Ensures all Service Manager information is checked for completeness and accuracy.

Responsibility: Deputy Engineer for Maintenance

9. Spot Checks Work Order information for accuracy and completeness.
Obtaining Maintenance Cost Data

Responsibility: Originator

Actions

1. Submits a request for maintenance cost information to the Engineer for Maintenance that specifically defines the scope and detail of the required cost data.

Responsibility: Engineer for Maintenance

2. Reviews the request with the Maintenance Methods Engineer to determine whether:
   
   (a) The request data is currently available through the Operations Management System, or
   
   (b) The requested data requires collection by means other than currently utilized.

Responsibility: Maintenance Methods Engineer

3. If data is currently available, transmits it to the requestor and notifies Engineer for Maintenance of transmittal.

4. Examines the request from the standpoint of degree of accuracy required, terms of collection, and amount and degree of documentation required.

5. Evaluates alternate methods of providing the requested data to include consideration of the following:
   
   a. Cost synthesis utilizing the performance standards and planning values.
   
   b. Development of a specialized and/or temporary computer program to retrieve the desired information.

6. Selects the desired alternate to obtain the requested data.

7. Transmits the data to the requester and informs Engineer for Maintenance of data transmittal.
Changing Maintenance Activity Standards Definitions

**Responsibility:** Maintenance Methods Engineer

**Actions**

1. Evaluates the needs for revision from the present Activity Standards definitions. This need could be in the form of:
   a. Discovery of a need for more or less detailed information.
   b. Maintaining the objective of reporting purity within the maintenance system.
   c. The receipt of a request for special information not contained in or isolated by present Activity Standard definitions.

2. Submits recommendations to the Engineer for Maintenance.

**Responsibility:** Engineer for Maintenance

3. Evaluates the recommendation of the Maintenance Methods Engineer.

4. Takes appropriate actions by either directing that the changes be made or disapproving the recommendation.

5. Notifies Maintenance Methods Engineer of decision.

**Responsibility:** Maintenance Methods Engineer

6. Upon receipt of Engineer for Maintenance’s decision, takes appropriate action and notifies the following:
   a. Originator
   b. Comptroller (if it affects accounting procedure)
   c. Region Director
   d. District Engineer
   e. Business Analyst
   f. Region Maintenance Analysts
Purpose

To train and certify drivers/operators of Utah Department of Transportation (Department) equipment. Training and testing qualification examinations will be administered for all employees who drive/operate State vehicles and equipment that requires a Commercial Drivers License (CDL).

Policy

Training and testing will be administered by the Maintenance Division of the Department to certify each employee’s ability to operate State vehicles or equipment. Every Transportation Technician I, II, III, Roadway Operations Coordinator, and Roadway Operations Manager I, II who drives or operates (26,001 pound or greater) vehicles are required to certify by:

1. Possessing a valid Class “A” Commercial Drivers License (CDL) with the “N” Endorsement.

2. A CDL Class “A” with an “N” Endorsement and “K” Restriction is acceptable for employees under the age of 21.

3. Receiving a passing grade on the Department’s driver/operator written examination on equipment including safety aspects. Hands-on driving/operating performance is required.

A Class “B” CDL with the “N” Endorsement is acceptable for Department employees who are not Transportation Technicians I, II, III, Roadway Operations Coordinators, or Roadway Operations Managers I, II, including employees under 21 years old, who operate snow equipment only. These employees are ONLY to operate snow plan equipment, but may not operate such equipment with a Tow Plow or with any other towed equipment exceeding 10,000 pounds GVWR. Maintenance employees who operate heavy vehicles beyond snowplows are still required to have a Class “A” CDL and an “N” endorsement.
CERTIFICATION OF VEHICLE/DRIVER OPERATOR

Employees who operate other equipment weighing less than 26,001 pounds, such as, but not limited to, rollers, farm tractors, mowers, or loaders, are required to certify by:

1. Having a valid Utah Operators Drivers License.

2. Receiving a passing grade on the Department’s driver/operator written examination on equipment including safety aspects. (Hands-on driving/operating performance is required on some equipment.)

3. Meeting Department health requirements as follows:

   Equipment Operators - Physical requirements for personnel who may be required to operate heavy equipment, (except Equipment Codes 06, 19 and Code 1, Class 01 of current equipment classification are the same as that required in the Federal Motor Carrier Safety Regulations 391.41).

   Physical Examinations - Employment of individuals into the classification of Transportation Technicians I, II, III, Roadway Operations Managers I, II, or Equipment Operators will be conditioned upon the results of a medical examination performed in accordance with the Federal Motor Carrier Safety Regulations 391.43.

   The medical examination and certificate must be performed and completed by a medical examiner listed on the National Registry of Certified Medical Examiners (Federal Motor Carrier Safety Regulation 391.43). The cost of the examination will be reimbursed in accordance with Department Policy 05-51 (Professional Certification Fees).

   Physical Examinations for personnel operating heavy equipment may be required at the discretion of the Department, in addition to those required by the Federal Motor Carrier Safety Administration.

   Whenever an employee does not meet the physical requirements of his/her job:

   a. The person must be removed from the job.

   b. Consideration may be given to transferring to another available position within the Department where the employee could meet the physical requirements and the minimum specifications of the job.

   c. Action will be taken to terminate the employee if no other position is available in the Department.
Other classifications may be designated where the incumbent is required to operate heavy equipment.

All employees who operate Department vehicles, such as, but not limited to, Code 06 or 19 and small trucks Code 02-01 and 01-10 which have gross vehicle weight of less than 26,000 pounds, are required to have a valid Utah Operators License.

**LICENSE REVOCATION OR SUSPENSION**

The employee will report in writing within 24 hours to his or her supervisor if his or her license (either CDL or UODL) is revoked or suspended for any reason. The supervisor will convey this information within 24 hours to the Region Safety Manager (if the employee’s home unit is in a region) or to the UDOT Risk Manager at UDOT Headquarters (if the employee’s home unit is at Headquarters). Additionally, if the employee’s job duties require a CDL, the supervisor will report the suspension or revocation to the Maintenance Operations Manager or Equipment Safety Trainer in the Division of Maintenance at UDOT Headquarters. Any employee whose job duties require a CDL whose license is revoked or suspended due to negligence or unlawful acts may face disciplinary action up to termination. Failure of the employee to promptly report the revocation or suspension of his or her license may be cause for dismissal. Operating State vehicles or licensed equipment is not allowed until the license is again valid.

**Definitions**

**Heavy equipment**

All equipment except Equipment Codes 06, 19, and Code 01-Class 01 of the current equipment classification.

**Heavy vehicle**

A single vehicle or combination with a Gross Vehicle Weight Rating (GVWR) of 26,001 pounds or greater.
Responsibility: Maintenance Operations Manager and Equipment Safety Trainer

Actions

1. Coordinate training and testing of all employees in the Department who drive/operate heavy equipment.

Responsibility: Region Trainers

2. Develop and conduct testing of all drivers/operators. Verify that each has a CDL with an “N” Endorsement and received a passing grade on the Department examination for equipment being operated.

Responsibility: UDOT Risk Management

3. Receive and record a copy of the Medical Examiner's Certificate.

Responsibility: Maintenance Operations Manager and Equipment Safety Trainer

4. Assists the Director of Maintenance in developing and updating training material.

Responsibility: Region Trainers

5. Evaluate test results and issue certifications.

6. Place copies of certification in personnel files.

Responsibility: Equipment Safety Trainer

7. Place copies of certification in personnel files.

Responsibility: Region Trainers

8. Keep up-to-date files of certified equipment drivers/operators and inform District Engineer of need for re-certification.
Purpose
To establish a procedure for obtaining approval of specialized maintenance equipment purchases.

Policy
An Equipment Advisory Committee is established to:

1. Act as an advisory committee to the Maintenance Policy Committee and all other Department units concerning problems relative to equipment purchasing, disposition, operation and care.

2. To evaluate all recommendations submitted to the Committee concerning equipment specifications and application problems.

3. To evaluate the Department’s equipment preventive maintenance program to insure that such program is adequate to accomplish established goals.

4. To determine areas where operator and mechanic training is needed and provide technical assistance in developing these training programs.

5. To review and recommend appropriate rental rates, life expectancies and utilization standards.

The Committee is composed of:

- Equipment Operations Manager - Chairman
- Equipment Analyst - Secretary
- Equipment Specialist
- Central Divisions Representative
- Two District Maintenance Engineers/Supervisors
- Four District Representatives
- Cost Rate Accountant
- Maintenance Operations Engineer - Advisor
- Maintenance Data Processing Coordinator - Advisor

The District Maintenance Engineer/Supervisors shall be appointed by the Operations Engineer to serve for a period of two years.
The four district representatives shall consist of representatives from the four districts not already represented by the Maintenance Engineers/Supervisors. These committee members shall be appointed by the Equipment Operations Manager to serve for a period of two years.

The Central Divisions representatives shall be appointed by the Operations Engineer, and will serve for a two year term.
Procedures
Obtaining Approval of Specialized Maintenance Equipment Purchases  UDOT 06A-20.1

Responsibility:  Equipment Operations Manager

Actions

1. Continuously evaluates specialized equipment requirements and purchase requests.
2. Submits requirements and requests to the Equipment Advisory Committee.

Responsibility:  Equipment Advisory Committee

3. Reviews and evaluates requirements and requests presented by the Equipment Operations Manager.
4. Evaluates requirements presented by the Maintenance Standards Panel.
5. Presents recommendations to the Maintenance Standards Panel.

Responsibility:  Maintenance Standards Panel

6. Reviews and evaluates recommendations.
7. Presents recommendations to the Operations Engineer.

Responsibility:  Engineer for Maintenance

8. Reviews and evaluates recommendations.
9. Makes decisions and takes appropriate action.
Collection for Damage to Highways

Purpose
To ensure a uniform policy for collection of costs associated with crashes and incidents on roads according to State Code Sections 41-6a-409 and 72-7-301, and Utah Administrative Code R907-63 for the Utah Department of Transportation (Department).

Policy
The Department has statutory authority to provide traffic control at incident sites and to repair all damage to the roadway and appurtenances associated with the incident.

The Department may not impose a flat fee, or collect a flat fee, from an individual involved in a motor vehicle crash. The Department may, however, recover its costs associated with the crash or incident, according to this Policy and R907-63 and Utah Code Sections 41-6a-409 and 72-7-301.

The Department has Incident Management Teams (IMT) in the urban areas along the Wasatch Front patrolling the roadways to assist motorists and provide traffic control during incidents. They have a limited amount of traffic control devices in their vehicles to direct traffic around the incident. The IMTs have regular schedules to patrol the roadways during the highest traffic volume time periods. The Department is not budgeted to pay the IMT employees for unscheduled or overtime hours worked. Traffic control assistance is provided by local maintenance station personnel in rural areas. Department maintenance forces are not budgeted for incident response. The Department will bill for the time of the maintenance forces.

It is the Department's intent to secure full recovery from the responsible parties based on the full actual cost of such repairs to the structure or highway and appurtenances damaged, including all costs associated with or resulting from an occurrence. The Department may at its discretion elect to accept settlement based on detailed engineering estimates and any costs associated with or resulting from the incident or crash when it deems it is in the best interest of the motoring public and taxpayer to delay or forgo repairs to the structure or highway and appurtenances.

The Department may allow installment payments in cases where payment in full would cause the responsible party substantial financial hardship and no insurance is available, if the responsible party makes timely payments.
Purpose
To establish a reward system for usable information concerning vandalism to Department property.

Policy
The Utah Department of Transportation hereby offers the sum of Two Hundred Dollars ($200.00) to the first person giving information, under oath, leading to the apprehension in each instance of any person or persons found willfully destroying or damaging signs, highway improvements or other property of the Department of Transportation and resulting in the conviction of said person or persons and/or recovery to the State of compensation for the damage done.

This offer is not made to law enforcement personnel or employees of the Department of Transportation while in the regular course of their employment.
Work Done By The Department Of Transportation For Counties, Cities, Or Other Governmental Agencies  
UDOT 06A-41  
Effective:  February 3, 1969          Revised:  February 6, 2014

Purpose
To establish the procedure and to place responsibility for authorizing the performance of work by Utah Department of Transportation (Department) forces or the furnishing of materials to other governmental agencies through an interlocal cooperative agreement.

Policy
Work may be done by the Department for other governmental agencies provided the requesting agency can demonstrate that engaging the Department for the work will be more beneficial to the traveling public than performing the work with its own forces or engaging a private contractor. Generally, it is expected that such work activities will be small in scope, and limited to the kinds of activities that are not commonly performed by private contractors. The work may not interfere with Department work schedules or operation.
Responsibility: Requesting Party

Actions

1. Contact the Region Director explaining the need for and the reasons why the work is not advertised for a private contract or materials purchased from a private firm. The justification should include a statement quantifying the benefit the traveling public would receive if the Department were to perform the work and/or supply the materials.

Responsibility: Region Director and Staff

2. Determine if Region forces can do the work without interfering with their own operations or hindering their schedules and if the State can provide the requested materials.

3. Prepare Interlocal Cooperative Agreement (six copies) specifying:
   - the duration of the agreement,
   - its purpose,
   - the manner of financing the undertaking,
   - terms establishing the budget,
   - terms for terminating the agreement, and
   - any other necessary and proper matters.

4. Submit the agreement to the assigned Assistant Attorney General for review as to proper form and compliance with applicable law.

5. Obtain the notarized signature of the person having authority to enter into the agreement for the agency requesting the work.

Responsibility: Region Director

6. Approve the agreement as authorized by the Executive Director.
Responsibility: Region Director and Staff

7. Distribute the Work Agreement as follows: (Requires original signatures)
   - One copy for Region Files
   - One copy for party requesting work
   - One copy to the supervisor performing the work
   - One copy to Central Files
   - One copy to Comptroller
   - One copy to Director of Maintenance

Responsibility: Region Accounting Office

8. Prepare and submit Accounts Receivable Invoice.

9. Send bill to the party for whom the work was done for collection.
Purpose
To furnish the Utah Department of Transportation (Department) maintenance stations with directions to provide reasonable levels of service to the public throughout the state during a typical winter storm event. The maintenance stations will provide normal services as soon as available resources permit during unusual or extreme winter conditions.

Actual plow routes and equipment assignments are determined by the District Engineers using the winter storm maintenance standards. Anti-icing strategies may be developed and implemented using available road weather information systems (RWIS) and weather forecasts, in combination with accepted anti-icing techniques.

Policy
The Department provides an appropriate level of service on state routes based on available resources, roadway functional classification (maps available for viewing at http://www.udot.utah.gov/main/f?p=100:pg:::V,T:::V,T::1224), importance to emergency services, importance to school bus routes, and importance to commerce. Each road is assigned a priority based on these factors. The primary objective is to keep at least one travel lane in each direction open to traffic and to provide intermittently a bare pavement as soon as practical. Exceptions may be when blizzard, avalanche, or other severe forms of weather make conditions such that maintenance and motor vehicle operators cannot reasonably negotiate the roadway. Intermittent bare pavement is the condition that would correspond to a Level of Maintenance of A- in the Department’s Maintenance Management Quality Assurance Plus (MMQA+) program.

Each maintenance station operates under a Snow Plan devised under the direction of the District Engineer that is designed to keep at least one travel lane in each direction open during a storm where snow accumulates on the road at the rate of one inch per hour or less. Snowfighting resources will be moved from lower priority routes to higher priority routes when the rate of precipitation exceeds that design rate.

The hierarchy of resource allocation will be as follows during heavy storm events:

1. Maintain at least one lane in each direction open on Priority 1 routes.
2. Maintain one lane in each direction open on Priority 2 routes
3. Open a second lane in each direction on Priority 1 routes
4. Maintain one lane in each direction open on Priority 3 routes
5. Open remaining lanes on Priority 1 routes
6. Open remaining lanes on Priority 2 routes
7. Open remaining lanes on Priority 3 routes
8. Achieve intermittent bare pavement on Priority 1 routes
9. Achieve intermittent bare pavement on Priority 2 routes
10. Achieve intermittent bare pavement on Priority 3 routes
11. Remove snow accumulated against bridge parapets on Priority 1, 2, and 3 routes so that the depth of the accumulated snow is less than half the height of the bridge parapet.
12. Maintain one lane in each direction open on Priority 4 routes

**Priority 1**
Typical Affected Roadways: Routes functionally classified as principal arterial including interstate highways and primary routes to hospitals.

**Priority 2**
Typical Affected Roadways: Routes functionally classified as minor arterial (urban or rural), school bus routes, and state routes to for-profit winter recreation areas determined eligible for snow removal services through the process outlined in Administrative Rule R918-3.

**Priority 3**
Typical Affected Roadways: Routes functionally classified as urban collector and rural major collector.

**Priority 4**
These roadways and parking lots may be closed for extended periods of time until resources are available to clear the roadway. Winter maintenance operations will be conducted during regularly scheduled work hours and as resources are available.

Affected Roadways: Routes functionally classified as rural minor collector, urban local, or rural local; parking lots; turnouts; shoulders, guard rails, gore areas and remaining snow against bridge parapet structures on Priority 1, 2, and 3 routes; and access roads to State Parks that are primarily for summer use.
**Priority 5**

**Seasonal Roads**
These roads will be closed in the fall when snow depth requires closure and will not be reopened until spring weather conditions permit. Appropriate signing, closed gates, and public notification will be accomplished.

Typical Affected Roadways: Roadways that because of their non-critical access nature are closed to traffic during the winter months including:

- SR-35 Wolf Creek Pass – Francis to Hanna, mp 12.44 to 27.51
- SR-39 Monte Cristo – East of Ogden, mp 36.86 to 55.40
- SR-65 East Canyon – Northeast of Salt Lake City, mp 3.11 to 13.47
- SR-92 American Fork Canyon/Alpine Loop, mp 12.63 to 22.40
- SR-148 Cedar Breaks – East of Cedar City, mp 0.15 to end
- SR-150 Mirror Lake Highway – East of Kamas to Bear River Lodge, mp 14.70 to 48.63
- SR-153 Mount Holly Junction – East of Beaver, mp 21.29 to 39.55
- SR-190 Guardsman Pass – Brighton to Park City, mp 17.71 to end
- SR-224 Wasatch County Line to Deer Valley, mp 0.00 to 1.11

**Additional Information**

The removal of snow by State forces, except in emergencies, is confined to the limits of the highway right-of-way. The removal of the normal snowfall and windrows of plowed snow on private road approaches and driveways, both on and off the highway right-of-way, is the responsibility of the property owner. The property owner will not push or pile the snow onto the State right-of-way when clearing these approaches.

The normal parking areas adjacent to the travel lanes may be used for snow storage by State forces within towns and where curb and gutter exist. It is the responsibility of the city, county, or the adjacent property owner to remove this snow. The Department will not haul snow off the highway except on structures and in canyons where removal of the snow by other means is impractical. Snow removal services will not be provided for the following except where provided through written agreement with the Department:

1. Sidewalks
2. Overhead crosswalk structures
3. Walkways attached to structures
4. Driveways
5. Parking lots
6. Roads not on the State System
7. Overhead vehicular structures not on the State System

Snow removal service may be limited to daylight hours only for certain route sections due to concerns for the safety of snow plow operators and other road users. The following list of such route sections may be amended as needed at the discretion of the Region Director:

Region 1
SR-158 – Powder Mountain Road, mp 7.03 to 11.69
SR-226 – Snow Basin Road, mp 0 to 3.00
SR-243 – Beaver Mountain Road mp 0 to 1.40

Region 2
SR-65 – East Canyon, when not closed for winter, mp 2 to 8.34
SR-65, mp 21.77 to 28.32
SR-86, mp 0 to 2.14
SR-150 – Mirror Lake Highway, when not closed for winter, mp 14.70 to 54.74
SR-190 – Big Cottonwood Canyon, mp 1.95 to 17.71
SR-210 – Little Cottonwood Canyon, mp 3.86 to 13.62
SR-224 – Ontario Canyon, mp 1.11 to 4.65
SR-302 – Rockport Reservoir, mp 0 to 3.45

Region 3
none

Region 4
SR-14, mp 0.55 to 22.83
SR-25 mp 0 to 10
SR-29 – Straight Canyon, mp 0 to 14
SR-57 – former Wilberg Mine road, mp 6.58 to 10.69
SR-72, mp 6.96 to 35.36
SR-124 – Horse Canyon toward Sunnyside, mp 0 to 5
SR-143, mp 16.20 to 27.72
SR-148, mp 0.15 to 2.54 when not closed for winter
SR-153, mp 3.29 to 26.88 when not closed for winter

Vehicles parked or abandoned in a way that interferes with snow removal operations are subject to immediate removal. The Utah Highway Patrol or sheriff’s offices may be contacted for removal or in extreme emergencies pursuant to Utah Code Section 72-7-105, the Department may remove or order the removal of any vehicles, trailers, or other installations that interfere with snow removal operations. Owners assume all risk of damage for vehicles abandoned or parked outside designated parking facilities.
Purpose
To establish a procedure for using volunteer groups for litter pickup.

Policy
Region Directors may authorize volunteer groups to engage in litter pick-up along State controlled roads and highways. The Utah Department of Transportation (Department) considers participants to be covered under the Volunteer Government Workers Act (Utah Code §§ 67-20-1-8) while engaged in this activity. The Department will administer all approvals through the Region Directors and their authorized representatives to facilitate efficient administration of this program.

Background
In order to provide additional resources to increase Department litter control effort at a minimum cost, and to provide service opportunities for local businesses and community groups, the Department administers an Adopt-a-Highway program. This program is codified under Administrative Rule R918-4.
Responsibility: Executive Director

Actions

1. Delegate authority to contract with volunteer groups to Region Directors and their authorized representatives.

Responsibility: Director of Asset, Maintenance, and Facilities Management

2. Provide and maintain an “Adopt-a-Highway Application and Contractual Agreement” (Agreement) that is accessible through the Department website. This agreement must include, at a minimum, the following:
   a. Volunteer group name and contact information
   b. Section of highway to be adopted
   c. Agreement terms
   d. Safety rules
   e. Group representative’s name and signature
   f. Department Region representative name and signature
   g. Department Human Resources Director name and signature

3. Provide and maintain an Adopt-a-Highway map or resource that provides a visual statewide overview of highway segments and their associated information and adoption status that is accessible through the Department website.
   a. Allow online public access to view highway segment information and adoption status.
   b. Allow online access to Region Directors and their authorized representatives to view and update highway segment information and adoption status.

Responsibility: Region Director or designee

4. Regularly update the Region’s Adopt-a-Highway segment information and adoption status using the online statewide map or resource.

5. Contract with new volunteer groups and renew contracts of existing volunteer groups using the current Agreement accessible through the Department website.

6. Distribute agreement for signatures.
Responsibility: Department Director of Human Resources or designee

7. Sign Agreement.

Responsibility: Region Director or designee

8. Distribute final Agreement.

9. Verify that the Department and any participating volunteer groups comply with the terms outlined in the Agreement.

Responsibility: Maintenance Station Supervisor

10. Understand all Agreement terms and safety rules.

11. Review Agreement safety rules with volunteer groups prior to their providing any volunteer services.

12. Supply volunteer groups with safety vests, trash bags, training and other support.

13. Report work performed by volunteer groups, and any concerns regarding volunteer groups, to the Region Director or designee.
Hand Tools for Trades and Crafts  
UDOT 06A-46  
Effective: February 24, 1984  
Revised: February 04, 2020

**Purpose**

To establish an increase in the tool allowance at the Utah Department of Transportation (Department) and to set standards to obtain and define mechanic levels. To compensate those who obtain a higher tool inventory that increases job performance. To set forth a procedure to guide supervisors in performing job evaluations. The administration and management of this program rests with the Division or Region involved.

**Policy**

To provide uniformity throughout the Department and to establish a minimum listing of hand tools to be provided by individuals hired into mechanic positions. To provide a fair and equitable tool allowance for maintaining and upgrading hand tools where appropriate and required. To provide guidance for replacement of tools lost, worn, or damaged. The following guidelines are established as a policy of the Department. Performance Evaluations should be used to reflect proper usage of this policy. This policy is to be reviewed every two years to evaluate possible increases in reimbursement amounts.

1. **Hand tool listing for mechanics.**

   Each Region or Division will consider the individual duties of each position and determine the tools necessary.

   **Tool List I and II**

   All hand tools related to the basic mechanic tool sets are as follows within the two tool lists. Other tools may be required but because mechanics usually specialize in a particular area of equipment repairs it is impossible to list the exact tools needed. Mechanics must maintain at least the minimum on each list to qualify for said allowances. The determined tool levels will be identified on Attachment 1, Tool Allowance Request/Authorization form.

   **Tool List I**

   Eligible employees will have all the tools listed on Tool I List. These employees may be eligible for $33.00 per pay period. Refer to tool lists below.
Tool List II

Eligible employees will have all the tools listed on list I and list II. These employees may be eligible for $45.00 per pay period. Refer to tool lists below.

2. Certain job duties may require substitutions or allowances from the required tool lists. Supervisor will verify the required tool level for each employee and the need, if any, to substitute tools based on duties. These substitutions must be approved by the mechanic’s supervisor.

3. The Department will not be responsible for the replacement of any hand tools due to loss, wear, or breakage in excess of the tool allowance except when the loss results from fire or a reportable crime on or involving Department property.

4. The Department will provide the employee 85 percent of the replacement cost of all tools lost based on a certified inventory kept in the Region or Division file in cases where the loss warrants replacement.

5. The Region or Division will administer and manage this program through the Equipment Operations Manager.
Tool List I

Tools may be substituted by Supervisor’s discretion only.

¼ Inch Drive Tools
¼ inch ratchet handle
9 piece socket set $\frac{3}{16}$ inch to $\frac{1}{2}$ inch
10 piece socket set 4mm to 13mm
Extensions 3 inch and 6 inch

¾ Inch Drive Tools
8 piece regular sockets set $\frac{3}{8}$ to $\frac{13}{16}$ inch
8 piece regular deep socket $\frac{3}{8}$ to $\frac{13}{16}$ inch
11 piece socket set 9mm to 19mm
11 piece deep socket set 9mm to 19mm
¾ inch ratchet handle
¾ inch universal joint
Extensions 3 inch and 6 inch
Allen socket set $\frac{5}{32}$ to $\frac{3}{8}$ inch
Allen socket set 4mm to 10mm
Spark plug socket $\frac{5}{8}$ inch
Spark plug socket $\frac{13}{16}$ inch
7 piece Torx bit set from T15 to T50

½ inch drive
Shallow depth sockets set $\frac{3}{8}$ inch to 1¼ inch
Deep socket set $\frac{7}{16}$ inch to 1½
Socket set 9mm to 24mm
½ inch universal joint
Extensions 6 inch and 10 inch
½ inch ratchet handle
Flex T handle (breaker bar)

Wrenches
Combination end wrench set ¼ to 1¼ inch
Combination end wrench set 7mm to 24mm
4 piece flare nut wrench set $\frac{3}{8}$ to $\frac{7}{8}$ inch
Combination ignition wrench set $\frac{5}{32}$ to $\frac{7}{16}$ inch
Combination ignition wrench set 4mm to 11mm
Adjustable 4 and 6 inch crescent wrench
Joint pliers 8 inch
Locking pliers 8 inch Vise Grip
Brake pliers
Wire striper/crimp tool
**Screw Drivers**
8 piece screw driver set slotted and Phillips
7 piece nut driver set standard

**Pliers**
Water pump pliers 10 inch
Diagonal cut 7 inch
Needle nose pliers 6 inch

**Hammers**
Hammer - 12oz ball pein
Hammer- over one pound (24oz)
Dead blow hammer

**Miscellaneous Tools**
Feeler gauges from .0015 to .025 inch
Roll pins punch set
Punch and chisel set
Wire brush
Hack saw
Adjustable wrench 8 inch
Flashlight
Cotter key puller
Seal puller
Tin snips
Oil filter wrench
Gasket scraper
Scissor
Brass drift
Pipe wrench 8 inch
Battery terminal cleaner
3 piece pry bars set
Air blower
Adjustable wrench 12 inch
File set
Tool box large enough to hold tools listed
Test light
Mirror
Magnet
¼ Inch Drive
Flex socket \( \frac{3}{16} \) to \( \frac{9}{16} \) inch
Flex socket set 5mm to 14mm
¼ to ⅜ inch socket adaptor
Flex joint ratchet
Flex handle
Extension bar 1½ and 3 inch
Screw driver hand ¼ inch

⅜ Inch Drive
Offset handle ratchet
Socket extensions 1½ to 10 inch
Socket adaptor ⅜ to ¼ inch and ⅜ to ½ inch
⅜ inch flex handle
⅜ inch flex spark plug socket
\( \frac{13}{16} \) inch flex spark plug socket
Standard set impact socket ⅜ to \( \frac{13}{16} \) inch
Deep set impact socket ¾ to \( \frac{13}{16} \) inch
Metric set impact 9mm to 21mm
Allen socket set \( \frac{5}{32} \) to ⅜ inch
Torx head socket set T15 to T50
⅜ inch air ratchet
Torque wrench 150 lb.
Socket adaptor ½ to ⅜ inch and ½ to ¾ inch
½ inch drive speed bar or ¾ inch
Square socket set ¾ to ⅞ inch
Metric deep socket set 13mm to 24mm

½ Inch Drive
Impact socket set \( \frac{7}{16} \) to 1⅛ inch
Impact deep set ½ to 1⅛ inch
Extension bar 2, 3, and 12 inch
Impact universal joint
½ inch air gun
Stubby slotted and Phillips set
Metric nut driver set
**Hammer**
Dead blow 2 lb.
8 oz ball pein
Plastic tip 6 oz
Brass 2 lb.

**Screw Driver**
Offset slotted
Offset Phillips

**Wrenches**
Standard box straight long ¼ to 1 inch
Metric flare nut set 9mm to 21mm
Adjustable 8, 10, and 12 inch
Crow foot set ⅜ to 1 inch
Ratchet wrench set ¼ to ⅜ inch
Pipe 10 and 14 inch

**Pliers**
Lineman
Water pump 6 inch
Locking 6 and 10 inch vise grip
Needle nose, bent 4½ inch
Snap ring adjustable inside outside
Tool List II

To include all tools listed in Tool List I list. Tools may be substituted by Supervisor’s discretion only.

18 and 24 inch pipe wrench
Flare tubing and cutter set
18 and 24 inch adjustable wrench
Box wrench set ¼ thru ¾ inch
4 piece long chisel set
Long box wrench set ¼ thru ¾ inch
Chain wrench
Gear puller set
¾ inch socket set ⅝ thru 2 inch
Utility Knife
Wrench set 1¼ thru 2 inch
Electricians knife
Stubby wrench set ⅜ thru ¾ inch
Hose cutters
¾ inch torque wrench (inch lbs)
Brake tool set
4 inch side cutters and needle nose pliers
Volt/Ohm meter
Alignment bar set
Flex pick-up stools (magnetic and finger)
Ball end hex key sets standard and metric
Pop rivet tool
½ inch drive 20 inch extension
Ratcheting box end wrench set ¼ thru ¾ inch
¾ inch drive 20 inch extension
Hand impact driver
3 piece stubby ratchet set
Hook and pick set
Tap and die set
Multi tubing bender set
Snap ring plier set
Drill index set 1/16 thru ½ inch in 32nds
Easy out set
0-6 inch dial or Vernier caliper
6 inch C clamp
Stud remover ½ inch
Gasket punch set
¾ inch set of sockets
Letter and number stamp set
¾ inch ratchet head with handle
Sledge hammer (over 4 lb.)
Extension set 10 to 21 inch
Dead blow hammer (over 3 lb)
¾ inch air gun
Mechanics stethoscope
½ inch reversible air drill
Starter (moon) wrench set
Air hammer/Chisel with bits
Metric flare nut wrench set
⅜ inch impact
Die grinder
Multi meters, scanners
⅜ inch butterfly impact
Micrometers, set of 4
Cummins special tools to run overhead
¾ inch drive torque wrench
**Responsibility:** Employee

**Actions**

1. Complete tool inventory and submit inventory to immediate supervisor. This inventory must be specific and include manufacturer of each tool or set.

2. Maintains 100 percent of the tool inventory on the job site.

**Responsibility:** Immediate Supervisor

3. Verify the need for the requested tool list level of each employee.


5. Maintain file of tool inventories.


7. Verify that the following conditions are met:
   a. The tools that are inventoried by the employee are necessary for his or her duties.
   b. The appropriate tools are on site and available for use.

8. Notify Equipment Operations Manager if any of these conditions are not met during the fiscal year.

**Responsibility:** Equipment Operations Manager


10. Approve request and forward to Equipment Operations Accounting Technician.
11. Verify tool inventory during yearly shop inspection.

12. Report annually to the Operations Engineer the number of mechanics in each level of tool lists.

**Responsibility:** Equipment Operations Accounting Technician


14. Verify information on request is correct (Employee ID, Effective Date, Unit).

15. Forward a copy to Comptroller’s Office.

**Responsibility:** Comptroller’s Office

16. Receive approved tool allowance requests and processes payroll documents so that the allowance is added to the employee’s paycheck for each pay period they are eligible.
Attachment 1 – Tool Allowance Request/Authorization

PAYROLL

Tool Allowance Request / Authorization

Property Rent Pay -- Code 1121

Department: Transportation Date: 

Division: Unit/Org: Appr: 

Effective for pay period: Ending or Termination Date: 

In accordance with UDOT Tool Policy 06A-46 it is requested that:

Employee #: 

Employee Name: 

Complies with Tool Level:

Tool Allowance: Level I Level II

$33.00 $45.00

Submitted By: Phone: 

Date: 

Approved By: 

Date: 

Attach original to tool inventory for records
cc: Equipment Operations for approval
cc: Payroll for processing
Purpose
To establish a policy at the Utah Department of Transportation
(Department) whereby Avalanche Forecasters may be reimbursed for
costs of essential equipment required to travel in variable backcountry
settings.

Policy
Avalanche forecasters are required to work outside in hazardous work
environments in all weather conditions. This requires the possession and use of
specialized equipment. This policy will provide a biennial reimbursement of up to
$2,400 for full-time, benefited forecasters who are required to purchase
necessary gear as a part of their job responsibilities. This policy is to be reviewed
every two years to evaluate appropriate increases in the reimbursement limit.

1. Equipment currently provided by UDOT includes:
   • Weatherproof uniform (jacket every three years, pants every
two years)
   • Specialized personal protective equipment (transceiver, shovel,
avalanche probe, airbag backpack, helmet).

2. Equipment not provided by UDOT may be reimbursed up to the per
   item dollar amount detailed below. This amount is determined
   following average rates of necessary equipment:

<table>
<thead>
<tr>
<th>Item</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Skis</td>
<td>$700</td>
</tr>
<tr>
<td>Boots</td>
<td>$700</td>
</tr>
<tr>
<td>Bindings</td>
<td>$400</td>
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<tr>
<td>Mounting</td>
<td>$50</td>
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<tr>
<td>Skins</td>
<td>$150</td>
</tr>
<tr>
<td>Poles</td>
<td>$150</td>
</tr>
<tr>
<td>Goggles</td>
<td>$100</td>
</tr>
<tr>
<td>Gloves (3 pairs)</td>
<td>$150</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$2,400</strong></td>
</tr>
</tbody>
</table>

3. The reimbursement period starts in fiscal year the equipment was
   purchased and assumes a minimum two-year equipment life span.
   Provided safety equipment will be maintained in a good working condition.

4. Any exception to the dollar amount or frequency of Equipment purchases
   will require the approval of the Region Director or designee.

5. Reimbursements may be claimed in increments or altogether.
Responsibility: Forecaster

Actions

1. Purchase equipment. All equipment does not need to be purchased at the same time.

2. Submit receipt(s) with a description of the items(s) purchased to a Region 2 Accounting Technician.

Responsibility: Accounting Technician

3. Complete an FI-48 form. Include the equipment reimbursement amount on the empty bottom line.

4. Obtain approval from the Forecaster Supervisor.

5. Process an employee reimbursement in FINET.

Responsibility: UDOT Payroll Coordinator

6. Monitor Forecaster reimbursements to verify that the maximum biennial allocation is not exceeded.
Purpose

The reduce vehicle and equipment idle time at the Utah Department of Transportation (Department) according to Executive Order of the Governor (EO/005/2012).

Motor vehicles that are allowed to idle unnecessarily waste fuel and therefore money. Unnecessary idling also releases harmful pollutants that contribute to poor air quality. The Department will conserve fuel and money, reduce air pollution, and serve as a role model for environmental stewardship to other area governments, local businesses, and the public by adopting an Idle Reduction Policy for Department owned or leased vehicles and equipment.

Policy

All Department gasoline and diesel powered vehicles and equipment, regardless of size, will idle only as necessary to perform the duties of the employee’s position or the essential functions of the equipment.

A driver of a Department vehicle or an operator of an off road piece of equipment must turn off the engine when arriving at a destination and must not cause or allow an engine to idle at any location for more than 30 seconds for a gasoline engine or three to five minutes, as recommended by the manufacturer to cool down, for a diesel engine.

The following circumstances are considered necessary reasons for an idle situation to occur:

1. A period not to exceed three to five minutes or as recommended by the manufacturer to cool down a turbo-charged, heavy-duty vehicle before turning the engine off.
2. Stopped for an official traffic control device or for traffic conditions over which the driver has no control including emergency situations.
3. To ascertain that the vehicle or equipment is in safe operating condition as part of the daily vehicle inspection or as otherwise needed.
4. For testing, servicing, repairing or diagnostic purposes.
5. To accomplish work for which the vehicle or equipment was designed other than transporting goods.
6. To operate a lift or other power take-off driven piece of equipment designed for use with the vehicle.

7. To operate defrosters, heaters, air conditioners, or other equipment when weather conditions are extreme to prevent a safety or health emergency but not solely for the comfort of the driver or passengers as these conditions could compromise the driver or passenger's health and safety.

8. Vehicles engaged in the delivery or acceptance of goods, wares, or merchandise for which engine assisted power is necessary and substitute alternate means cannot be made available.
Purpose
To establish the procedure and responsibility for the Utah Department of Transportation (Department) development, revision, and preparation of policies and procedures, guidance, direction, and traffic and safety research priority.

Policy
The Traffic Policy Committee reviews and recommends policies and procedures for approval by the Technical Committee. The Committee also considers relevant matters presented to it by interested units or individuals and formulates appropriate action within its scope of responsibility. The Committee reviews or develops research proposals and establishes the priority of traffic related research problem statements for the UTRAC process.

The Traffic Policy Committee is composed of seven permanent voting members and one non-voting member. The Operations Engineer serves as chairperson and the Engineer for Traffic and Safety serves as vice chair.

Regular membership is as follows:

Voting Members
Operations Engineer – Chairperson
Engineer for Traffic and Safety – Vice Chair
Engineer for Traffic Management
Region One Traffic Operations Engineer
Region Two Traffic Operations Engineer
Region Three Traffic Operations Engineer
Region Four Traffic Operations Engineer

FHWA Safety and Operations Engineer – non-voting
Purpose

To establish a policy and procedures for the Utah Department of Transportation (Department) to provide a safer work zone through the prudent and consistent use of Uniformed Officers in traffic control operations. This policy provides guidance and consistency statewide with regard to the use of Uniformed Officers, while providing efficient use of construction funding.

Policy

It is the policy of the Department to take appropriate safety measures to reduce the likelihood of injuries and fatalities to workers and road users in Department Work Zones. These safety measures include using appropriately trained Uniformed Officers to establish a presence, control traffic, enforce the Traffic Code and other law, and provide emergency assistance as needed. The use of uniformed officers in work zones is to be consistent with the UDOT Guidelines for Uniformed Officer Use in Work Zones.

The following apply to work zones on state routes:

A. The Department Traffic Engineer, Project Manager, and Resident Engineer for a region will determine where and when the presence of one or more Uniformed Officer in a Work Zone is required. Such situations include:
   1. Work Zone established for more than three days with:
      a. Workers present within the Work Clear Zone,
      b. Posted preconstruction speed of 45 mph or greater,
      c. No mitigation or positive protection devices present.
   2. Initial freeway lane closures, including full closures and closure of on and off ramps or significant changes to static traffic control.
   3. Traffic control setup or removal that presents increased risks to workers and road users due to limited motorist sight distance, innovative intersection design, weather or other factors.
   4. Night work operations where workers are located within the AASHTO Clear Zone.

B. The Department Traffic Engineer, Project Manager, and Resident Engineer for a region will determine where and when the presence of one or more Uniformed Officer in a Work Zone is generally not required but should be considered included:
   1. High-speed roadways where traffic queuing is anticipated, especially if the queue forms a considerable distance in advance of the work zone or work space.
2. Existing traffic conditions and crash histories indicate a potential for substantial safety and congestion impacts related to the work zone activity, and may be mitigated by improved driver behavior and awareness of the work zone.

3. Lane closures on non-freeways with a posted speed of 45 mph or higher.

4. To facilitate moving operations.

5. Adverse conditions created by weather.

C. Utah Highway Patrol (UHP) officers will be used, if available, when the Traffic Engineer, Project Manager, and Resident Engineer for a region determine that the presence of Uniformed Officer in a Work Zone is required. County or Municipal Uniformed Officers may be used if UHP Officers are unavailable.

D. Private and unmarked vehicles will not be allowed. Special duty vehicles, such as D.A.R.E. and animal control, will not be allowed.

E. The uniformed officer’s vehicles will include flashing blue lights, visible from 360 degrees, to deter aggressive driving behavior. When uniformed officer’s vehicles are used for nighttime work, flashing blue lights will be dimmed, if possible.

F. Effective July 1, 2015 all uniformed officers working on all Federal and Department funded projects, including municipally managed projects, will be Utah POST certified and have successfully completed FHWA’s course on Safe and Effective Use of Law Enforcement Personnel in Work Zones.

Background
This policy was initiated to comply with the requirements of the Federal Highway Administration, 23 CFR Part 630, Subpart K, 630.1106 Uniformed Law Enforcement Policy.

Definitions
Uniformed Officer
A certified law enforcement officer who has the legal authority to enforce the Traffic Code and other laws, and has completed FHWA’s course on Safe and Effective Use of Law Enforcement Personnel in Work Zones.

Work Zone
An area of a highway with construction, maintenance, or utility work activities. Work Zones may be marked by signs, channelizing devices, barriers, pavement markings, or work vehicles, and extend from the first warning sign or high-intensity rotating, flashing, oscillating, or strobe lights on a vehicle to the END ROAD WORK sign or the last temporary traffic control (TTC) device.
Responsibility

A. The State Construction and Materials Engineer is responsible for the development and updating of the *UDOT Guidelines for Uniformed Officer Use in Work Zones*.

B. The Region Traffic Engineer, Project Manager and Resident Engineer are responsible for determining if situations were uniformed officers are typically required or typically not required but should be considered apply to the project in question.

C. The Region Traffic Engineer is responsible for implementing the recommendations set forth in the *UDOT Guidelines for Uniformed Officer Use in Work Zones*. 
Street Name Signs
Effective: March 18, 2001

Purpose
To define the Utah Department of Transportation (Department) process for establishing the designation, use, and location of street name signs on state highways.

Policy
The Department has jurisdictional control of the street name signing within the state highway right of way. Street name designations to be used on street name signs will be governed by the following principles:

1. Identified by their state route number, the coordinate number, or by the street name established by the local government agency.

2. The coordinate designation will take precedence over all other street names when a numerical designation is part of a coordinated grid system. The local name of the highway may be placed on the lower portion of the sign as a supplementary designation in a smaller legend as space permits.

3. Street names of regional significance may be used at the discretion of the Department such as State Street or Redwood Road.

4. State routes already designated by one of these methods will not be given a different designation without approval of the Department.

5. Consistency in the use of street names will be maintained along the state highway. Adjacent intersections will use a consistent naming system.

6. Some cross streets may be designated with different street names on each side of the state highway. Show only one street name for the cross street at the intersection.

7. All street name signs will comply with the current adopted edition of the Manual on Uniform Traffic Control Devices (MUTCD) and current Department Standards and Specifications.

Street name signs placed on state operated traffic signal mast arms will only be installed and maintained by the Department or under the Department’s direct supervision.
Local government agencies may place street name signs within the state right of way on their own assemblies. The local government agency assumes responsibility for the design, installation, and maintenance of the signs, posts, and hardware. The sign installations must meet the current adopted edition of the MUTCD and current Department Standards and Specifications. The street name signs will not be placed on or attached to any Department owned traffic control device. The Department may remove, without notice, any installations that are non-compliant or degrade the safe operation of the highway.
Responsibility: Local Government Agency

Actions

1. Submit a request to the Region or District to have a street name sign added or changed.

Responsibility: Region Director or Region Traffic Operations Engineer

2. Receive request for street name signing.
3. Review request for feasibility and compliance with MUTCD and this policy.
4. Respond to requestor with decision on sign placement.
5. Create work order when decision is made to proceed with sign installation.
6. Arrange for sign installation.
Purpose
To control the location and number of freeway median turnarounds by the Utah Department of Transportation (Department).

Policy
Freeway median turnarounds may be allowed according to the following criteria:

1. Maintenance turnarounds at interchanges where removal of snow and ice would be significantly facilitated.

2. Official or emergency turnarounds.
   a. Near midpoint where interchanges are three to six miles apart.
   b. At approximately three-mile intervals where interchange spacing is greater than six miles.

3. Double turnarounds (overlapping) at maintenance station or region boundaries.

The Engineer for Traffic and Safety will maintain a list of authorized median turnaround locations.

Background
The Department constructs and maintains freeway median turnarounds to facilitate highway maintenance operations. Use of these crossovers by unauthorized vehicles creates a potential safety hazard. The Department will control the number of freeway median turnarounds in order to minimize this hazard.

Definitions
**Turnaround**
A crossing in the median between opposite directions of a freeway. This will include a flat surface in the median with the required signs, a gap in the barrier, and crash cushions if needed.
Procedures
Change in Authorized Freeway Median Turnarounds    UDOT 06C-04.1

Responsibility: Region Director/Region Traffic Operations Engineer

Actions

1. Submit a request, including justification, for a change in the number or location of freeway median turnarounds to the Engineer for Traffic and Safety.

2. Review the request and develop recommendations relative to the request.

Responsibility: Engineer for Traffic and Safety

3. Approve or disapprove request.

4. Ask the Region Director to take the necessary action to complete the work if the request is approved.

5. Write the Traffic Engineering Order for each turnaround.

Responsibility: Region Director

6. Take the necessary actions to complete the approved work.
Purpose
The purpose of this policy is to define the purpose of and the proper process for the issuance of Traffic Engineering Orders (TEOs) by the Utah Department of Transportation (Department). Utah Code 41-6a-302 directs the Department to place and maintain traffic control devices on state highways. TEO’s are the Department’s method of tracking the purpose and authorization of regulatory traffic control signs along state highways.

Policy
The Division of Traffic and Safety is responsible for observation and evaluation of functional characteristics on the State Highway System and enacting traffic regulations in order to promote motorist, bicyclist, and pedestrian safety and efficiency.

TEO's are issued to track specific traffic regulation decisions pertaining to:

1. Speed limits
2. Temporary speed limits
3. Parking restrictions
4. Lane use restrictions, including vehicle type and weight restrictions
5. Turning movement restrictions
6. Pedestrian/bicycle access restrictions
7. OHV access
8. Railroad grade crossing exemptions
9. School zones and reduced speed school zones
10. Engine brake restrictions
11. Snow tire and chain requirements
12. Maintenance turnarounds
13. Other traffic operations necessary to provide appropriate control traffic and enhance safety
TEO's will be issued only after sound traffic engineering studies have justified their need. Guidelines for the basis of traffic studies include, but are not limited to, the following:

1. Manual on Uniform Traffic Control Devices (MUTCD)
2. Crash studies
3. Field reviews

Local jurisdictions will be allowed the right to establish, by ordinance, and maintain turnover parking restrictions such as one-hour parking limits or loading zones. Parking restrictions will be established when a field review indicates that the allowance of parked vehicles constitutes a visual or highway capacity deficiency. A request for these restrictions must first be submitted to the Department and a TEO issued.
Procedures
Issuance and Control of TEO’s

Responsibility: Region Traffic Operations Engineer

Actions

1. Receive a request to establish a specific traffic regulation pertaining to one of the items in the Policy section above. Refer to Policy 06C-25 for speed limits. The request can come from an appropriate elected official, a responsible member of the public, or employees of the Department. Discuss the subject with affected local government agencies and law enforcement officials for their input after evaluation of the request.

2. Forward request along with any supporting analysis or recommendations to the TEO Support Team to establish or amend a TEO if the Region concurs with the request. Inform requestor if there is not concurrence with the request and deny the request.

3. Verify that all TEOs have anticipated completion dates and the Region Traffic Operations Engineer’s signature.

Responsibility: TEO Support Team

4. Write memo and forward with the TEO and supporting documentation from the Region to the Engineer for Traffic and Safety or to the Traffic and Safety Design Engineer.

5. Log TEO for tracking.

Responsibility: Engineer for Traffic and Safety or Traffic and Safety Design Engineer

6. Review the analysis and recommendations of the Region Traffic Operations Engineer. Sign the TEO upon approval and return it to the TEO Support Team.

Responsibility: TEO Support Team

7. Save a copy of the memo, TEO, and supporting documentation and send these documents to the Region Traffic Operations Engineer for execution.

8. Update TEO tracking log.

Responsibility: Region Traffic Operations Engineer
9. Take appropriate steps to verify TEO completion, generally by the posting of official signs.

10. Provide copies of the completed TEO to appropriate local governmental agencies, local law enforcement agencies, and local UHP office as necessary.

11. Notify the TEO Support Team of satisfactory completion of the TEO requirements by sending back the signed memo. Temporary speed limits require installation and completion signatures. All other TEO request types only require completion signatures.

**Responsibility:** TEO Support Team

12. Follow up with the Region Traffic Operations Engineer as necessary to meet or modify TEO completion dates.

13. Update TEO tracking log.

14. File the completed memo and TEO.
Purpose
To define the criteria and processes for installation and maintenance of highway lighting by the Utah Department of Transportation (Department).

Policy
The Department will review all requests for the illumination of State highways. Highway lighting is divided into two categories: lighting for non-freeway or partial access controlled highways, and lighting for freeway or full access controlled highways.

Both types of highway lighting can increase efficiency of traffic operations, improve the visibility of roadway geometry, and improve overall roadway and intersection safety, especially during inclement weather.

1. Non-Freeway Highway Lighting

Lighting in urbanized or high crash locations will be considered for locations where the Department and the local government agency agree that lighting will contribute substantially to the safety, efficiency, and comfort of vehicular or pedestrian traffic operation.

Lighting of spot locations in rural areas may be considered for sections of highway with unusually high crash history, complex geometry or raised channelization. This type of lighting is similar to freeway ramp terminals.

a. Small Area Lighting Requests
Requests for highway lighting projects should come through the Department Region Offices to the Division of Traffic and Safety. These projects will be prioritized, if approved, on the basis of crash rate (crashes per million vehicle miles) and the night time to day time crash ratio. This priority listing and the availability of funds will be the critical factors in determining which highway lighting projects will be funded.

b. Approved Roadway Projects
The Department is responsible for plan preparation, specifications, estimates, inspection, and funding for material and labor costs for approved, state-funded roadway projects that specify standard highway luminaires.
The local governmental agency is responsible for betterment costs when non-typical design considerations have been requested by the agency, such as providing materials for decorative poles and luminaires, or similar.

The local agency is responsible for plan preparation, specifications, estimates, and funding for material and labor costs for approved lighting projects in which a local government agency has requested State funding for a local project. The Department in these cases is responsible only for review of project plans to confirm appropriate design, and for final inspection to verify proper installation.

The local governmental agency with jurisdiction will pay for operating costs and will maintain the non-freeway lighting system according to Section 72-3-109(1)(f) of the Utah Code. An appropriate operating and maintenance agreement will be drafted to confirm the local governmental agency has full understanding of their responsibilities under Utah law. Funding for local agency requested highway lighting projects will not be allocated until this agreement is signed and executed by representatives from the local agency and the Department.

2. Freeway Lighting

The Department will provide freeway lighting at the locations defined below only after a proper engineering evaluation that considers the conditions described in the latest version of the AASHTO Roadway Lighting Design Guide, and in accordance with this policy. Projects to reduce or adjust existing lighting will likewise be approved only after an identical engineering evaluation.

Future growth is also a consideration for lighting warranting. A lighting system may be installed as part of a project when 3-5 year traffic projections indicate the location will warrant it. Such projections must be based on historical data.

a. Complete Interchange Lighting

A complete interchange lighting system provides relatively uniform illumination within the limits of a freeway interchange. Complete interchange lighting should be considered where the following cases occur:

1) Interchange is within a segment of continuous freeway lighting.
2) Interchange consists of converging or intersecting freeway routes.

b. Partial Interchange Lighting
Partial interchange lighting is a freeway lighting system that provides illumination only at decision making areas of roadways, such as the following:

1) Off ramp gore areas.
2) Ramp terminals, including cross streets and ramp entrances.
3) Major weaving sections approaching or departing from the interchange.
4) Lane drop areas.
5) Complex alignment changes such as curves greater than 5 degrees.

c. Continuous Freeway Lighting
Continuous freeway lighting is a system that provides relatively uniform illumination on all main travel lanes and direct connections. Continuous freeway lighting should be considered when the following conditions exist:

1) High traffic volumes in an urban environment.
2) Segments with unusually high crash history.
3) Segments with interchanges within one half mile or closer of each other.

3. Overhead Sign Lighting
Traffic signs placed over the roadway must be adequately legible during both daylight and nighttime conditions. This may be accomplished by use of a fixed lighting system or by relying on the retroreflective properties of the sign material.

A fixed lighting system for overhead mounted signs should only be installed after a proper engineering evaluation of the location. Reasons for specifying sign lighting may include, but are not limited to, the following:

a. The sign consists of or includes directional diagrams.
b. The signs are for “Exit Only” lane drops.

c. The signs are located within a high-volume segment, such as a freeway-to-freeway interchange.

d. The area has a high level of ambient light causing glare issues which may cause the sign to be difficult to read.

The decision to illuminate an overhead sign must be approved by the Traffic & Safety Design Engineer. All signs on an overhead structure must be illuminated if any one sign is illuminated.

4. Roadway Lighting Maintenance and Electrical Service Costs

Maintenance of and electrical service costs for roadway lighting systems are the responsibility of either the Department or the local government agency having jurisdiction over the road. Refer to Utah Administrative Code R918-6, Maintenance Responsibility at Intersections, Overcrossings, and Interchanges with Local Roads as well as Section 72-3-109(1)(f) of the Utah Code for a thorough breakdown.

The following summary is related specifically to roadway lighting responsibilities:

a. The Department is responsible for all maintenance and electrical service costs for freeway lighting systems, including:

1) Mainline freeway, interchange, and underpass lighting.

2) Cross street underpass lighting at interchanges with on/off ramps.

3) Sign lighting on state routes or along the freeway corridor.

4) Un-signalized intersection lighting at freeway on or off ramps intersecting cross streets.

5) Traffic signal-attached lighting at non-traditional signalized intersections, including Diverging Diamond Interchanges (DDI), Single Point Urban Interchanges (SPUI), Continuous Flow Interchanges (CFI), and Thru-Turn Interchanges.
b. Local governments are responsible for all maintenance and electrical service costs for non-freeway highway lighting, including:

1) Roadway lighting on all non-freeway state routes.

2) Cross street underpass lighting where no interchange on or off ramps exist.

3) All decorative lighting requested by the municipality, including street, bridge, and underpass lighting.

4) Lighting at traditional signalized intersections along state routes including lighting at signalized freeway ramp terminals.
Responsibility: Traffic and Safety Design Engineer

1. Receive request for local street lighting project. Requests will be initiated by:
   a. Region Director with local authorities.
   b. Traffic and Safety Design Section via inventory of community needs.

2. Establish compliance with warrants. Establish design requirements and preliminary estimate if lighting is warranted.

3. Coordinate with local government officials. Provide information concerning cost of project, local government responsibilities, and various power source alternatives available such as power company owned vs. locally owned, and secure letter of understanding from local government.

4. Establish an Authority Number for Expenditure document through the Engineer for Traffic and Safety and the Deputy Director after the decision of local government as to course of action. Furnish design requirements to the Region Utility Coordinator after approval to formalize an agreement with the local government.

5. Secure executed formal cooperative agreement from Region Utility Coordinator.

6. Prepare plans and specifications according to standard lighting practices.

Responsibility: Region Utility Coordinator

7. Prepare formal cooperative agreement for execution by local government and transportation officials.

Responsibility: Local Government

8. Sign and return cooperative agreement to Region Utility Coordinator.

Responsibility: Region Utility Coordinator

9. Forward cooperative agreement for final execution within Department. Send a copy of final executed agreement to the Traffic and Safety Design Engineer.
Responsibility: Traffic and Safety Design Engineer

10. Transmit plans and specifications to, or provide approval of local government developed plans for, the local government and notify them to proceed with lighting installation.

Responsibility: Local Government

11. Submit to the Traffic and Safety Design Engineer final costs of the completed project and provide request for any reimbursements outlined in the cooperative agreement.

Responsibility: Traffic and Safety Design Engineer

12. Inspect project to verify compliance with project plans and specifications and audit vouchers for reimbursement of material costs (if applicable) to local government. Submit final cost to Comptroller Office and approve payment to local government.

13. Notify Comptroller Office of completion of project and submit a Termination of Authority Form to close out the Authority Number.
Responsibility: Traffic and Safety Design Engineer

1. Receive request for freeway lighting. Requests will be initiated by either:
   a. Region Director with local authorities
   b. Region Traffic Operations Engineer with project team.

2. Establish compliance with warrants. Establish design requirements and preliminary estimate if lighting is warranted.

Responsibility: Region Utility Coordinator

3. Contact local power company and setup on-site meeting to identify power source.

Responsibility: Design Engineer

4. Furnish design requirements to the Region Utility Coordinator to finalize design upon decision of power company.

5. Prepare plans and specifications according to standard lighting practices.

Responsibility: Traffic and Safety Design Engineer

6. Review and approve plans for conformance to Department policy, specifications, and standards.

Responsibility: Region Utility Coordinator

7. Request installation of meter in newly installed power pedestal.

8. Provide meter number to Traffic and Safety Design Engineer.
Purpose:
To define the placement of angle parking on State highways by the Utah Department of Transportation (Department).

Policy:
Angle parking may be installed on State highways to accommodate the desire of local jurisdictions if it meets all of the following criteria:

1. On highways with a functional classification of minor collector or lower.
2. On highways where the width of the roadway from the outside edge of the adjacent travel lane to the back end of the parking stall lines is 13 feet or greater.
3. On highways where the posted speed limit is 30 mph or less.
4. On highways where the AADT is 6000 vehicles or less.

Edge lines are required at all angle parking installations.

Angle parking will be installed on qualified highways at a maximum angle of 45 degrees from the upstream side of the edge of pavement or lip of gutter. Angle parking stalls will be designed so that vehicles parking in the stalls face into the stall.

Minimum allowable distance from intersections to first stall is 30 feet for controlled intersections and 50 feet for uncontrolled intersections. A sight distance review may determine that a greater distance is needed.

Stalls will have minimum dimensions of 9 feet wide and 18 feet long from edge of pavement or lip of gutter.

The graphic on the following page illustrates the dimension and setback requirements described above.
TYPICAL PLACEMENT OF ANGLE PARKING
Procedures
Angle Parking on State Highways

Responsibility: Local Jurisdiction

Actions

1. Send written request for angle parking to the Region Director. Request must include reasons for angle parking, location, and commitment of enforcement.

Responsibility: Region Director or Region Traffic Operations Engineer

2. Review request from local jurisdiction.

3. Verify location and determine if all five criteria in policy section are satisfied. Recommend to the Engineer for Traffic and Safety approval of the request if they are. Reply to local jurisdiction that the request is denied if they are not.

Responsibility: Engineer for Traffic and Safety

4. Review recommendation from Region office and if satisfied, approve angle parking request and communicate approval to Region office.

Responsibility: Region Director or Region Traffic Operations Engineer

5. Reply to local jurisdiction that the request is approved and work with appropriate Region or local jurisdiction personnel to install angle parking if approved.
Purpose

To define the procedures governing roadside memorials. These procedures provide an opportunity to recognize the needs of grieving families and friends in a way that is consistent with motorist safety and the Utah Department of Transportation’s (Department) operations. The memorials will also serve to remind motorists to drive safely. The Roadside Memorial program is not intended to serve as a free speech forum.

Policy

This policy applies to all highways under the jurisdiction of the Department. Placement of roadside memorials according to this policy will be allowed on State highways only for fatal crashes and by written agreement between the Department and the family. All families must agree to the terms of the agreement in the case of multiple family fatal crashes. Fatal crashes older than five years will not be considered for the programs.

Roadside memorials will be one of the following options.

1. Adopt-a-Highway program
2. Memorial Safety Sign program

Adopt-a-Highway Program

1. All current policies and procedures for the Adopt-a-Highway program will apply to roadside memorials. Applicants must comply with Utah Admin Code R918-4.
2. The Adopt-a-Highway signs will be supplemented with a plaque from the Utah Standard Highway Sign Supplement.
3. No private memorials will be allowed at the site. The Department will remove and dispose of any private memorials.

Memorial Safety Sign Program

1. Safety signs will only be installed with written agreement between the Department and the family.
2. The Department will pay the cost of the sign and installation.
3. Placement of signs will be limited to one per mile. Signs will NOT be placed in locations where conflicts with other priority signs exist. The Region Traffic Operations Engineer will make this determination. The Engineer for Traffic and Safety will have the final approval for funding.

4. Supplemental plaque designating memorial will be in place for one year. Current supplemental plaques can be renewed by the family only by written request to the Department if there are no additional requests for the sign location on the waiting list.

5. The sign design will conform to the Utah Standard Highway Sign Supplement.

6. No private memorials will be allowed at the site. The Department will remove and dispose of any private memorials.

7. Religious symbols may not be placed on State rights-of-way.
Use of Off-Highway Vehicles within State Highway Rights-of-Way

Purpose
To establish authorization, approval, and use of Off-Highway Vehicles within State Highway Right-of-Way and for the protection of Utah Department of Transportation (Department) Right-of-Way.

Policy
All State highway right-of-way, paved and otherwise, will be closed to the use of Off-Highway Vehicles (OHV) unless designated as an OHV route by the Department or allowed by Utah Code. A designated OHV route allows for the operation of OHV within the State highway right-of-way including paved or unpaved travel lanes and shoulders.

Approved OHV routes will be posted with highway and right-of-way signing designating the route within the right-of-way. OHV designation signs will be placed at the beginning and end of the designated route and at intermediate intervals if other public roads or trails intersect the State right-of-way.

Requests for designation of a portion of a State highway right-of-way as an OHV route will be submitted to the Region Director. Submittals include a detailed plan including a route map.

OHV Use within State Right-of-way and on Paved or Unpaved Travel Lanes and Shoulders

OHV are not permitted on the roadway portion of the State highway right-of-way including paved and unpaved travel lanes and shoulders unless allowed by Utah Code. An exception may be considered only if the request complies with the criteria listed below.

1. The proposed OHV route provides the only available connectivity between public trails or roads and established public recreational facilities.

2. The proposed route does not adversely impact the safety of the Highway System.

3. The proposed route will not create a drainage, erosion, or vegetation problem.

4. The route is part of an approved and adopted plan from a municipality or county.
5. The State roadway has a Department published AADT of less than 1,500 vehicles and truck volume of less than 12 percent single unit and 15 percent combo units excluding recreational vehicles.

Exceptions for OHV use on paved travel lanes and shoulders may be approved with review of the Region Traffic Operations Engineer and approval from the Department Engineer for Traffic and Safety for roadways with Department published AADT greater than 1,500 vehicles but less than 3,500 vehicles.

Exceptions will not be approved for OHV use on paved travel lanes and shoulders for roadways with Department published AADT greater than 3,500 vehicles.

Background
The following Utah Code sections apply to this policy:

Chapter 7, Title 72, Protection of Highways
72-7-301, Liability for damage to highway...
72-7-302, Damage to signs, warnings, or barriers – Penalty
Chapter 22, Title 41, Off -Highway Vehicles
41-22-5.5, Off-highway husbandry vehicles
41-22-10.1, Vehicles operated on posted lands
41-22-10.2, Off-highway vehicles – prohibited on interstate freeways
41-22-10.3, Operation of vehicles on highways – limits
41-22-10.5, Local ordinances – Designating routes – Supervision
Chapter 6a, Title 41, Traffic Code
41-6a-1509, Street legal all-terrain vehicle...
Procedures
Signing for Off Highway Vehicles

Responsibility: Region Director

Action

1. Receive Local jurisdiction request.
2. Request approval and TEO (06C-5) from Division of Traffic and Safety if request is justified.
3. Submit supporting documentation identified in Policy 06C-12.

Responsibility: Engineer for Traffic and Safety

4. Review and approve jurisdictional request
5. Issue TEO according to Policy 06C-5

Responsibility: Region Director

6. Inform local jurisdiction
7. Inform local law enforcement
8. Implement TEO according to Policy 06C-5
9. Return documents to Division of Traffic and Safety
Purpose
To define the process for the Utah Department of Transportation (Department) establishing City or Municipal boundary signs on State highways other than freeways and grade separated expressways.

Policy
City or Municipal boundary signs will conform with the current edition of the Manual on Uniform Traffic Control Devices (MUTCD). City or Municipal boundary signs will not be used on freeways, highways built to freeway standards, or grade separated expressways.

City or Municipal boundary signs will use a white legend (6 inch maximum letter height) with a green background, except as noted in (2) below. The signs will not use the legend Town, Township, or City unless used as an integral part of the City or Municipality name such as Salt Lake City or Cedar City. There are two alternatives for the City or Municipal boundary sign.

1. City or Municipality Name Sign.
   a. This alternative will only consist of a word message.

2. City or Municipality Name and Pictograph Sign
   a. This alternative will consist of the City or Municipality name in a word message and a pictograph on the sign face. This pictograph will be provided by the City or Municipality and meet the following criteria:

      1) The pictograph will not exceed two times the height of the upper-case letters of the principal legend on the sign, to a maximum of 24 inches wide and 24 inches high with rounded corners.

      2) The pictograph will be supplied as either self-adhesive sheeting or sheeting applied to 0.080 inch aluminum substrate.

      3) The design of the pictograph will be consistent with the MUTCD.

      4) The pictograph will not display names of businesses or organizations.
5) The design will be approved by the Region Traffic Operations Engineer.

b. An interagency agreement will be in place between the Department and the City or Municipality before installation of the sign. All costs associated with this alternative will be the responsibility of the City or Municipality.

Additional signs or panels will not be placed on a boundary sign or the sign supports. A maximum of one sign may be installed on each State road entering the City or Municipality. Existing City or Municipality boundary signs not complying with this policy should be removed.
Responsibility: Region Director or Region Traffic Operations Engineer

Actions:

1. Receive request for City or Municipal Boundary signing.
2. Review request for feasibility and compliance with the MUTCD and this policy.
3. Respond to requestor with sign placement decision.
4. Create a work order when decision is made to proceed with sign installation.
5. Coordinate design and delivery of pictograph if paragraph 2 of this policy applies.
6. Arrange for sign installation.

Responsibility: Region Utilities Coordinator

7. Prepare and execute the interagency agreement if required under paragraph 2 of this policy.
Purpose
Define the process of placing of Specific Services (Logo) signs on freeways.

Policy
Specific Service (Logo) signs provide travelers with business identification and directional information for essential motorist services. Logo signs are for use only on freeways. Logo signing, when allowed, shall be designed and installed in accordance with the Manual on Uniform Traffic Control Devices (MUTCD) and shall be considered secondary to other signing. UDOT Standards and Specifications exceeding or supplementing the MUTCD shall take precedence.

The Logo Program is operated by a Program Manager under contract with the Department. If the Department determines that additional non-Logo signing is needed, existing or planned Logo signing shall be removed or relocated at Program Manager’s expense as directed by the Department. Sign relocation within a construction project will be included within the scope of that project.

Application of logo signs, when allowed, shall conform to the following:

1. Logo signs shall only be placed on the route that has the exit to the service facilities. The signs shall be located between the previous interchange and 800 feet or more in advance of the 1 mile advance guide sign of the interchange from which the services are available. When there is insufficient space for the maximum allowable number of logo signs between the previous interchange and the 1 mile advance guide sign, logo signs may be installed between the 1 mile advance guide sign and the exit to the interchange when allowed by the Department. When space is insufficient to place the maximum number of allowable logo signs in advance of any interchange, the number of allowable logo signs will be reduced to that which can be placed. If no space is available, logo signing will not be allowed for that interchange in the particular direction of travel.

2. The number of logo signs along an approach to an interchange shall be limited to a maximum of four, regardless of the number of service types displayed. Eligible Logo categories shall be limited to 24-hour pharmacy, attraction, camping, lodging, food, and gas services, and placed in that order in the direction of traffic.
No service type shall appear on more than two signs.
3. The total number of logos on any one logo sign panel shall not exceed six (6). Where more than six businesses of a specific service type are eligible for logo sign panels at the same interchange, additional logo sign panels of that same specific service type may also be displayed. The additional logo sign panels may be displayed either by placing more than one specific service type on the same sign or by using a second Specific Service sign of that specific service type if the additional sign can be added without exceeding the limit of four Specific Service signs at an interchange.

Where logo sign panels for more than six businesses of a specific service type are displayed at the same interchange or intersection approach, the following provisions shall apply:

A. No more than 12 logo sign panels of a specific service type shall be displayed on no more than two Specific Service signs or sign assemblies;
B. No more than six logo sign panels shall be displayed on a single Specific Service sign; and,
C. No more than four Specific Service signs shall be displayed on the approach.

4. Logo signs should not be installed between interchanges less than two miles apart. No logo sign shall be installed closer than 800 feet to any existing freeway guide, supplemental, or general service sign or other logo sign. Additional areas of exclusion may be identified by UDOT on a case-by-case basis. Logo signs may be installed in only one direction if space for signs in the other direction is not available.

5. Ramp terminal logo signs shall be spaced at a minimum of 100 feet from the gore exit sign, from each other, and from the ramp terminal. Additional areas of exclusion may be identified by UDOT on a case-by-case basis.

6. Logos for businesses operating on a seasonal basis shall be removed or completely covered during the off-season.

7. A service facility will be eligible for installation of a logo sign if it meets the conditions specified in this policy and in UDOT's logo sign contract. Service facilities shall be eligible for space on a logo sign starting with those facilities nearest the exit-ramp until the maximum number of permissible logo signs is reached. Once a service facility has obtained space on a logo sign, it shall have the right of first refusal for that space in the future, unless that facility does not meet all of criteria for the logo category as described in paragraph 10 below.
8. More than one logo may be allowed for an eligible service facility if it qualifies as a vendor of more than one service. If such facility qualifies for two or more service categories but the secondary service has the same business name, a logo of that facility can only be displayed on a second category logo sign, when the same logo is also displayed on the primary service logo sign. A logo sign panel shall not display the symbol/trademark or name of more than one business.

9. Each eligible service facility participating in the logo program shall pay a uniform fee set by the logo sign Program Manager and approved by UDOT to be paid to UDOT or to its assigned Program Manager. The fee shall be sufficient to cover the costs of designing, erecting, administering, and maintaining the signs, and UDOT’s administrative fees. All rate increases will be approved by UDOT.

10. Eligible service facilities should be located on the crossroad or be readily accessible from the crossroad. Business must be within 3 miles of the exit in any direction to be considered fully qualified. If within the 3 mile limit, facilities for the service being considered other than pharmacies are not available or choose not to participate in the program, the limit of eligibility may be extended in 3 mile increments until one or more facilities for the services being considered chooses to participate, or until 15 miles is reached, whichever comes first. Distance to facilities for the service shall not extend beyond 3 miles in urban areas without UDOT approval. Eligible service facilities shall conform to the following minimum criteria to be considered fully qualified:

a. Gas
   1) Fuel, oil, and water.
   2) Modern sanitary facilities and drinking water.
   3) Public telephone.
   4) Continuous operation for at least sixteen hours per day, seven days per week.

b. Food
   1) Licensed by the appropriate public agency.
   2) Public telephone.
   3) Continuous operation for at least 14 hours per day serving three meals per day (Breakfast, lunch, and dinner), seven days per week.
   4) Indoor seating with tables for a minimum of 16 people.
   5) Modern sanitary facilities.
   6) Must have a sign that is readily visible from the street.
   7) The primary business of which logo is displayed is serving prepared food.
c. Lodging
   1) Licensed by the appropriate public agency.
   2) Public telephone.
   3) A minimum of four rooms of hotel or motel space with modern sanitary facilities.

d. Camping
   1) Licensed by the appropriate public agency.
   2) Minimum of 20 camping spaces.
   3) Modern sanitary facilities and drinking water.
   4) Adequate parking - at least one space per campsite.
   5) Remove or completely cover signs if operated seasonally.
   6) Continuous operation 24 hours per day, seven days per week.

e. Attraction
   1) The facility must have the primary purpose of providing recreational, historical, or cultural activities to the public and is of regional significance.
   2) Licensed by the appropriate public agency if applicable.
   3) Continuous operation at least 8 hours per day, 7 days per week.
   4) Public telephone.
   5) Modern sanitary facilities and drinking water.
   6) Adequate parking - at least twenty spaces to accommodate facility’s traffic.
   7) Remove or completely cover signs if operated seasonally.
   8) Not displayed on any other freeway guide signs.

f. Twenty-four Hour Pharmacy
   1) The pharmacy shall be continuously operated 24 hours per day, 7 days per week, and shall have a State-licensed pharmacist present and on duty at all times; and
   2) The 24-hour pharmacy shall be located within 3 miles of an interchange.

11. If available logo spaces for any of the above service categories, other than pharmacy, are not utilized by fully qualified companies, the Department may at its discretion permit other facilities for the service category meeting a majority of the criteria to use unused spaces. These facilities will be considered marginally qualified. Such facilities’ right to use logo spaces shall be reevaluated on an annual basis. Should additional fully qualified facilities request participation; the "fully qualified" facilities will be given priority when considering renewal of contracts.
Marginally qualified companies shall conform to the following minimum criteria:

a. Gas
   1) Fuel, Oil, and water.
   2) Modern sanitary facilities and drinking water.
   3) Public telephone.
   4) Continuous operation 12 hours per day for six days per week.

b. Food
   1) Licensed by the appropriate public agency.
   2) Public telephone.
   3) Operation of 10 hours a day and serving at least two meals per day six days per week.
   4) Indoor seating with tables for a minimum of 10 people, except that in the case of a take out food service, where their only operation is prepared food service.
   5) Must have a sign readily visible from the street.
   6) The logo sign of the grocery store, Department store, or other non-tourists service related business shall only be displayed when the deli/restaurant has no other name.

c. Lodging
   1) Licensed by the appropriate public agency.
   2) A telephone for use by the patrons.
   3) Bed and Breakfast type facilities with a minimum of two rooms for sleeping accommodation.
   4) Modern sanitary facilities.

d. Camping
   1) Licensed by the appropriate public agency.
   2) Minimum of 12 camping spaces.
   3) Modern sanitary facilities and drinking water.
   4) Adequate parking - at least one space per campsite.
   5) Remove or completely cover signs if operated seasonally.
   6) Continuous operation 24 hours per day, seven days per week.

e. Attraction
   1) The facility must have the primary purpose of providing recreational, historical, or cultural activities to the public and is of regional significance.
   2) Licensed by the appropriate public agency if applicable.
   3) Continuous operation at least 8 hours per day, 5 days per week.
   4) Public telephone.
   5) Modern sanitary facilities and drinking water.
   6) Adequate parking - at least 10 spaces to accommodate facility’s traffic
7) Remove or completely cover signs if operated seasonally.
8) Not advertised or displayed on any other existing traffic control devices on the freeway.

f. Twenty-four Hour Pharmacy
   1) The pharmacy shall meet the fully qualified criteria. Any pharmacy that does not meet the fully qualified criteria will not be eligible for logo signing.

   Facilities which are closed one or two days per week shall incorporate the messages of, CLOSED SUNDAYS (or other days as appropriate), in letters at least 5 inches high on the freeway and 2 ½ inches high on the ramp or conventional road on the logo sign panel. The supplemental message should be displayed in a color to contrast effectively with the background of the business sign or separated from the other legend or logo by a divider bar.

12. The RV ACCESS supplemental message may be used if the following criteria are met:
   a. Roadway access and egress shall be hard surface, and should be at least 12 feet wide with a minimum swing radius of 50 feet to enter and exit facility,
   b. Roadway access, egress and parking facilities shall be free of any electrical wires or other obstructions up to 14 feet above the surface,
   c. Campgrounds shall have at least two spaces that are 18 feet wide and 45 feet long.
   d. Short-term parking (restaurants, tourist attractions, etc.) shall have at least two spaces 12 feet wide and 65 feet long with a swing radius of 50 feet at both entrances and exits,
   e. Fuel facilities with canopies shall to have 14 foot clearance, and those selling diesel shall have pumps with non-commercial nozzles.

13. Fueling facilities shall allow a pull-through with a 50-foot radius. Interstate Oasis signing shall not be used.

14. Specific Service trailblazer signs shall be installed along crossroads where the route to the business requires a direction change, where it is questionable as to which roadway to follow, or where additional guidance is needed. Where it is not feasible or practical to install Specific Service trailblazer signs to such businesses, those businesses shall not be considered eligible for signing from the ramp and main roadway. A Specific Service trailblazer sign shall not be required at the point where the business is visible from the roadway and its access is readily apparent. When used, each Specific Service trailblazer sign or sign assembly shall be limited to no more than four logo sign panels. The logo sign panels on Specific Service trailblazer signs shall be duplicates of those displayed on the Specific Service ramp signs. The location of other traffic control devices shall take precedence over the location of a Specific Service trailblazer sign.
15. The Division of Traffic and Safety will review and approve design and location prior to approval of logo signs; the Region or District Headquarters will control installation and monitor maintenance. The Program Manager shall obtain a permit from the applicable UDOT Region Office for the installation of all conventional road signing on State Routes. These signs will be excluded from permit fees. The Program Manager will coordinate and comply with any local entity requirements when placing trailblazer assemblies on non-state routes.

16. All Logo Signing impacted by a construction project will be included in the scope of the project. This may include the reconstruction, relocation, or upgrade of signs and/or supports for the Logo Signs.

17. When Logo signs are impacted due to construction projects, the signs shall be temporarily relocated as necessary so that they will be displayed for the project duration. When there is no available room for the temporary display of the logo signs, and/or the exit ramp is closed, and/or the interchange cross road is closed, thereby making the business inaccessible from one or both directions for more than one month, the project will be responsible for any fees that need to be refunded to individual business for the direction(s) of travel the signs cannot be temporarily displayed. The fee structure is part of the interstate Logo Sign Program Contract, and is attached as Appendix A of this Policy.

18. All individual Logo Panels mounted on the Logo Signs are the property of the individual businesses. If existing Logo Signs are not to be reused, the Logo Panels are to be salvaged or replaced by the project and then installed on the new project furnished Logo Signs.

19. If UDOT uses a Program Manager, and the Program Manager terminates the contract or defaults prior to the expiration of any contract term, ownership of all in place logo signing that is not already the property of UDOT shall revert to UDOT.

20. If UDOT decides to operate the logo sign program, the Program Manager shall sell the in-place logo signing that is not the property of UDOT at residual value and existing contracts to UDOT at market value.

21. If the contract is terminated and UDOT contracts with another party, the Program Manager shall sell the sign panels at residual value and existing contracts to that party at market value.

22. Construction and installation of logo signs shall conform to the current UDOT Standards and Specifications for Interstate signs.
23. Freeways, for the purpose of this Policy, will include all Interstates, and those portions of US-6, US-40, US-89, SR-7, and SR-201 built to freeway standards, unless those interchanges are specifically excluded by UDOT.

24. Wherever a special condition generates a clear need for signing not otherwise provided for in this policy, the Executive Director of the Department of Transportation may authorize such special signing when it is shown to be in the best interest of the motorist.
## APPENDIX A
### PARTICIPATION FEES

### INTERSTATE LOGO SIGN PROGRAM

ANNUAL PARTICIPATION FEES PER DIRECTION OF TRAVEL

<table>
<thead>
<tr>
<th>Description</th>
<th>Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mainline LOGO signs with ADT less than 30,000</td>
<td>$474.00 (each)</td>
</tr>
<tr>
<td>Mainline LOGO signs with ADT between 30,000 and 79,999</td>
<td>$672.00 (each)</td>
</tr>
<tr>
<td>Mainline LOGO signs with ADT greater than 80,000</td>
<td>$720.00 (each)</td>
</tr>
<tr>
<td>Mainline LOGO signs on ramps regardless of ADT</td>
<td>$164.00 (each)</td>
</tr>
<tr>
<td>LOGO Trailblazer signs, regardless of ADT (each)</td>
<td>$144.00 (each)</td>
</tr>
<tr>
<td>Additional LOGO Fees for Business Panel Installation Charge</td>
<td>$ 50.00 (each)</td>
</tr>
</tbody>
</table>

Revised 12-16-2010
Purpose
To define the Utah Department of Transportation (Department) acceptable use of pedestrian safety flags on state highways.

Policy
The Department does not possess definitive information regarding the effectiveness of pedestrian safety flags, but may support a local governmental agency’s (Agency) concern for pedestrian safety. The Department may allow the Agency to install and maintain pedestrian safety flags according to the following criteria:

A. A cooperative agreement will be generated by the Department and signed by the Department and the Agency which sets forth conditions for furnishing, installing, and maintaining pedestrian safety flags. This agreement will include a clause to indemnify the Department.

B. Locations where pedestrian safety flags may be allowed must be specified.

C. Pedestrian safety flags will only be used at legal crosswalks across unsignalized approaches.

D. The Department may request the removal of pedestrian safety flags at any location at any time for any reason including but not limited to:
   1. An increase in pedestrian accidents.
   2. Lack of maintenance by the Agency.
   3. Removal of the crosswalk.

The removal of the pedestrian safety flags and their appurtenances will be done by the Agency at no cost to the Department.

E. Flag may include Agency name for identification purposes. Advertising will not be allowed.
Responsibility: Region Director or Region Traffic Operations Engineer

Actions

1. Receive a request from the Agency to install pedestrian safety flags.
   a. The request will include justification to install the flags and the specified locations.

Responsibility: Region Traffic Operations Engineer

2. Verify the request and conduct field review of locations as specified by the Agency, if necessary.

3. Send a reply letter to the Agency stating the request is approved or not approved.
   a. Attach a draft cooperative agreement for Agency review if approved.

4. Receive comments from the Agency.

5. Prepare final cooperative agreement for Region Director’s signature.

Responsibility: Region Director

6. Sign final cooperative agreement.

7. Send the agreement to the Agency for signature.

8. Receive signed agreement from the Agency.


Responsibility: Region Traffic Operations Engineer

10. Inform the Agency it may proceed with installation of pedestrian safety flags and associated appurtenances.

11. File the agreement.
ADDENDUM

COOPERATIVE AGREEMENT

THIS COOPERATIVE AGREEMENT, made and entered into this ______ day of ______, 20XX, by and between the UTAH DEPARTMENT OF TRANSPORTATION, hereinafter referred to as "Department," and XXX CITY, a Municipal Corporation of the State of Utah, hereinafter referred to as the "CITY,"

WITNESSETH:

WHEREAS, the CITY has requested the Department’s concurrence to furnish and install pedestrian flags at certain crosswalk locations on State Route XXX in XXX City, XXX County, Utah.

WHEREAS, although the Department does not possess definitive information regarding the effectiveness of pedestrian flags, it supports the CITY’s concern for pedestrian safety.

WHEREAS, the Department will allow the CITY to install pedestrian flags at specified locations according to the terms and conditions set forth herein.

NOW THEREFORE, it is agreed by and between the parties hereto as follows:

1. The CITY, at no cost to the Department, will furnish, install, and maintain the condition, quantity, and distribution of the pedestrian flags at all times. Installation, maintenance, replacement or repair costs will be borne entirely by the CITY. Flags may include the Agency name but advertising is not allowed.

2. The CITY desires, and the Department allows, the installation of pedestrian flags at the following location:

   a. Intersection of XXX and XXX.

   Any future locations will require another agreement between the parties hereto.
Installation and Use of Pedestrian Flags on State Routes

XXX CITY CORPORATION

Federal ID No. XXX

3. The CITY will only install or use pedestrian flags at legal crosswalks across unsignalized approaches.

4. The CITY, at no cost to the Department, will remove the pedestrian flags from any or all of the above locations upon the Department's request. Grounds for removal include, but are not limited to: a substantive increase in pedestrian vs. motor vehicle crashes, verifiable lack of maintenance of conditions outlined in paragraph one, or removal of the crosswalk. All removal costs of the flags and appurtenances will be borne entirely by the CITY.

5. The CITY hereby acknowledges that the Department makes no claim or guarantee of the effectiveness of pedestrian flags. The CITY further agrees to indemnify the Department from any liability or legal action resulting from the installation and use of pedestrian flags.

IN WITNESS WHEREOF the parties hereto have caused these presents to be executed by their duly authorized officers as of the day and year first above written.

ATTEST: XXX CITY CORPORATION:

By: ____________________________ By: ____________________________
Title: __________________________ Title: __________________________
Date: __________________________ Date: __________________________

(IMPRESS SEAL)

****************************************************************************************************
RECOMMENDED FOR APPROVAL: UTAH DEPARTMENT OF TRANSPORTATION

By: ____________________________ By: ____________________________
Region Traffic Operations Engineer Region Director

Date: __________________________ Date: __________________________

APPROVED AS TO FORM: COMPTROLLER OFFICE

The Utah State Attorney General's Office has previously approved all paragraphs in this Agreement as to form.

By: ____________________________
Contract Administrator

Date: __________________________
Purpose
To specify the Utah Department of Transportation (Department) requirements for the Pedestrian Access Program.

Title II regulations under the Americans with Disabilities Act (ADA) require the Department to apply specific access design standards developed by the United States Access Board when constructing or altering pedestrian facilities. The Americans with Disabilities Act Accessibility Guideline (ADAAG) contains the requirements for accessible facilities. The US Access Board has also developed a draft guideline, Public Right-of-Way Accessibility Guidelines (PROWAG) that address the unique challenges to accessibility for sidewalks, street crossings, and other elements of public right-of-way. All new and reconstructed pedestrian access ramp installations must comply with these current guidelines. Any existing non-compliant curb ramps must be retrofitted by projects to meet these standards.

The purpose of the ADA Pedestrian Access Program is as follows:

1. Provide pedestrian access for all individuals along state routes.
2. Meet pedestrian access standards set by the US Access Board along state routes.
3. Program available funding effectively to construct access ramps where none currently exist.

Policy
The Department is committed to providing the highest degree of accessibility. As such, the Department standards are aligned with the ADA guidelines. Alterations to existing access ramps must meet Department design standards and be accessible to the maximum extent feasible. This policy applies to all Department projects.
Program Requirements

The Department will continue to complete a self-evaluation of all pedestrian access ramp locations along the state transportation system and maintain an up-to-date inventory. The Division of Traffic and Safety will produce an annual Transition Plan based on this inventory to describe and implement the ADA Pedestrian Access Program.

The Regions will report any changes made to pedestrian access ramps to the Division of Traffic and Safety. This information will be used to maintain Department compliance with federal regulations.

Access Ramp Requirements

Any construction, reconstruction, maintenance, or permits project deemed to be an alteration is required to install, or upgrade to current Department standard, any pedestrian access ramps within the project limits. Address pedestrian access ramps in the design phase of construction and maintenance projects. Projects will install new pedestrian access ramps in locations that have existing curb, gutter, and sidewalk but lack pedestrian access ramps.

The following specific maintenance treatments are exempt from including pedestrian access ramps:

1. Crack Filling and Sealing
2. Surface Sealing (includes rejuvenation)
3. Chip Seals
4. Slurry Seals (excludes micro-surfacing)
5. Fog Seals
6. Scrub Sealing
7. Joint crack seals
8. Joint repairs
9. Dowel bar retrofit
10. Spot high-friction treatments
11. Diamond grinding
12. Pavement patching

Retrofits or alterations must meet Department Standards unless compliance is technically infeasible. Follow the project design exception process if a pedestrian access ramp cannot comply with accessibility Standards due to a major impact. The region must document any technical infeasibility and submit it to the Division of Traffic and Safety for the record. Construct these locations to meet Standards to the maximum extent feasible.
Background
Refer to the following sources for more information:

1. PROWAG, Department Standard Drawing PA Series
2. Standard Specification Section 02771
3. Americans With Disabilities Act Title II Regulations
4. "Department of Justice/Department of Transportation Joint Technical Assistance on the Title II of the Americans with Disabilities Act Requirements to Provide Curb Ramps when Streets, Roads, or Highways are Altered through Resurfacing" (available at http://www.fhwa.dot.gov/civilrights/programs/doj_fhwa_ta.cfm), and “Glossary of Terms for DOJ/FHWA Joint Technical Assistance on the ADA Title II Requirements to Provide Curb Ramps When Streets Roads or Highways are Altered Through Resurfacing" (available at http://www.fhwa.dot.gov/civilrights/programs/doj_fhwa_ta_glossary.cfm).

Definitions
Technical Infeasibility
A technical infeasibility is an exception in the Guidelines for Accessible Public Right-of-Way. It can only be used in an alteration where compliance with applicable provision is technically infeasible. The alteration will comply with Standards to the maximum extent feasible.

Technical infeasibilities include major impact to permanent structures and major utilities such as municipal water/sewer/storm drain systems, and high voltage electrical poles/lines, excessive street slopes, or the physical terrain provided an engineering analysis has been completed to demonstrate that work cannot be done without significantly altering the terrain or permanent structures.

A lack of project funding is not a technical infeasibility.
Responsibility: Region Project Designer

Actions

1. Identify all pedestrian access ramps within the project boundaries.

2. Record all required changes to the pedestrian access ramps and any technical infeasibility on the ramp evaluation form available from the Division of Traffic and Safety.

3. Submit all technical infeasibilities through the Department design exception process.

Responsibility: Traffic and Safety Division

4. Evaluate and approve submissions for technical infeasibilities through the Department design exception process.

Responsibility: Region Project Designer

5. Submit pedestrian access ramp evaluation forms to the Division of Traffic and Safety once the project is completed.

Responsibility: Traffic and Safety Division

6. Update the inventory and Transition Plan with the changes made to the pedestrian access ramps by the project.
Responsibility: Region Traffic Operations Engineer

Actions

1. Identify potential projects in locations where access ramps do not exist.

2. Submit project recommendations to the Division of Traffic and Safety for review.

Responsibility: Traffic and Safety Division

3. Review project recommendations and coordinate revisions with the Region.

4. Approve and program funding for the projects.
Signal Pre-Emption  UDOT 06C-18
Effective: January 5, 2006  Revised: New

Purpose
To control the use of emergency service vehicle pre-emption and transit vehicle priority devices used to temporarily modify the timing of traffic signals.

Policy

Emergency Vehicle Pre-emption Devices
Only vehicles designated as authorized emergency service (ES) vehicles in State Code (UCA 41-6-1) may use traffic signal pre-emption devices. ES agencies must comply with the following requirements before pre-emption will be allowed.

1. The ES Pre-Emption equipment will be capable of uniquely identifying and logging specific users, and have sufficient precision and accuracy to minimize false calls. The ES agency will regularly provide UDOT with a list of all codes used by the ES agency and the vehicle associated with each code.

2. ES Pre-Emption equipment will only be active when the ES vehicle is responding to a call. The vehicle emitter must be wired to the vehicles’ emergency lights so that they are active together. A kill switch tied to the transmission or other vehicle system is required to inactivate the emitter once on scene.

3. The ES Pre-Emption equipment used will be fully compatible with UDOT’s computer-controlled traffic signal system. Changes by UDOT to the control system may require changes to the ES Pre-Emption equipment. The cost of such changes will be paid by the ES agency. UDOT will provide technical advice in design, installation, and maintenance at no expense to the ES agency.

4. ES agencies are not allowed access to signal control systems, computer controllers, cabinets, or other associated equipment. All installation and maintenance work will be performed by UDOT staff or authorized contractors. ES agencies will be responsible for all equipment costs. Labor costs for installation, removal, upgrade or routine maintenance will be the responsibility of the ES agency as outlined in the cooperative agreement required below.

5. Use of ES Pre-Emption equipment will be formally authorized by cooperative agreement between UDOT and the ES agency. The agreement will specify the route along which ES Pre-Emption is approved, contain all of the requirements listed in this policy, and any other provisions required to identify financial responsibility, etc. Modification of the approved route will require a new cooperative agreement.
Transit Vehicle Priority Devices

Any transit company whether public or private may apply to be allowed to use transit priority devices subject to the following criteria.

1. The transit agency must have operated regular service along the route requested for transit priority for at least one year and have an established ridership.

2. The Transit Priority devices used by the transit agency must be compatible with any existing or future ES Pre-Emption equipment along the route. Any upgrade to existing ES Pre-Emption required will be paid for by the transit agency. If existing Transit Priority equipment at a signal without ES Pre-Emption interferes with the installation of ES Pre-Emption equipment at a future date, then the Transit Priority equipment will be removed at the expense of the transit agency. ES Pre-Emption will always have precedence over Transit Priority.

3. The Transit Priority equipment used will be capable of uniquely identifying and logging specific users, and have sufficient precision and accuracy to minimize false calls. The transit agency will regularly provide UDOT with a list of all codes used by the transit agency and the vehicle associated with each code.

4. Transit Priority equipment will only be active when the transit vehicle is servicing a route.

5. The Transit Priority equipment used will be fully compatible with UDOT’s computer-controlled traffic signal system. Changes by UDOT to the control system may require changes to the Transit Priority equipment. The cost of such changes will be paid by the transit agency. UDOT will provide technical advice in design, installation, and maintenance at no expense to the transit agency.

6. Transit agencies are not allowed access to signal control systems, computer controllers, cabinets, or other associated equipment. All installation and maintenance work will be performed by UDOT staff or authorized contractors. Transit agencies will be responsible for all equipment costs. The transit agency will provide UDOT with an emitter for use in periodic maintenance and range settings. Labor costs for installation, removal, upgrade or routine maintenance will be the responsibility of the transit agency as outlined in the cooperative agreement required below.
7. Use of Transit Priority equipment will be formally authorized by cooperative agreement between the Utah Department of Transportation and the transit agency. The agreement will specify the route along which Transit Priority is approved, contain all of the requirements listed in this policy, and any other provisions required to identify financial responsibility, etc. Modification of the approved route will require a new cooperative agreement.

**Signal Controller Timing for a Pre-Emption or Priority Request**

Engineering judgment is required to determine the best response of a signal controller when a pre-emption or priority signal is detected. Refer to UDOT’s “Guideline & Procedures for Timing of Traffic Signals” for assistance.

**Background**

The Utah Department of Transportation recognizes the benefit to emergency service vehicles (ES) available by using traffic signal pre-emption devices. Faster response times are enabled and safety is enhanced as other vehicles yield more easily to approaching ES vehicles.

However, the use of signal pre-emption disrupts the interconnected computer-controlled traffic signal system by demanding a green light for the ES vehicle. This interruption may take considerable time to correct and causes further delay and disruption to the normal traffic flow.

UDOT also recognizes that transit vehicles can more effectively hold to schedules when transit vehicle priority devices request slightly more green time in the direction of travel. Due to the scheduled nature of transit movement, the impact to the computer controlled traffic signal system is less and can be partly addressed in the signal timing process.

**Definitions**

**Emergency Vehicle Pre-Emption** – A system that communicates between an emergency services vehicle and a traffic signal. The system detects the direction the vehicle is approaching and changes the signal to be green in that direction only.

**Transit Vehicle Priority** – A system that communicates between a transit vehicle and a traffic signal. The system detects the direction the transit vehicle is approaching and modifies the length of the green time in that direction.

**ES Agency** – An agency providing emergency response services such as fire-fighting, paramedic, or police and typically respond where lives are in immediate risk. The agency may be part of a City or County, or may be a private contractor.
Responsibility: Emergency Service or Transit Agency

Actions

1. Submit to the appropriate Region Traffic Engineer a proposal outlining route desired for ES Pre-Emption or Transit Priority, equipment list, design plan (sketch).

2. Proposals for routes crossing UDOT region boundaries must be submitted in both applicable regions.

Responsibility: Region Traffic Engineer

3. Review the proposal and outlines requirements for the cooperative agreement. If Transit Priority is involved forward request to the Engineer for Traffic Management for review and approval. Transit Priority shall not be approved by the Region Traffic Engineer alone.

Responsibility: Region Utilities Coordinator

4. Prepares cooperative agreement containing the policy outlined above, technical requirements, and financial commitments on the part of UDOT and the ES or Transit agency.

Responsibility: Emergency Service or Transit Agency

5. Executes and returns agreement to Region Utilities Coordinator.

Responsibility: Region Utilities Coordinator

6. Forwards agreement for final execution within the Department. A copy of the finally executed is sent to the Region Traffic Engineer and the Engineer for Traffic Management.

Responsibility: Emergency Service or Transit Agency

7. Prepares final design drawings and equipment list, and submits to Region Traffic Engineer.
**Responsibility:** Region Traffic Engineer

8. Oversees design, installation and implementation of planned ES Pre-Emption or Transit Priority per the requirements of the cooperative agreement. Inspects (or delegates to appropriate UDOT personnel) project to verify compliance with project plans and specifications, and audits vouchers for reimbursement to local government or reimbursement from (if either applicable) the ES or Transit agency. Submits final costs or expenses to Comptroller Office and approves final payments.

9. Notifies Comptroller Office of completion of project so as to close out Authority by submitting a Termination of Authority.

10. Periodically reviews use of ES Pre-Emption or Transit Priority to confirm compliance with the cooperative agreement and UDOT signal timing policies.
Safe Sidewalks Program

Purpose
To establish a Utah Department of Transportation (Department) policy for safe sidewalks. The State legislature has recognized the need for adequate sidewalk and pedestrian safety devices and declared that pedestrian safety be a consideration in all Department highway engineering and planning on all projects where pedestrian traffic can be a significant factor. The Safe Sidewalks Program provides a legislative funding source for construction of new sidewalks adjoining State Routes where sidewalks do not currently exist and where major construction or reconstruction of the route at that location is not included in the Statewide Transportation Improvement Program (STIP).

Policy
This policy will apply to all projects approved for construction under the Safe Sidewalks Program. A proposed sidewalk location must meet the following criteria in order to be considered for Safe Sidewalks Program funding:

1. The location must adjoin a State highway within an urban area or an area where the immediate environment of the project is of an urban nature.

2. The location must have significant pedestrian traffic.

3. Local government must match 25 percent in cash or right-of-way, or the match must meet the criteria set forth in the Department’s Flexible Match on Federal Aid Projects guidelines.

Safe Sidewalk projects may be combined with other state construction projects in locations that meet the program criteria in order to maximize its benefit to the location.

This policy does not relieve the Department of the responsibility to replace existing curbs, gutters, and sidewalks removed as a consequence of widening or altering highways according to existing law and policy nor to assume on the part of the Department any responsibility for jurisdiction over or maintenance of those portions of the rights-of-way of State highways relegated to political subdivisions by State law.
Sidewalks will not be required or constructed under this policy unless the local political subdivision within which the project is situated agrees to accept responsibilities for maintenance and jurisdictional control of the sidewalk either directly or by ordinance.

Safe Sidewalks Program projects must be constructed within two years from the date the funding is allocated. Funding not used within two years will be rolled into other safe sidewalks projects that are ready for construction.
Responsibility: Engineer for Traffic and Safety or Designee

Actions

1. Determine funding allocation by County and Regions based on population, K-12 student enrollment, and pedestrian crash experience.

2. Calculate funding allocations per Region and distribute to each of the four Regions.

3. Submit program information to the Region Director or designee including:
   a. Region funding distribution
   b. Project recommendations
   c. Program guidance
   d. Statewide project status reporting

Responsibility: Region Director or Designee

4. Identify potential projects at locations that qualify for Safe Sidewalks Program funding.

5. Coordinate potential project locations with future Region construction projects to verify that route improvements are not included in the STIP.

6. Coordinate with City and County authorities to advise them of funding availability and to assist them in the application process. Request applications for projects to be considered with local funding commitment for each project. Funding for the projects will be a 75 percent State and 25 percent Local match, or the Local match must meet the criteria set forth in the Department’s Flexible Match on Federal Aid Projects guidelines.

7. Receive project requests from local authorities for possible inclusion and request assistance from the Division of Traffic and Safety to establish priorities within the Region.
8. Review proposed project submittals including written scope of work and cost estimate. Prioritize the project submittals for funding within the Region. Forward project information and Region prioritized list to Division of Traffic and Safety for review and possible inclusion in the Statewide Program.

**Responsibility:** Engineer for Traffic and Safety or Designee

9. Combine the prioritized Region lists into the Department proposed Safe Sidewalks Program. This program is submitted to the Transportation Commission for the year-end state report.

**Responsibility:** Region Director or Designee

10. Monitor the contract performance by the local agencies. This includes the project certifications and return of excess funds if a project is not completed in an expeditious manner.

11. Prepare a cooperative agreement with the local agencies after receiving the approved Region project list from the Division of Traffic and Safety. The local agency is responsible for constructing the project either by qualified in-house personnel or by contracting with a licensed contractor.

12. Receive local agency request for reimbursement. Reimbursement request should include final project invoice and supporting documentation. Perform final walk-through to verify compliance with cooperative agreement. Process reimbursement payment to local agency upon successful completion of the project.

13. The local agency may request 75 percent of the reimbursement at the start of construction and the remainder once the project is successfully completed. The local agency must submit a request letter including the construction schedule in order to receive early partial reimbursement. All reimbursed funds must be returned to the Department if the project is not completed within the two-year time frame following project funding.

14. The Region Director may request an equal value exchange of right-of-way in lieu of the 25 percent local agency match.
Purpose
To outline the Utah Department of Transportation’s (Department) program to guarantee all sign installations on the State Highway System conform to the Manual on Uniform Traffic Control Devices (MUTCD).

Policy
All new and replacement permanent sign installations on the State highway system will be reviewed and approved by the Region Traffic Operations Engineer or designee, except:

1. All new and replacement permanent sign installations on freeways, grade separated expressways and parkways, and other facilities that are constructed to freeway standards will be reviewed and approved by the Engineer for Traffic and Safety for message, location, and design layout.

2. Existing signs will be monitored, modified, and changed as necessary to verify that they continue to function as intended according to 06C-21.1.

Background
New and replacement sign installations need to conform to the most recent edition of the MUTCD and any applicable Standard Drawings.
Procedures
Monitoring the Existing Inventory Of Signs

Responsibility: Region Traffic Operations Engineer

Actions

1. Perform periodic inspections of existing signs along the State highways within the Region primarily for content and location.

2. Submit a work order for any necessary corrective action to the Region District Engineer.

Responsibility: Region District Engineer

3. Perform regular daytime and nighttime inspections of existing signs along the State highways within the Region for sign condition. Refer to the current edition of the MUTCD.

   a. Sign condition includes at a minimum:

      1) Retro-reflectivity

      2) Visual appearance

      3) Grading around base

      4) Condition of safety features

      5) Obstructions

      6) Height and offset

4. Obtain sign and install as specified by the Region Traffic Operations Engineer or as indicated by the regular inspections.

Responsibility: Engineer for Traffic and Safety

5. Provide training for Department and Consultant personnel in sign design, fabrication, installation, and inspection processes.
Purpose
To define the appropriate use of permanent and portable Variable Message Signs (VMS) on Utah Department of Transportation (Department) highways:

Policy

General Operation
1. **Application** – This policy applies to all VMS on roads under Department jurisdiction including permanent VMS, portable VMS placed by the Department or its contractors, portable vehicle-mounted VMS used by the Department Incident Management Team, and portable VMS placed by contractors operating in the Department right-of-way (ROW) by permit.

2. **VMS Authorized by the Department** – Authorized Department personnel and their approved contractors have responsibility for the operation of VMS on all roadways under Department jurisdiction. Only VMS approved by authorized Department personnel are permitted on roadways.

3. **VMS Compatibility** – Any permanent VMS deployed on Department ROW must be compatible with the Department’s Advanced Traffic Management System (ATMS) software suite in use at the Traffic Operations Center (TOC). Exceptions may be granted with approval from the Traffic Management Division (TMD) Traffic Operations Engineer to allow the purchase and deployment of VMS devices by Department partners. An approved Memorandum of Understanding (MOU) detailing exceptions granted and operational practices between the Department and partners is required.

4. **Operation of Permanent VMS** – The TOC is responsible for the operation of all permanent VMS on roads. Region offices may request VMS messaging and the TOC will support as possible. The TOC will review the priority of messaging, the availability of VMS devices, and message content to verify compliance with this policy. Special cases may be approved by the TMD Traffic Operations Engineer to cede primary operation of permanent VMS to “authorized users” based on MOUs approved by the TMD Traffic Operations Engineer. Authorized users will only be allowed to post messages from a pre-approved list of message sets. These lists must be approved before access to VMS is provided to non-TOC users.
5. **Emergency Operation of Permanent VMS** – The TOC may temporarily delegate responsibility for the operation of permanent VMS to Region personnel and Department of Public Safety personnel trained in VMS operation during emergencies or during hours that the TOC is not staffed.

6. **Portable VMS** – Region Directors are responsible for the operation of portable VMS in their respective Regions.

7. **Utah Manual on Uniform Traffic Control Devices** – Design, placement, operation, maintenance, and message content of all VMS, including devices capable of displaying full color messages, will conform to the current edition of the Utah Manual on Uniform Traffic Control Devices (MUTCD).

8. **Messages with Department VMS Guidelines and Procedures** – All messages posted on both portable and permanent VMS will be according to VMS Guidelines and Procedures adopted by the Department Traffic Engineering Panel.

9. **No Message is Warranted** – VMS will be in blank mode until specific conditions described below under “Acceptable Message Types” warrant their use.

10. **Department Partners and VMS Operations** – All requests for VMS messaging from non-Department entities must be approved by the TMD Traffic Operations Engineer. “Message sets” may be developed and submitted for approval by the TMD Traffic Operations Engineer, however. These message sets will be saved and activated as needed via a phone call to the Control Room by the non-Department entity. Message sets sent in for approval must be submitted at least five working days in advance to allow for review and construction.

   a. Only pre-approved message sets may be requested and posted.

   b. Specific dates and the duration of message set requests must be provided.

   c. The MOU with a Partner will include a provision for keeping the TOC notified about the most current conditions and will notify the TOC immediately of any need for a change in language.
Acceptable Message Types

11. **Traffic Incidents** – VMS may be used to warn motorists of unexpected incidents including traffic crashes, stalled vehicles, debris in the roadway, spilled loads, emergency roadwork, utility line breaks, or other similar conditions that affect safety and efficiency of travel.

12. **Construction and Maintenance Activities** – VMS may be used to warn motorists of current construction and maintenance activities. These may include road or ramp closures, lane reductions, speed reductions, lane shifts, shoulder work, flaggers ahead, detours, temporary maintenance work, or other similar conditions.

13. **Weather and Road Conditions** – VMS may be used to display specific information about adverse weather, environmental, or downstream roadway conditions that may impact driver visibility and safety. Messages should be restricted to conditions of which the driver may not be aware such as BLACK ICE POSSIBLE and should not be used to inform the driver of obvious conditions such as FOG when the fog also exists at the VMS location.

14. **Traffic Safety-related Warnings** – Messages such as REDUCE SPEED, USE CAUTION, or PREPARE TO STOP may be displayed when they are used to alert the motorist about specific conditions ahead. They should only be used in conjunction with a message that advises the motorist of the specific condition and its location. Traffic safety messages may be used for extended sections of highway when the condition applies over that section.

15. **Emergency Evacuation or Homeland Security** – VMS may be used to display messages regarding homeland security road closures, area closures, restrictions, evacuation routes, or similar information.

16. **Traffic Delays** – Specific congestion or delay information may be displayed when congestion is unusual or exceeds a minimum threshold established in the Department’s VMS Guidelines and Procedures. Delay times may be measured automatically using electronic sensors or estimated by TOC staff. The TOC staff will monitor conditions closely and update delay estimates as conditions change if delay times are estimated.

17. **Estimated Travel Time** – Travel time information may be displayed on VMS if travel times can be measured or calculated using the electronic sensor equipment on the roadway and if the information can be displayed and updated on the VMS automatically.
18. **Advance Notice of Construction** – Traffic-related information that provides advance notice of upcoming roadwork may be displayed but should be replaced by current information whenever applicable. Advance notification of new construction or road closures should be placed up to but not more than one week before the roadwork.

19. **Information on Alternate Routes** – Messages recommending specific alternate routes may be displayed on a VMS only when there is specific information indicating that the alternate provides or is likely to provide a preferred route for motorists.

20. **Advance Notice of Special Events** – Traffic-related information that provides advance notice of upcoming special events may be displayed only if the event will significantly affect travel by generating significant traffic impacts or by requiring street or highway closures.

21. **Traffic Information and Route Guidance for Special Events** – VMS may be used to direct motorists traveling to special events in the interest of facilitating safe and efficient traffic flow. Messages directing motorists to special events will conform to the requirements in Paragraph 31.

22. **HAR Messages on VMS** – VMS may be used to advise motorists of messages being broadcast with the Highway Advisory Radio (HAR) system in the area.

23. **Amber/Silver Alerts** – VMS messages may be displayed for Amber/Silver Alerts following procedures established in cooperation with the coordinating agency.

24. **Supplementary Regulatory Signing** – A VMS message containing regulatory information will only be used when it supplements static regulatory signs meeting the requirements of the Utah MUTCD and when ordinances or traffic engineering orders are in effect. Examples of regulatory messages are WORK ZONE SPEED LIMIT 55 MPH and CHAINS OR 4 WHEEL DRIVE REQUIRED.

25. **Messages for Other Agencies** – VMS may be used to display messages relating to major incidents, road conditions, and construction for other agencies or states.

26. **Test Messages** – Test messages may be displayed on VMS when necessary. Acceptable test messages should either state TEST, display a portion of the alphabet, a sequence of numbers, or a non-message test pattern.
Acceptable Message Types with Special Approvals

27. **Highway Safety-Related Public Service Announcements** – Messages designed to convey a public service announcement related to highway safety may be displayed on VMS under the following conditions:
   
a. The Department receives a formal written request from another Governmental Agency or recognized Safety Organization.

b. The safety campaign is part of a recognized national or statewide effort.

c. The campaign is a multi-agency or multi-organization effort in which others will be participating visibly.

d. The Department of Public Safety is supportive of the effort.

e. The safety message will be displayed only for a short and fixed period of time such as Labor Day or Labor Day weekend.

f. It is recognized that the safety message may at times be overridden by a higher priority message such as CRASH AHEAD or ROAD CLOSED AHEAD.

g. Approval of the Director of Operations is required.

28. **Air Quality Public Service Announcements** – Messages designed to convey a public service announcement related to an imminent public health threat due to poor air quality may be displayed on permanent VMS under the following conditions:

a. An air quality alert at the “red” (severe) level has been issued by the Utah Department of Environmental Quality, Division of Air Quality.

b. The VMS is located within a county covered by the air quality alert.

c. A maximum of two VMS per direction per route in a county will be used to display air quality alert messages.

d. Advance air quality alert:
   1) The advance air quality alert message is displayed during the 24-hour period before the poor air quality day.
   
       2) An example of the advance air quality alert message is AIR QUALITY ALERT TOMORROW LIMIT DRIVING.
e. All messages related to traffic conditions or traffic safety will be considered to have a higher priority than air quality alert messages. Air quality alert messages will be overridden by higher priority traffic-related messages when the traffic-related messages are required such as travel time information.

f. Approval of the Director of Operations is required.

29. **Usage of Business or Private Entity Names** – Special non-advertising message content containing the usage of proper nouns or private entity business names requires preapproval by the Director of Operations. This approval will address concerns about potential negative impacts the usage of VMS may have to said businesses or entities. Content will not deviate from approved messaging.

30. **Other Deviations from Acceptable Message Types** – Any message request from an outside entity requesting a deviation from Utah MUTCD-compliant message types will require approval of the Director of Operations.

**Unacceptable Message Types**

31. **Advertising Messages** – Messages advertising any product, service, or event will not be displayed. Messages providing traffic information or route guidance for special events may be displayed but should be designed so company names, brand names, or advertising of the event is not embedded in the message. Messages that provide advanced notice of special events will not be used if the event will not generate significant traffic impacts or will not require road closures or detours.

32. **Non-Transportation-Related Public Service Announcements** – Messages designed to convey a public service announcement or increase public awareness (for example, telephone hotlines or safety campaigns) will not be displayed on VMS. Only a Deputy Director may grant exceptions to this policy.

33. **Unauthorized Regulatory Messages** – Messages that convey regulatory information will not be used unless static regulatory signs meeting the requirements of the Utah MUTCD are in place and appropriate ordinances or traffic engineering orders are in effect.
34. **Inaccurate, Vague, or Non-specific Messages** – Messages that do not convey specific information about actual road and traffic conditions facing motorists or which convey vague instructions will not be displayed. Examples of such messages are SLOW DOWN, CONGESTION AHEAD, EXPECT DELAYS, and USE ALT when no delays are present.

35. **Trivial or Non-Transportation-Related Messages** – Messages that do not fulfill a need, convey a clear simple meaning, and command respect of road users will not be displayed according to Section 1A.02 of the Utah MUTCD.

**Background**

VMS are an important part of the traveler information system. Portable VMS have been used for many years to advise of construction and maintenance activities while the first permanent VMS were installed in 1998 as part of the I-15 reconstruction. Construction and maintenance personnel are typically responsible for the operation of portable VMS on their respective projects.

The signs can furnish motorists with real-time information that advises them of a problem and in some cases, a suggested course of action. VMS are also used to improve motorist, road worker, and emergency response personnel safety, as well as to reduce traffic congestion and delay. VMS can also be used to manage traffic by displaying early warning, advisory, and alternative route messages.

Since the deployment of permanent VMS, they have become a critical part of the State’s traveler information system. The placement and the information presented on both portable and permanent VMS must be consistent with each other and compatible with static signs used on the roadway. VMS have been found to be very effective when operated on sound principles but their effectiveness is greatly reduced when they are not.

**Definitions**

**Incident** – Crashes, disabled vehicles, debris, utility line breaks, or anything affecting traffic flow that is not planned.

**Roadwork** – Construction, maintenance, or utility work on or near the roadway.

**Special Event** – Planned gatherings large enough to cause a traffic impact and generally not associated with standard daily traffic flow conditions.

**Variable Message Sign (VMS)** – Programmable traffic control devices that can usually display any combination of characters to present messages to motorists. These signs are either permanently installed above or on the side of the roadway or portable devices attached to a trailer or mounted directly on a truck and driven to a desired location.
Purpose
To define the use, installation, and funding of Engine Brake Restriction signing for the Utah Department of Transportation (Department).

Policy
The use of engine brakes is a safety benefit to the public. Any restriction of their use should be done only after a careful safety review.

Installation and maintenance of the signs will be completed by the Department. The requesting governmental agency will reimburse the Department for all design, materials, equipment, and labor expenditures associated with the installation and maintenance of the requested signing.

Sign Design will include the following:

a. Conformance to the most recent edition of the Manual on Uniform Traffic Control Devices (MUTCD).

b. Black legend on white background.

c. Freeways use 10 inch Series C.

d. Other highways use 6 inch Series C.

e. Sign legend will be ENGINE BRAKES RESTRICTED and may include a supplemental distance legend.
Responsibility: Region or District Director or Region Traffic Engineer

Actions

1. Receive request for Engine Brake Restrictions from local governmental agencies. The request must include a copy of the local noise ordinance with boundaries clearly indicated, the location of the proposed signs, and a commitment of both enforcement and reimbursement for all costs identified in Policy 06C-24.

2. Review request for safety concerns, feasibility, and compliance with the MUTCD and Policy 06C-24.

3. Coordinate the request with the Division of Traffic and Safety if safety concerns are identified in Step 2 or as required by Policy 06C-21.

4. Request and process a Traffic Engineering Order (TEO). Refer to Policy 06C-5.

Responsibility: Division of Traffic and Safety

5. Refer to Procedure 06C-21.1.

6. Complete any necessary safety evaluations.

7. Prepare and process TEO. Refer to Policy 06C-5.

Responsibility: Region or District Operations Engineer

8. Log in receipt of work order.

9. Schedule material, equipment, and personnel.

10. Review field location of installation with Region Traffic Engineer, if required.

11. Record installation date

12. Process TEO. Refer to Policy 06C-5.
13. Track costs associated with installation and maintenance and coordinate reimbursement from the requesting governmental agency.

Establishment of Speed Limits On State Highways

UDOT 06C-25


Purpose
To define the process for the Utah Department of Transportation (Department) establishing speed limits on state highways. Refer to Policy 06C-61 for establishing temporary speed limits in work zones.

Policy
It is the policy of the Department to establish speed limits on state highways on the basis of an engineering and traffic investigation according to the currently adopted edition of the Manual on Uniform Traffic Control Devices (MUTCD) and according to Section 41-6A-601 and Section 41-6A-602 of the Utah Code Annotated. Speed zone studies will be conducted upon the request of the Region Director or the Region Traffic Operations Engineer.

It is the intent of the Department to review every speed limit every five years. This may or may not include a field review. The Department will also review the crash history or other conditions that may have changed, such as the number of travel lanes, signal coordination, or traffic lanes in conjunction with the speed limit review. The Region Traffic Operations Engineers can request speed limit studies in their respective regions at any time when significant changes occur on a roadway segment.

The posted speed limit is based on the 85th percentile speed giving consideration to:

1. Road surface characteristics, shoulder condition, grade, alignment, and sight distance.
2. Roadside development, culture, and roadside friction.
3. Safe speeds for curves or hazardous locations within the zone.
4. Pedestrian activity, parking practices, and other traffic.
5. Reported crash experience for the most recent three-year period.

Consideration may be given for a speed limit below the 85th percentile speed when the 85th percentile speed appears inappropriate based on the six factors above. Any reduction beyond rounding based on the 85th percentile speed should not exceed 5 mph.
A follow-up study will be made from between six to eighteen months later whenever the speed limit has been reduced below the 85th percentile speed as a result of the engineering and traffic investigation. The speed limit will then be adjusted to ensure that it is not more than 5 mph below the rounded 85th percentile speed if necessary. Local authorities will be consulted before any changes are made.

A temporary Traffic Engineering Order (TEO) may be generated for a speed limit that matches the design speed when an existing roadway undergoes a substantial change such as a major widening such that the design speed of the new roadway is different than the posted speed limit prior to construction. A follow up study should be done when the project is complete to determine whether the speed limit based on the design speed should be changed so that it is based on the 85th percentile speed considering the six factors described above.

A temporary TEO may be generated for a speed limit that matches the design speed when a new roadway is constructed and a speed limit is established based on the design speed. A follow up study should be done when the project is complete to determine whether the speed limit based on the design speed should be changed so that it is based on the 85th percentile speed considering the six factors described above.

The Deputy Director approves the recommendation and directs the Engineer for Traffic and Safety to issue a TEO when a speed limit is established in accordance with Utah Code section 41-6a-602 and has been recommended by the Engineer for Traffic and Safety to be a permanent speed limit.

An appeal process is available and is described later in this policy and procedure for cases where no speed limit reduction is recommended or if an increase in the speed limit is recommended and local authorities are not satisfied with the results of the Department study.
Procedures
Establishment of Speed Limits On State Highways UDOT 06C-25.1

Responsibility: Region Director or Region Traffic Operations Engineer

Actions

1. Receive a request from a local jurisdiction to perform a speed zone study. This request should include reasons why the speed limit should be changed together with recommendations as to what the speed limit should be.

2. Request the Engineer for Traffic and Safety to conduct the necessary study.

Responsibility: Engineer for Traffic and Safety

3. Request that the Traffic and Safety Studies Engineer perform the necessary study.

Responsibility: Traffic and Safety Studies Engineer

4. Initiate field study to include three-year crash history, roadway geometry, roadside developments throughout the highway segment, pedestrian activity, school crossings, 85th percentile speed, and other considerations.

5. Evaluate data to determine appropriate speed limit according to the MUTCD.

6. Prepare study report and submit recommendations with appropriate supporting data to the Region Director and Region Traffic Operations Engineer.

Responsibility: Region Director or Region Traffic Operations Engineer

7. Inform local jurisdiction of study results and recommendations. Allow local jurisdiction to comment on the recommendations and schedule a meeting with local jurisdiction if necessary.
Responsibility: Local jurisdiction

8. Appeal the speed study recommendations to the Region Director, if desired. All appeals will be substantiated by facts and reliable data. The appeal will prove that a violation of Department Policy or MUTCD Standards has occurred or the appeal will be denied.

Responsibility: Region Director

9. Make speed limit change decisions, if any after consulting with the local jurisdiction or Region Traffic Operations Engineer or both. The Region Director will consult with the Deputy Director on final speed limit change decisions under 41-6a-602.

Responsibility: Region Traffic Operations Engineer

10. Request Engineer for Traffic and Safety to issue the appropriate TEO. Refer to Policy 06C-05.

Responsibility: Engineer for Traffic and Safety

11. Issue appropriate TEO according to Policy 06C-05.

Responsibility: Region Traffic Operations Engineer

12. Take appropriate steps to complete TEO execution, verify TEO completion, and return signed original TEO to the Traffic and Safety Division.
Marked Pedestrian Crosswalks

Purpose
To define the criteria the Utah Department of Transportation (Department) will use when considering the installation of marked pedestrian crosswalks on state highways.

Policy
The currently adopted version of the Manual on Uniform Traffic Control Devices (MUTCD) provides general guidelines regarding the application of crosswalk markings. More specific criteria are necessary to properly define when and where marked pedestrian crosswalks may be installed for consistent application. The basis for the criteria comes from an article in the January 2004 issue of the ITE Journal, “Safety Analysis of Marked Versus Unmarked Crosswalks in 30 Cities” and FHWA publication number HRT-04-100 “Safety Effects of Marked Versus Unmarked Crosswalks at Uncontrolled Locations, Final Report and Recommended Guidelines”, September 2005. Additional pedestrian crosswalk criteria currently in use in other states and municipalities were also reviewed and used to develop the pedestrian crosswalk criteria. A summary of these criteria is shown in Figure 1 and Tables 1, 2, and 3. In addition:

- Midblock crosswalks should not be considered where the distance to the nearest intersection is less than 600 feet.
- A two-way left turn lane is not considered a median pedestrian refuge.
- Marked crosswalks alone should not be used at unsignalized intersections where the speed limit exceeds 40 MPH.
- Crosswalks should not be installed at locations that could present an increased safety risk to pedestrians such as where there is poor sight distance, complex or confusing designs, a substantial volume of heavy trucks, or other dangers without first providing adequate design features and traffic control devices.

It is important to consider other pedestrian facility enhancements such as a raised median, traffic signal, roadway narrowing, enhanced overhead lighting, traffic-calming measures, and curb extensions as needed to improve the safety of the crossing whether or not marked crosswalks are installed. All pedestrian enhancements must comply with Department Standard Drawings and Specifications.
Responsibility: Region Director or Region Traffic Operations Engineer

Actions

1. Receive a written request from a local jurisdiction to install a marked pedestrian crosswalk. The request will include justification to install the crosswalk at the specified location.

Responsibility: Region Traffic Operations Engineer

2. Verify the request and conduct, at a minimum, a field review to determine if the location is a candidate site. Refer to the table to determine if installation of a crosswalk may result in a possible increase in pedestrian crash risk.

3. Submit request for pedestrian traffic count to the Traffic and Safety Studies Engineer if the location is a candidate site.

Responsibility: Traffic and Safety Studies Engineer

4. Perform pedestrian traffic count and determine whether a crosswalk is warranted.

5. Submit results and recommendations to the Region Traffic Operations Engineer.

Responsibility: Region Traffic Operations Engineer

6. Determine if a crosswalk will or will not be installed.

7. Perform a field review to assist with the determination.

8. Complete the following if a crosswalk will be installed:

   a. Determine what, if any, additional treatments or enhancements should accompany the crosswalk installation.
b. Respond to the local jurisdiction accordingly, arrange for design and installation of crosswalks, and consider additional treatments or enhancements.
   1) Refer to the following:
      a) Figure 1
      b) Tables 1, 2, and 3
      c) DD and SL series Standard Drawings

c. File the request and supporting information when project is completed.

7. Complete the following if a crosswalk will not be installed:

   a. Respond to the local jurisdiction accordingly and file the request and supporting information.
Figure 1. Pedestrian Crossing Flowchart
August 1, 2017

Identify candidate crossing location

- **Type of Crossing**
  - Uncontrolled
  - Controlled
    - Midblock Crossing?
    - Within 600' of Marked or Controlled Crossing?

- **Multi-Use Path (G)**

- **Stop or Signal Controlled?**
  - Safety or Capacity Concerns? (D)?
    - Yes
      - Install crosswalk with additional enhancements (See Table 3) or prohibit crossing at study location (E)
    - No
      - Install Marked Crosswalk

- **Concerns about driver compliance?**
  - ADT ≥ 1,500 vpd?
    - Yes
      - Existing Crosswalk?
        - Yes
          - Existing Crosswalk to Remain
        - No
          - Install Marked Crosswalk
    - No
      - Demand Exists (F)?
        - Yes
          - No Crosswalk Recommended
        - No
          - Consider Additional Treatments (See Table 3)

- **ADT ≥ 1,500 vpd?**
  - Yes
    - Go to Table 1
  - No
    - Location directly serves a generator (B)?
      - Yes
        - ADT ≥ 1,500 vpd?
          - No
            - Go to Table 1
          - Yes
            - No Action Recommended
      - No
        - ADT ≥ 300' to nearest marked or protected crossing?
          - Yes
            - Can obstruction be removed?
              - Yes
                - Adequate Sight Distance? (C)
                  - No
                    - Go to Table 1
                  - Yes
                    - Direct Peds to nearest marked or protected crossing
              - No
                - Go to Table 1
          - No
            - Meets 2x Pedestrian Volume Criteria? (A)
              - Yes
                - Meets Pedestrian Volume Criteria?
                  - Yes
                    - ADT ≥ 1,500 vpd?
                      - No
                        - Go to Table 1
                      - Yes
                        - No Action Recommended
                  - No
                    - Go to Table 1
              - No
                - Go to Table 1

- **Existing No Crosswalk?**
  - No
    - Install crosswalk with additional enhancements (See Table 3) or prohibit crossing at study location (E)
  - Yes
    - No Multi-Use Path (G)
      - School Stop
      - No
        - ADT ≥ 1,500 vpd?
          - Yes
            - Go to Table 1
          - No
            - See Chapter 7 of Utah MUTCD
        - Yes
          - Go to Table 1

- **Minimum Pedestrian Volume Criteria:**
  - 20 Peds per hour* in any one hour, or
  - Average of 18 peds per hour* in any two hours, or
  - Average of 15 peds per hour* in any three hours
  - * School Aged Children, elderly, and disabled pedestrians count double towards volume criteria

- **Types of Generators:**
  Include (but are not limited to) Transit Centers, Parks, Hospitals, Libraries, Senior Centers, Shopping Centers, Employment Centers, or other large pedestrian generators

- **Sight Distance Criteria:**
  Sight distance is based on 85th percentile speed using current edition of AASHTO Green Book.

- **Crosswalk Justified:**
  Engineering judgement indicates a crosswalk is justified and safety concerns or capacity do not preclude a crosswalk.

- **Prohibit Crossing:**
  Use appropriate signing and/or physical devices to prohibit crossing at a given location if engineering judgement indicates a safety and/or capacity concern exists.

- **Demand Exists:**
  Near a generator or engineering judgement indicates a crosswalk is needed to direct pedestrians to proper path.

- **Multi-Use Path:**
  A path physically separated from motor vehicle traffic by an open space or barrier and either within a public right of way or easement, which accommodates two-way non-motorized travelers such as pedestrians, bicyclists, runners, and skaters.
<table>
<thead>
<tr>
<th>ROADWAY TYPE (NUMBER OF LANES AND MEDIAN TYPE)</th>
<th>ADT &lt; 9,000</th>
<th>ADT 9,000 TO 12,000</th>
<th>ADT 12,000 TO 15,000</th>
<th>ADT &gt; 15,000</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>≤ 30 MPH</td>
<td>35 MPH</td>
<td>≥ 40 MPH</td>
<td>≤ 30 MPH</td>
</tr>
<tr>
<td>TWO LANES</td>
<td>C  C  P</td>
<td></td>
<td></td>
<td>C  C  P</td>
</tr>
<tr>
<td>THREE LANES</td>
<td>C  C  P</td>
<td></td>
<td></td>
<td>C  P  P</td>
</tr>
<tr>
<td>FOUR OR MORE LANES WITH RAISED MEDIAN</td>
<td>C  C  P</td>
<td></td>
<td></td>
<td>P  N  N</td>
</tr>
<tr>
<td>FOUR OR MORE LANES WITHOUT RAISED MEDIAN</td>
<td>C  P  N</td>
<td></td>
<td></td>
<td>P  P  N</td>
</tr>
</tbody>
</table>

*New marked crosswalks alone should not be installed across uncontrolled roadways where the speed limit exceeds 40 mph.

**C = Candidate site for marked crosswalk**
Marked crosswalk alone may be sufficient. Marked crosswalks must be installed carefully and selectively. Before installing new marked crosswalks, an engineering study is needed to determine whether the location is suitable for a marked crosswalk. For an engineering study, a site review may be sufficient at some locations, while a more in depth study may be needed at other sites. Additional enhancements may be considered based upon engineering judgement and additional considerations. See Table 2 for types of additional enhancements at uncontrolled locations.

**P = Probable candidate site for marked crosswalk**
Marked crosswalk alone may be insufficient. Possible increase in pedestrian crash risk may occur if crosswalks are added without other pedestrian facility enhancements. Low level pedestrian enhancements are recommended at these locations. Multiple low level treatments may be considered if engineering judgement determines they are appropriate. High level improvements may also be considered if (a) the site meets the criteria for the selected high level treatment and (b) engineering judgement determines they are appropriate. These sites should be closely monitored and enhanced with other pedestrian crossing improvements if necessary. See Table 2 for types of additional enhancements at uncontrolled locations. Additional enhancements may be considered based upon engineering judgement and additional considerations.

**N = Marked crosswalk alone is insufficient, since pedestrian crash risk may be increased by providing marked crosswalks alone**
Marked crosswalk alone is insufficient. High level treatments required if warranted (3). See Utah MUTCD for criteria for high level treatments. If study location does not meet criteria of any high level treatments, multiple low level treatments would be required as a minimum (2). Judgment may indicate that a crossing should not be installed due to increased safety risks. These sites should be closely monitored and enhanced with other pedestrian crossing improvements if necessary. Additional enhancements may be considered based upon engineering judgement and additional considerations. See Table 2 for types of additional enhancements at uncontrolled locations.
### TABLE 2. TYPES OF PEDESTRIAN ENHANCEMENTS AT UNCONTROLLED LOCATIONS

<table>
<thead>
<tr>
<th>LOW LEVEL PEDESTRIAN ENHANCEMENTS</th>
<th>HIGH LEVEL PEDESTRIAN ENHANCEMENTS (Additional criteria for each treatment must be met)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Advanced Pedestrian warning signing</td>
<td>Pedestrian Hybrid Beacon (HAWK)</td>
</tr>
<tr>
<td>High Visibility Crosswalk</td>
<td>Pedestrian Activated Signal</td>
</tr>
<tr>
<td>Median Refuge Island</td>
<td>Overhead School Pedestrian Assembly</td>
</tr>
<tr>
<td>Bulb-Outs</td>
<td></td>
</tr>
<tr>
<td>Pedestrian Activated Flashing Beacons (Overhead or Shoulder Mounted)</td>
<td></td>
</tr>
<tr>
<td>Pedestrian Activated Rectangular Rapid flashing Beacons (RRFBs)</td>
<td></td>
</tr>
<tr>
<td>Reduced Corner Radii</td>
<td></td>
</tr>
<tr>
<td>Split Pedestrian Crossover (SPXO)</td>
<td></td>
</tr>
<tr>
<td>Installation of Yield or Stop Lines with “Yield Here To (Stop Here For) Pedestrians” Signs</td>
<td></td>
</tr>
<tr>
<td>Special Pavement Markings such as “Pedestrian Look Left” or “Watch for Turning Vehicles”</td>
<td></td>
</tr>
<tr>
<td>Install Overhead Lighting</td>
<td></td>
</tr>
<tr>
<td>Install Directional Pedestrian Ramp</td>
<td></td>
</tr>
</tbody>
</table>

**NOTE:** The list of enhancements in the table above is not intended to be all-inclusive, other types of enhancements may also be considered. The decision to use a particular enhancement at a given location should be made on the basis of either an engineering study or the application of engineering judgment. Thus, while these guidelines should be considered in the design and application of traffic control devices, they should not be considered a substitute for engineering judgment. Engineering judgment should be exercised in the selection and application of traffic control devices. Additional considerations to gaps (ability of pedestrians to cross roadway; including forced gaps), crossing width, pedestrian demand, crash history, and other factors outlined in the Pedestrian Crossing Guidelines flowchart should be considered in the selection of the appropriate enhancement.
### TABLE 3. TYPES OF PEDESTRIAN ENHANCEMENTS AT CONTROLLED LOCATIONS

<table>
<thead>
<tr>
<th>LOW LEVEL PEDESTRIAN ENHANCEMENTS</th>
<th>HIGH LEVEL PEDESTRIAN ENHANCEMENTS (Additional criteria for each treatment must be met)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Advanced Pedestrian Warning Signing</td>
<td>Overhead School Pedestrian Assembly</td>
</tr>
<tr>
<td>High Visibility Crosswalk</td>
<td></td>
</tr>
<tr>
<td>Median Refuge Islands</td>
<td></td>
</tr>
<tr>
<td>Reduced Corner Radii</td>
<td></td>
</tr>
<tr>
<td>Special Pavement Markings such as “Pedestrian Look Left” or “Watch for Turning Vehicles”</td>
<td></td>
</tr>
<tr>
<td>Install Overhead Lighting</td>
<td></td>
</tr>
<tr>
<td>Install Directional Pedestrian Ramp</td>
<td></td>
</tr>
<tr>
<td>Pedestrian “Scramble” Phase at Signalized Intersections</td>
<td></td>
</tr>
<tr>
<td>Prohibiting Right-Turn on Red at Signalized intersections</td>
<td></td>
</tr>
<tr>
<td>Equipping Signals with Early Release or Pedestrian Lead Time</td>
<td></td>
</tr>
<tr>
<td>Installing Countdown Signal Heads</td>
<td></td>
</tr>
<tr>
<td>Increased Pedestrian Crossing Time (Automated in Controller or Manually via Switch Key) during Peak Periods</td>
<td></td>
</tr>
</tbody>
</table>
Transportation Safety Program Restricted Account

Purpose

To establish policies by which the Utah Department of Transportation (Department) approves, distributes and partners with private agencies and donors, and the process by which the Department will consult with the Department of Public Safety to prioritize programs and efforts funded with account funds.

This account provides opportunities for private agencies to donate, or partner with the Zero Fatalities Program, Safe Routes Utah Program or any other traffic safety education program within the Department.

Policy

General Principles

Revenue generated from donors and partners will be used to offset costs associated with providing the program or to extend the reach of public safety programs beyond available public dollars. All partnership activities will require a partnership agreement between the Department and the partnering organization (Partner). All partnership agreements will provide a net benefit to the public. As determined by the Department, partners may be eligible for acknowledgement signs or other forms of recognition. The Department retains sole discretion to determine what signs or other forms of recognition will be approved.

Partnership Policies and Agreements

All partnership agreements must include language authorizing the Department to terminate the agreement if the Department determines that the agreement, or acknowledgement:

- Is contrary to the goals and policies of the Department or traffic safety education programs (for example, Zero Fatalities)
- Presents a safety concern
- Is not in the public interest

Partnership agreements must contain the following provisions:

1. No Partner will be in the business of promoting activities that would have a negative impact upon, or dishonor or discredit the State of Utah or the Department. It is the sole discretion of the Department to determine whether the activities meet the standards of this policy.
2. Neither the Partner, nor any advertising or promotional materials associated with the Partner, including but not limited to digital information, signs, website, or social media postings, may state or
imply that a State agency or institution endorses a Partner’s product or service.

3. All Partnership activities must comply with Federal and State laws and regulations including, but not limited to:
   a. The Partner is prohibited from entering into any contract or agreement that would result in the promotion or acknowledgement of political candidates, parties, purposes, or issues on Department property.
   b. No Partnership may promote the use or activity of alcohol, tobacco, drugs, gambling, sexual material, or any substance or activity illegal for minors.

4. Companies or organizations currently contracted with the Department are not allowed to donate to safety programs.

Program Administration
Partnership programs may be structured in one of the following ways. All partnership programs are subject to approval by the Department after consultation from the Department of Public Safety:

1. Donation: Individuals, companies, organizations, or groups may donate funds, gift cards, goods, or services to a transportation safety program. A letter from the Department will be provided to the donor stating the donation dollar amount or service for tax purposes.

2. Sponsor: Individuals, companies, organizations, or groups may sponsor a specific event, item(s), or work related to transportation safety. Sponsors may be eligible for acknowledgement signs or other forms of recognition in accordance with this policy.

3. Partnership: Individuals, companies, organizations, or groups may partner with the department and its safety behavior programs to provide goods, services, or funding for the program.

Collection
Private agencies shall send all cash and cash equivalents (for example, gift cards) directly to the Comptroller’s Office in compliance with UDOT 02-60 - Cash Receipts.
Recreational and Cultural Interest Signing, Guide Signing For Recreational Information Centers, and Camping Signs on Highways Other than Freeways

UDOT 06C-30

Effective: January 9, 1970 Revised: March 19, 2015

Purpose
To define the Utah Department of Transportation (Department) acceptable use of signing for recreational and cultural interest facilities, recreational and cultural information centers, and for camping signs on highways other than freeways.

Policy
Signing for major recreational and cultural interest destinations on highways other than freeways is allowed under the guidelines as prescribed in the currently adopted edition of the Manual on Uniform Traffic Control Devices (MUTCD) and this policy.

1. Signing for recreational and cultural interest destinations is considered supplemental to overall signing and may not be installed where there is insufficient longitudinal spacing from adjacent signing of higher priority.

2. Signs for recreational and cultural interest destinations will be located in advance of the closest intersection that provides the most direct and best route to the destination. Normally, one sign at the cross street is all that is necessary to provide direction to the destination that may be reached from the intersection. An additional advance sign may be located ¼ to ½ mile from the intersection.

3. The recreational and cultural interest destination signs may contain up to three qualifying destinations. Show the three destinations that create the greatest traffic demand in the event there are more than three qualifying destinations. Selection of the qualifying destinations will be coordinated with the local governmental agency.

a. Signing may contain the name of the recreational or cultural interest destination with symbols showing the types of recreation available.
4. The destination should be located no more than 15 miles from the highway intersection except for major traffic generators.
   a. A confirmation mileage sign should be installed on the cross street for destinations further than 1 mile from the intersecting route.
   b. Trailblazers will be installed when the destination is not located on the crossroad, or is not readily visible from the crossroad.
   c. Signing will not be installed for the facility until the local governmental agency has installed appropriate trailblazing signs when the destination is not located on a state highway. The access road to the facility must be traversable under normal weather conditions by 2-wheel drive passenger vehicles.

5. Isolated recreational and cultural facilities in rural areas may be signed specifically, for example, Ski Area or Camping Area.

6. Signing for recreational and cultural information centers may be provided for communities or other geographical areas that contain several recreational and cultural interest facilities when individual signing for those facilities cannot be accommodated. A recreational and cultural center is a location that meets the following criteria:
   a. Reasonable accessibility from the state highway system
   b. Adequate parking facilities for interested parties
   c. Staffed a minimum of eight hours per day, seven days per week
   d. Sponsored by an impartial group representing the area
   e. Either provide or provide access to restroom, phone, and drinking water facilities
   f. Provide compliance with ADA and civil rights requirements

7. Signing for camping may be installed on state highways other than freeways if the following services and criteria are met:
   a. Camping facility is located within five miles of the state highway.
b. Camping facility is operated 24 hours each day, 7 days each week.

c. Camping facility is licensed by the appropriate public agency.

d. A minimum of ten camping spaces are available.

e. Drinking water and modern sanitary facilities are available.

f. Adequate off-street parking is available.

g. Advance signing will consist of the appropriate MUTCD camping symbols and the distance legend. The intersection signing will consist of the same camping symbols and a directional arrow. The distance to the campground will be included with the intersection signing when the campground is not visible from the highway. Names of campgrounds or operating agencies will not be shown.

8. Priority for destinations that may be considered for signing is as follows:

a. National Parks

b. National Forests

c. National Recreation Areas

d. National Monuments

e. State Parks

f. National Historic Sites

g. National Landmarks

h. Museums of Regional Significance

i. Civic Centers

j. State and County Fairgrounds

k. Lakes and Dams

l. Ski Areas
9. Destinations that are excluded from signing include:
   a. Universities and Colleges
   b. City and County Parks
   c. Police and Fire Stations
   d. Post Offices
   e. Court Houses
   f. Cemeteries
   g. Prisons
   h. Historical Homes, Buildings, or Sites
   i. Churches
   j. Libraries
   k. Clubs
   l. Private, Charter, Elementary, Middle, Jr. High, and High Schools
   m. Shopping Centers
   n. Subdivisions
   o. Privately-owned Museums
   p. Theaters
   q. Seminaries
   r. Power Plants
Procedures
Recreational and Cultural Interest Signing On Highways Other Than Freeways
UDOT 06C-30.1

Responsibility: Region Director or Region Traffic Operations Engineer

Actions

1. Receive request for recreational, cultural, information center, or camping signs.

2. Review request for feasibility and compliance with MUTCD and Policy 06C-30.

3. Respond to requestor with sign placement decision.

4. Arrange for installation when the decision is made to proceed with sign installation.
Supplemental, General Service and No Services

Signs On Freeways

Purpose
To define the use of supplemental, general service and no services signing on freeways.

Policy
Supplemental Guide Signing

Freeway supplemental guide signs for qualifying traffic generators must be consistent with the current adopted edition of the Manual on Uniform Traffic Control Devices (MUTCD), the current edition of AASHTO’s Guidelines for the Selection of Supplemental Guide Signs for Traffic Generators Adjacent to Freeways, and this policy.

1. No supplemental guide signs on freeways for qualifying traffic generators shall be installed without prior approval of the Division of Traffic and Safety (see Policy 06C-21).

2. Not more than one supplemental guide sign for a qualifying traffic generator shall be provided in each direction along any one freeway. Signs for these facilities shall be located in advance of the closest interchange that provides the most direct and best route to the facility. The signs may contain a maximum of three traffic generator destinations. In the event there are more than three qualifying destinations, the three that create the greatest traffic demand should be shown.

3. There should be a maximum of one supplemental guide sign per interchange direction.

4. Supplemental guide signing is considered supplemental to overall signing and may not be installed where insufficient longitudinal spacing exists from adjacent signing.

5. Supplemental guide signs should not be installed in advance of freeway-to-freeway interchanges.

6. Signing for qualifying traffic generators that operate seasonally may be displayed on a supplemental guide sign where the legend can be covered, folded, or otherwise not seen. The legend shall not be displayed when the generator is not open. Seasonal generators are included in the maximum of three qualifying destinations.
7. Criteria for qualifying traffic generators are found in the most recent adopted edition of the MUTCD, and the current edition of AASHTO’s Guidelines for the Selection of Supplemental Guide Signs for Traffic Generators Adjacent to Freeways. Satisfying criteria as a qualifying traffic generator shall not in itself require the generators inclusion on supplemental guide signs. Consideration for signing those facilities meeting the criteria will be based upon those providing the greatest benefit for the motorist. Preferential order for inclusion on supplemental guide signs should be:

a. Incorporated municipalities
b. Major traffic generators
c. Unincorporated areas
d. Other generators

**General Services Signing**

General services signing shall be in conformance with the most recent adopted edition of the MUTCD. General services signing should not be installed at locations where logo signing for the same type service is in place.

**Hospital**

Qualifying facilities shall be within 15 miles of the interchange.

At the crossroad near the ramp termini, a sign with the legend HOSPITAL or the H symbol with direction and optional mileage noted shall be installed.

Trailblazing signing from the interchange to the facility shall be provided by the appropriate governmental agency having jurisdiction over the route before the hospital signs are installed on the freeway.

In the event that more than one hospital is accessible from one interchange, the closest facility considered to have the best route and the least delay should be signed.

**No Services Signing**

At interchanges where there are no services within 15 miles of the exit, advance and exit directional guide signs shall be supplemented with a plaque bearing the legend NO SERVICES. At these exits, a sign with the legend NO SERVICES AHEAD shall be installed on the ramp near the crossroad. However, if services exist beyond 15 miles from the exit, a sign with the legend NEXT SERVICES XX MILES, with direction noted, may be installed on the ramp.
The NEXT SERVICES XX MILES sign should be installed in advance of the last location where services are available when the distance between available services is 40 miles or greater. The NEXT SERVICES XX MILES sign should be placed between the 1-Mile and the ½-Mile advance guide signs. The information may be placed as a supplemental lower panel on the advance guide signs if necessary.
Procedures
Supplemental, General Service and No Services Signing
On Freeways

Responsibility: Region Director

Actions

1. Receives request for supplemental, general service, or no services signing on a freeway.


3. Respond to requestor with determination.

4. When decision is made to proceed with sign installation(s), create work order.

Responsibility: Region Director

5. Log in receipt of work order.

6. Schedule material, equipment, and personnel.

7. Review field location of installation(s) with Region Traffic Engineer (if required).

8. Record installation date.

9. Maintain record of installation(s) (Policy 06C-21).
Purpose
To define Off-Interstate Business Loops and Spurs.

Policy
Off-Interstate Business Loops or Spurs will only be considered directly off of the Interstate system in rural areas outside the established boundaries of any Municipal Planning Organization (MPO), and where three or less interchanges serve the area.

Off-Interstate Business Loops will not exceed six miles in length, be traversable by all legal vehicles, be appropriately signed, and connect two interchanges. Off-Interstate Business Spurs will not exceed three miles in length, be traversable by all legal vehicles, and be appropriately signed. Signing shall conform to the most recent edition of the Manual on Uniform Traffic Control Devices (MUTCD). The Off-Interstate Business Route signs will be placed on the Interstate interchange guide signs, and trailblazing signing will be placed along the loop or spur. Only one set of Off-Interstate Business Route signs will be placed for each direction of travel on the Interstate.

A business loop or spur shall not be established unless all of the following services are available:

1. At minimum of two automotive service stations that each operate at least 16 hours per day, seven days per week, and offer fuel, oil, water, modern sanitary facilities, drinking water, and a public telephone.

2. A restaurant that operates continuously at least 14 hours per day, seven days per week, serving three meals per day, licensed by the appropriate public agency, with modern sanitary facilities and with the primary business purpose of preparing food.

3. A minimum of ten rooms of motel or hotel space with private modern sanitary facilities, licensed by the appropriate public agency, with a public telephone.
Procedures
Off-Interstate Business Loops and Spurs

Responsibility: Local Government Agency

Actions

1. Submits a request to the Region/District to have an Off-Interstate Business Loop or Spur added to the Interstate signing system.

Responsibility: Region Director/Region Traffic Engineer/District Engineer

2. Receives request for an Off-Interstate Business Loop or Spur.
3. Reviews request for feasibility and compliance with MUTCD and Policy 06C-32.
4. Respond to requestor with determination.
5. When decision is made to proceed with sign installation(s), create work order.

Responsibility: Region/District Operations Engineer

7. Schedule material, equipment, and personnel.
8. Review field location of installation(s) with Region Traffic Engineer (if required).
9. Record installation date.
10. Maintain record of installation(s) (Policy 06C-21).

Responsibility: Region Director/Region Traffic Engineer/District Engineer

11. Forwards notice of completion of new Off-Interstate Business Loop or Spur to the Division of Traffic and Safety.

Responsibility: Division of Traffic and Safety

12. Maintains record of approved Off-Interstate Business Loops or Spurs.
**Purpose**
To define the cities or points that can be used on Interstate distance signs.

**Policy**
The message on distance signs on the Interstate System will contain two or three destinations. All three destinations should be used whenever practical.

The top destination should identify the next city or point from which motorist services are available within 15 miles of the interchange. If more than one city or point is served by the interchange, the nearest city or point will be designated.

The middle destination should identify one of the following cities or points:

<table>
<thead>
<tr>
<th>I-15</th>
<th>I-70</th>
<th>I-80</th>
<th>I-84</th>
</tr>
</thead>
<tbody>
<tr>
<td>St. George</td>
<td>Richfield</td>
<td>Wendover</td>
<td>Snowville</td>
</tr>
<tr>
<td>Cedar City</td>
<td>Salina</td>
<td>Tooele</td>
<td>Tremonton</td>
</tr>
<tr>
<td>Beaver</td>
<td>Green River</td>
<td>Park City</td>
<td>Morgan</td>
</tr>
<tr>
<td>I-70</td>
<td>I-84</td>
<td>I-80</td>
<td></td>
</tr>
</tbody>
</table>

These cities and points have been selected based on motorist interest, available services, and strategic geographical location. Other cities or points may, from time to time, be identified on the middle destination, provided the above cities or points have been signed for on the previous and subsequent distance signs. The middle destination may be varied on successive distance signs to give motorists maximum information concerning cities or points served by the Interstate system.
The bottom destination will identify the next National Control City from the list of National Control Cities designated by AASHTO. If two interstate routes are concurrent, the distance signs may identify two National Control Cities on the middle and bottom destinations. The National Control Cities applicable for use in Utah are:

<table>
<thead>
<tr>
<th>I-15</th>
<th>I-70</th>
<th>I-80</th>
<th>I-84</th>
</tr>
</thead>
<tbody>
<tr>
<td>Las Vegas</td>
<td>I-15</td>
<td>Reno</td>
<td>Ogden</td>
</tr>
<tr>
<td>Salt Lake</td>
<td>Grand Junction</td>
<td>Salt Lake</td>
<td>Twin Falls</td>
</tr>
<tr>
<td>Ogden</td>
<td></td>
<td>Cheyenne</td>
<td></td>
</tr>
<tr>
<td>Pocatello</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

When distance signs are placed on a route as it exits the state, the distance sign should identify cities or points that are in the neighboring state, following the principles in this Policy 06C-33.

Distances to the same destination should not be shown more frequently than at five mile intervals. When there are closely spaced interchanges for a city or urban area, the distance sign should be placed after the last interchange. The spacing between distance signs should not exceed 20 miles.

The mileage shown will be the distance to the destination along the most direct route, as measured to the nearest rounded down mile to a central location of the destination (i.e., coordinate center, government offices, significant crossroad, or landmark). The distance difference displayed between destinations on successive signs should not change.
Procedure
Distance Signs on the Interstate System     UDOT 06C-33.1

Responsibility: Region Director/Region Traffic Engineer/District Engineer

Actions

1. Periodically review (i.e., during project scoping, regular interstate sign review review, or public request) existing distance signs.

2. Review request for distance sign for feasibility and compliance with MUTCD and Policy 06C-33.

3. Determine proper mileage for distance sign as per Appendix A of this Procedure (06C-33.1A).

4. Forward request with recommendation to the Division of Traffic and Safety (see Policy 06C-21).

Responsibility: Division of Traffic & Safety

5. Review and respond to Region Director/Region Traffic Engineer/District Engineer with the determination.

Responsibility: Region Director/Region Traffic Engineer/District Engineer

6. Respond to requestor with determination (if required).

7. When decision is made to proceed with sign installation(s) or modification(s), create work order.

Responsibility: Region/District Operations Engineer

8. Log in receipt of work order.

9. Schedule material, equipment, and personnel.

10. Review field location of installation(s) with Region Traffic Engineer (if required).

11. Record installation date.

12. Maintain record of installation(s) (Policy 06C-21).
Responsibility:  Region Director/Region Traffic Engineer/District Engineer

13. Forwards notice of completion of new distance sign to the Division of Traffic and Safety.

Responsibility:  Division of Traffic & Safety

14. Maintains record of approved distance signs.
Appendix A
Distance Signs on the Interstate System

Process

The process to determine the mileage number to be placed on Interstate Distance Signs will be determined by using the Table 06C-33.1 as follows:

1. Determine the physical location of the distance sign. The typical location is the third sign of the post interchange series, located approximately 2500 ft beyond the end of the acceleration lane of the entrance ramp (MUTCD, Section 2E.35).

2. Determine the Reference Post location of the distance sign.

3. Using the values in Table 06C-33.1, calculate the difference between the Reference Post of the structure point of the destination and the Reference Post of the distance sign. This is the mileage from the sign location to the center of the structure at the exiting interchange (or the beginning/end of the route).

4. Using the values in Table 06C-33.1, add the distance from the interstate (or beginning/end of route) to the central location of the destination to the distance determined in Step 3.

5. The distance calculated in Step 4 is the total mileage from the sign location to the central location point of the destination.

6. Round all distances down to the nearest whole number. Fractions are not to be used on distance signs.

Example

A distance sign is placed after the southbound on-ramp from Exit 222, Nephi South Main Street, at RP 221.96.

1. Fillmore is the top destination. The center point of the interchange structure is at RP 166.74. The difference is 55.22 miles. The distance from the interstate to the central location, 1.52 miles, is added; and the total distance from the sign to Fillmore is 56.74 miles. When this is rounded down, 56 miles is used.

2. St. George is the middle destination. The center point of the interchange structure is at RP 8.66. The difference is 213.30 miles. The distance from the interstate to the central location, 1.40 miles, is added; and the total distance from the sign to St. George is 214.70 miles. When this is rounded down, 214 miles is used.
3. The southbound Control City, Las Vegas, is the bottom destination. The state line is at RP 0.00 (the beginning of the route). The difference is 221.96 miles. The distance from the state line to the central location, 115.88 miles, is added; and the total distance from the sign to Las Vegas is 337.84 miles. When this is rounded down, 337 miles is used.

The example distance sign would have the following legend:

<table>
<thead>
<tr>
<th>Location</th>
<th>Distance</th>
</tr>
</thead>
<tbody>
<tr>
<td>FILLMORE</td>
<td>56</td>
</tr>
<tr>
<td>ST GEORGE</td>
<td>214</td>
</tr>
<tr>
<td>LAS VEGAS</td>
<td>337</td>
</tr>
</tbody>
</table>
### Table 06C-33.1

#### I-15

<table>
<thead>
<tr>
<th>Destination (Control Cities in Bold)</th>
<th>Exit Number</th>
<th>Northbound</th>
<th>Southbound</th>
<th>Central Location</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Structure/Point (RP)</td>
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Purpose
To define the criteria and signing for Utah Department of Transportation (Department) Rest Areas, Rest Stops, and Tourist Information Centers.

Policy
Rest Areas will be signed according to the most recent edition of the Manual on Uniform Traffic Control Devices (MUTCD).

Department approved Rest Stops are a Public and Private partnership for the benefit of freeway motorists and will be signed for using the following criteria:

1. Highway signs and highway sign maintenance will be provided by the Department.
2. The signs will have white legend and border on a blue background.
3. Signing for each direction of travel will include one sign before the first Advance guide sign, one sign before the Exit Directional guide sign, and trailblazing signs as required directing motorists to the Rest Stop.
4. The name of the participating entity will be shown only on the trailblazing signs and not on the freeway signs.

Tourist Information Centers will be signed according to the most recent edition of the MUTCD with the following additions:

1. Staffed for continuous operation eight hours a day, seven days a week. The tourist information sign will be covered or removed during the off-season if a tourist information center is operated on a seasonal basis.
2. The name of the operating agency will not be shown on any of the advance signing.
Procedures
Signing Rest Areas, Rest Stops, and Tourist Information Centers  UDOT 06C-34.1

Responsibility:  Region Director or Region Traffic Operations Engineer

Actions

1. Receive request for Rest Area, Rest Stop, or Tourist Information Center signing.

2. Review request for feasibility and compliance with the MUTCD and Policy 06C-34.

3. Coordinate the response with the Division of Planning and Programming if the request is for a Rest Stop.

4. Coordinate the request with the Division of Traffic and Safety as required by Policy 06C-21.

5. Create a work order when the decision is made to proceed with sign installation. Placement of signing will be coordinated with the date the facility is open for public use.

Responsibility:  Division of Traffic and Safety

6. Refer to Procedure 06C-21.1.

Responsibility:  Region or District Operations Engineer

7. Log in receipt of work order.

8. Schedule material, equipment, and personnel.

9. Review field location of installation with Region Traffic Operations Engineer, if required.

10. Record installation date.

11. Maintain record of installations. Refer to Policy 06C-21.
Purpose
To define the emergency response policies and procedures for the Utah Department of Transportation (Department) Incident Management Team (IMT).

Policy
1. IMT operators will drive with due regard for the safety of all people at all times. IMT will make a reasonable effort to reach the scene of a traffic incident as quickly as possible to ensure public safety. The Utah Highway Patrol (UHP) under authority of UCA 41-6a-102(3)(d) has designated IMT as an authorized emergency vehicle and as such is subject to all emergency vehicle requirements described in UCA 41-6a-212 and related sections of the Utah State Code. IMT may utilize emergency response with that designation in certain limited circumstances described in policy.

2. The decision to respond as an emergency vehicle is made by the IMT operator within the constraints of the Utah State Code and this policy.

3. IMT emergency response is authorized in two circumstances:
   a. When all of the following conditions are met:
      1) The incident is verified by law enforcement (location, direction, and nature of the incident are known).
      2) The proximity of the incident is such that the use of emergency response would substantially reduce the response time to the incident.
      3) The incident involves the blockage of one or more mainline lanes.
   b. When the safety of a law enforcement officer, IMT operator, or emergency responder is in jeopardy.

4. IMT emergency response is authorized on the following roadways segments built to freeway standards, including on, off, and system ramps (all other roads are prohibited for IMT emergency response):
   a. Any interstate
   b. US-40 from I-80 (Exit 146) to SR-32
c. SR-67 (Legacy Parkway) for the entire length.

d. US-89 from I-15 (Exit 324) to SR-273

e. SR-201 from 5600 West to I-15/I-80

5. IMT emergency response is not authorized on arterial roadways. Operators may use signal preemption on arterial roadways to reduce response time, subject to Policy 06C-18, Signal Preemption.

6. IMT emergency response is only authorized for IMT operators with a current training certification from the UHP. Annual recertification is required for all IMT operators and supervisors according to the schedule established by the UHP for training and certifying troopers.

7. During an emergency response:

a. The maximum travel speed as long as life or property are not endangered:

   1) Is the posted speed limit in the travel lanes.

   2) Is 25 mph on the left and right shoulders.

b. All traffic signals, STOP, and YIELD signs must be obeyed.

c. All regulations governing direction of movement must be obeyed unless directed otherwise by law enforcement.

8. An IMT Review Panel will review each occurrence of a violation of this policy by an IMT operator resulting in a claim against the Department. A review is optional for occurrences that do not result in a claim against the Department.

a. The IMT Review Panel will consist of the Region Traffic Operations Engineer and Region Risk Manager from the IMT operator’s region, the IMT supervisors from each region, the statewide IMT coordinator from the Traffic Management Division, and a UHP representative.

9. An IMT operator is NOT authorized for emergency response:

a. In conjunction with a vehicle pursuit conducted by UHP.

b. When conducting a ride-along involving a non-UDOT or non-UHP employee.
10. Pursuant to UCA 41-6a-1601(2), the UHP has established the following standards for the color and placement of lights on the IMT truck for use in emergency response:

   a. Top-mounted light bar – red to the front and amber to the rear
   b. Grill and visor lights (front) – red
   c. Ambulance lights (rear) – red
   d. Headlights – white or clear

   1) Wigwag headlights are allowed but will be transitioned to strobes as equipment is replaced.

Background

The Incident Management Team performs a critical function during a traffic incident. Traffic control at the scene and upstream provides warning to approaching drivers, which reduces the likelihood of secondary crashes and greatly enhances the safety of emergency responders at the scene. Timely implementation of traffic control by IMT minimizes additional secondary crashes and the consequent resulting delays.

The impacts of incidents to traffic flow are well documented. Each minute of blockage to the traffic stream creates approximately five minutes of delay for every vehicle in the resulting queue during peak traffic periods. Safety is a concern that is directly tied to delay. The presence of a queue on a high-speed facility creates the potential for speed differential and secondary crashes to occur upstream of the incident. Debris in the road also has obvious safety implications in addition to crashes.

The UHP, under authority prescribed in UCA 41-6a-102, has authorized IMT to respond to incidents as an emergency vehicle recognizing the critical function that the IMT provides at a crash scene and the time-sensitive nature of that function. Doing so will reduce response time to incidents, thus improving the safety of the traveling public and emergency responders.

UCA 41-6a-212 and related sections establish the general guidelines and restrictions for emergency vehicle operation in Utah, which are duly applicable to the IMT. The intention of this policy is to further restrict IMT emergency response beyond what is allowed in code to ensure IMT emergency vehicle operation that is consistent with the mission of the IMT program. For example, there is no reason for the IMT to participate in a vehicle pursuit, so while Utah code allows it for an emergency vehicle, this policy prohibits it for IMT.
Definitions

Emergency Response
Emergency response for the Department IMT program is defined as the use of lights and sirens to decrease response time to an incident under the conditions and limitations described in this policy.
**Procedures**

Incident Management Team Emergency Vehicle Operations  
UDOT 06C-35.1

**Responsibility:** Incident Management Team Operator

**Actions**

1. Use judgment to determine whether or not emergency response is necessary if a traffic incident meets the policy criteria for emergency response and the IMT operator is properly trained and certified. Emergency response should not be used if the operator believes that the scene can be reached in about the same amount of time as with a normal response. Other factors to consider include:

   a. The safety of the public and other emergency responders.
   
   b. The operator’s familiarity with the roadway.
   
   c. Obstacles, both known and potential, that must be avoided such as objects in the roadway, drainage structures, side slopes, construction, standing water, or limited shoulder width.
   
   d. The time of day and the volume of traffic likely to be encountered.
   
   e. Visibility and illumination available in the area.
   
   f. Weather conditions.

2. Complete the following after making the decision to respond as an emergency vehicle:

   a. Notify the Traffic Operations Center operators of the decision to employ emergency response.
   
   b. Travel in the left-most lane as much as possible (including the HOV/Express lane) while engaged in emergency response, as motorists are required to move to the right to yield to emergency vehicles.
   
   c. Use either shoulder, if needed, on approved roads built to a freeway standard while engaged in emergency response. The left shoulder is preferred over the right.
d. Comply with maximum travel speed requirements as follows:
   1) The posted speed limit in the travel lanes.
   2) 25 mph on the left and right shoulders.

e. Yield to all other emergency responders.

f. Observe all regulations regarding traffic signals, STOP, and YIELD signs including ramp terminal intersections. Emergency response is prohibited on arterial streets.

g. Observe all regulations regarding direction of movement, unless directed otherwise by law enforcement.

3. Use authorized emergency equipment during emergency response as follows:

      1) Use continuously during an emergency response.
      2) Discontinue front-facing emergency lights after placing the vehicle in support of the incident unless the operator believes that safety will be jeopardized.

   b. Sirens
      1) Use continually during emergency response in a lane of travel or on the left shoulder.
      2) Do not use continually during emergency response on the right shoulder. Short bursts of siren or horn or both may be used to gain the attention of individual motorists when proceeding on the right shoulder.
      3) Discontinue after placing the vehicle in support of the incident.

**Responsibility:** Incident Management Team Supervisor

4. Observe all restrictions and regulations described in this policy when functioning as an IMT operator.

5. Ensure that certification is current for each IMT operator, including the scheduling and coordination of annual recertification with the UHP.
6. Review this policy periodically with all IMT operators, inspect trucks to ensure compliance with policy, and monitor the emergency response practices of IMT operators.

7. Inform the Region Traffic Operations Engineer of any violations of this policy by an IMT operator.

**Responsibility:** Region Traffic Operations Engineer

8. Initiate the IMT Review Panel whenever a violation of this policy occurs that either results in a claim against the Department or created a situation that in the estimation of the Region Traffic Operations Engineer unnecessarily endangered the public or other emergency responders.

   a. The Region Traffic Operations Engineer, or designee, acts as the chair of the IMT Review Panel and conducts the meeting.

   b. Reports the results of the investigation to the Region Director.
Purpose
To define the Utah Department of Transportation (Department) policies for authorizing rapid clearance of disabled vehicles and non-hazardous spilled freight loads from Utah highways.

Policy
1. The Department will make a reasonable effort to clear highways of disabled vehicles and non-hazardous spilled freight loads as rapidly as possible to ensure public safety and convenience.

2. The Incident Management Team (IMT) operator or other designee of the Region Director will determine when a disabled vehicle presents a traffic hazard or an excessive impact to driver delay. The IMT operator will move the disabled vehicle expediently to a less impactful location if either of these conditions is met and if it is feasible to do so. Use of the IMT truck is authorized to accomplish this task.

3. The Region Traffic Operations Engineer or other designee of the Region Director will first approve any actions by the Department to clear travel lanes of a spilled load in such a way that destroys the load or reduces its salvage value. The Region Traffic Operations Engineer or other designee will authorize immediate removal of the spilled load from the travel lane by the Department if it is determined that attempts to salvage the load will cause traffic hazards by causing traffic backing or restricting travel lanes.

4. The Department may permit the owner or insurer of a spilled load to salvage the load only if the salvage operations do not significantly impede traffic flow or do not constitute a hazard to traffic.

5. The owner or insurer of a load is responsible for all associated costs including any costs of traffic control and permitting as required by the Department if it is given permission to salvage the load.

Background
Traffic crashes often result in vehicles becoming disabled in or near the travel lanes. These vehicles can be a hazard to traffic and can create excessive delays by blocking available travel lanes. These blockages cause backing that creates the potential for secondary crashes to occur upstream of the incident.
Traffic crashes also occasionally cause freight loads in commercial vehicles to be spilled on the highway. Often the owner of the freight or the insurer of the carrier will attempt or request permission to salvage the spilled freight. The salvage efforts may cause significant delays to traffic on the highway and have the potential to create hazardous conditions for travelers by causing secondary crashes upstream of the incident scene.

The Department has the authority to order the removal or to take steps to remove disabled vehicles and spilled loads with its own forces in order to ensure public safety. This policy describes the procedure that the Department will follow in ordering the immediate removal of disabled vehicles and spilled freight from its highways.
Procedures
Rapid Clearance of Disabled Vehicles and Non-Hazardous Spilled Freight Loads
UDOT 06C-36.1

Responsibility: Incident Management Team Operator or other person designated by Region Director

Action
1. Investigate disabled vehicles to determine impact on public safety and convenience.

2. Ensure the immediate removal to a less impactful location if a disabled vehicle has potential adverse impacts to public safety and convenience and if it is feasible to do so.

Responsibility: Region Traffic Operations Engineer or other person designated by Region Director

3. Investigate spilled freight loads to determine impact on public safety and convenience.

4. Authorize immediate removal from the highway if the spilled load results in adverse impacts to public safety and convenience.

5. Authorize salvage operations upon request of freight owner only if salvage can be completed without significant adverse impact to public safety and convenience.

6. Establish traffic control requirements and Department permit requirements for salvage operations, if authorized.

Responsibility: Region District Engineer or designee

7. Direct Department forces in clearing spilled load from highway.

8. Maintain financial records for reimbursement of Department costs for clearing disabled vehicles and spilled loads.
Tourist-Oriented Directional Signs

Purpose
To define the Utah Department of Transportation (Department) process for placing Tourist Oriented Directional Signs (TODS) on state highways other than freeways or expressways in rural areas.

Policy
TODS are guide signs with one or more panels that display eligible facility identification and directional information for business, service, and activity facilities. They are for use only on rural conventional state highways in a county of the fourth, fifth, or sixth class. Freeways, expressways, and their associated interchanges are not eligible for TODS signing. Rural areas are defined as communities and unincorporated county not within the boundaries of urban clusters identified by the Department. Refer to Appendix A.

Design and install TODS in strict accordance with the Utah Manual of Uniform Traffic Control Devices (Utah MUTCD) when permitted. TODS is always considered secondary to other rural road signing. Department Standards exceeding or supplementing Utah MUTCD will take precedence.

The TODS Program is operated by a Program Manager under contract with the Department. Existing or planned TODS signing will be removed or relocated at Program Manager’s expense as directed by the Department if the Department determines that additional non-TODS signing is needed.

TODS signs will conform to the following when allowed:

1. A facility is eligible for TODS only if it derives its major portion of income or visitors during the normal business season from road users not residing within 20 miles of the facility.
   a. Examples of TODS Program acceptable sites include:
      1) Cultural – art/craft center; historic district, building, or cemetery; gallery; museum
      2) Recreational – amphitheater, auditorium, arena or stadium; amusement park; aquarium; arboretum; botanical garden; campground; concert hall; equestrian center; golf course; natural attraction; race track; boat landing/marina; privately owned park; ski resort; water-oriented business; zoo.
      3) Retail Tourism – agribusiness/farmer's market; antique business; auction house; brewery restaurant, distillery, or winery; flea market; bed and breakfast; farm market; nursery/greenhouse; regional retail facility;
4) Schools – colleges and universities (main campus or satellite campus facilities)
5) Other – conference center; visitor center

b. Examples of TODS Program excluded sites:
   1) Business/Commercial – adult entertainment facility; office park; funeral home; radio station; industrial park or plant; television station; media facility; truck terminal; movie theater
   2) Governmental – local jail; local police/sheriff's office; post office
   3) Medical – drug rehabilitation facility; fraternal home; extended care facility; hospital, sanitarium, or infirmary; humane facility; mental facility; nursing home; retirement home; treatment center; veterans facility
   4) Miscellaneous – Animal shelter; cemetery/columbarium; mobile home park; subdivision; veterinary facility
   5) Religious – cathedral; shrine; chapel; synagogue; church; temple; mosque; or other religious sites

c. Verification of Income
   1) An eligible facility must provide at the request of the Department or the Program Manager any available information or documentation to demonstrate that it derives the major portion of its income or visitors during the normal business season from motorists not residing in the immediate area. The eligible facility will keep, maintain, and make such information or documentation available for inspection and audit at any time, following reasonable notice. The records may include, but are not limited to, such items as guest books, attendance records, license plate numbers, tax receipts, and credit card receipts.

2. Eligibility criteria for TODS
   a. TODS facilities will be signed at a particular location in the following order of priority: commercial establishments; historic sites; cultural sites: recreational sites.
   b. Attractions must be within 10 miles of the initial point of turn on the state highway.
c. Applications will not be approved if the destination is visible from or is located on the state highway where TODS would be placed unless there is signing leading motorists to a similar eligible facility located off that same state highway. Signing in this case may be installed for the eligible facility located on the state highway, but only at intersections with signing for the similar facility located off the state highway.

   1) Eligible facilities located on the state highway where TODS would be placed, but which are located after the junction with another state highway, are eligible for TODS signing prior to the junction.

d. An applicant will be given first priority for TODS if an eligible facility does not have an on-premises advertising sign visible from the state highway, subject to that attraction's position on the priority list.

e. Each eligible facility will give written assurance to the Department of its conformity with all applicable laws concerning the provisions of public accommodations without regard to race, color, sex, national origin, or handicap and not be in breach of the assurance.

   1) Each business must also comply with all disability access laws.

f. Eligible facilities will maintain regular hours and schedules and be open to the public at least five days each week, six hours per day, and a minimum of three months of the year.

   1) Signs for seasonal attractions open less than six months per year will be removed or covered during the off season.

3. Sign Location and Design

a. General

   1) No more than four eligible facility panels for each turn direction will be allowed on each approach to an intersection.

   2) Normally, no more than two TODS sign assemblies with a maximum of four panels each will be permitted on each approach to an intersection.

      a) One sign assembly will be used exclusively for attractions requiring a right turn at the intersection.

      b) The second assembly will be used exclusively for attractions requiring a left turn at the intersection.

      c) A third sign assembly may be installed to provide signing for a facility in the ahead direction at intersections where signing is provided for a similar facility in the right or left direction.
3) Advance Signing ("1/2 Mile" or "Next Right (Left)") may be installed in special circumstances where sight distance, intersection vehicle maneuvers, or other vehicle operating characteristics require advance notification of the eligible facility to reduce vehicle conflicts and improve highway safety.
   a) The Department determines whether advance signing will be allowed.
4) Trailblazing signs will be placed at each decision point along the route to the applicant's facility.
   a) The applicant/Program Manager must have written approval for trailblazing from each highway jurisdiction through which the route passes.
   b) The trailblazing plan is subject to the approval of the Department.
   c) All trailblazing signs will be erected before signs on the state highway are installed.
   d) The trailblazing signs will be maintained and kept in good repair by the petitioner/Program Manager or the signs on the state highway will be removed.
5) Trailblazing signs will be erected in the same order as TODS panels.
6) Trailblazing signs will use the standard Utah MUTCD TODS arrow.
7) Each eligible facility will be limited to one eligible facility plaque for each direction of travel to that eligible facility.
8) The Program Manager will obtain a permit from the Department's Region office prior to installation of any TODS sign.

b. Location
   1) The longitudinal location of intersection sign assemblies will be placed in accordance with the following standards:
      a) At least 300 feet from a traffic control sign or signal.
      b) At least 750 feet from a railroad crossing.
      c) At least 200 feet from another TODS sign.
   2) Advance signing will be placed in accordance with the Utah MUTCD.

c. Design
   1) Colors
      a) The background of TODS signs will be blue.
      b) All legends including lettering, border, mileage, and destination arrows will be white, except for logos.
   2) Logos that resemble any traffic control device will not be used.
3) Legends, borders, and background sheeting will conform to current Department and Utah MUTCD Standards.
   a) Department Standards exceeding or supplementing the Utah MUTCD will take precedence.
4) Each panel’s legend content will be limited to the business identification and directional information for not more than one eligible business, service, or activity facility.
   a) The legends will not include promotional advertising.
5) Mounting
   a) No more than four directional sign panels can be mounted on a sign assembly.
   b) Sign panels for primary traveler's points of interest higher on the priority list receive priority over others.
   c) All supports will be in accordance with Department Standards.
6) All sign panels will be of the size conforming to current Department and Utah MUTCD Standards.
7) All TODS signs will be fabricated in accordance with Department Standards.
   a) The aluminum panels will be 0.080 inches thick.
8) The Division of Traffic and Safety will review and approve design and location prior to approval of TODS signs.
9) The Region Headquarters will control installation and monitor maintenance.

d. Order of Display
1) The order of TODS panels will be the following in the direction of traffic when approaching an intersection where more than one TODS panel is located:
   a) Eligible facilities signed for the left-turn direction.
   b) Eligible facilities signed for the right-turn direction.
   c) Eligible facilities signed for the ahead direction.
2) The eligible facility plaques to both the right and left may be combined on one TODS assembly when the total number of eligible facilities is 4 or less.
3) The order of the eligible facility plaques will be the following when they are attached to one TODS panel:
   a) Top – Eligible facilities signed for the left-turn direction.
   b) Bottom–Eligible facilities signed for the right-turn direction.
4) Seasonal plaques will occupy the bottom position in a multiple plaque installation to the extent that doing so is consistent with other requirements of this section.
a) The plaque serving the business with the shorter business season will have the lower position in the event a TODS panel installation contains more than one seasonal plaque.
b) The remaining plaques will be repositioned to prevent gaps in the TODS panel when a seasonal plaque is removed or remounted.

e. Seasonal Use
1) The Program Manager will be responsible for covering or removing and subsequently reinstalling the eligible facility plaque for eligible facilities operated on a seasonal basis within five working days of the eligible facilities’ closure.
a) The entire sign including posts will be removed or the entire sign panel covered in instances where all facilities on the TODS panel are closed.
b) All trailblazer signs will also be removed or covered.
2) Sign and panel covers will be constructed of opaque and reasonably substantial material, bearing no advertising or readable message, and be fastened in such a manner that wind and normal weather conditions will not dislodge, tear, or permit fluttering of the covering.
a) Lost, torn, vandalized, or unsightly coverings will be replaced as soon as weather and road conditions permit.

4. Priority
a. Eligible facilities meeting the criteria of this policy do not automatically qualify for TODS signs.
1) Conditions such as insufficient longitudinal spacing or interference with necessary traffic control devices may make it impossible to permit placement of TODS signs at certain locations.
2) Preference will always be given to standard traffic signs such as regulatory, warning, and guide signs in these instances.
b. The first priority will be commercial attractions at intersections where insufficient space is available to accommodate all TODS applications.
c. Any motorist services will have second priority according to sign type with preference shown in the following order:
1) "Camping"
2) "Lodging"
3) "Food" and
4) "Fuel"
   d. The next eligible facility priority will be year-round facilities.
   e. The next eligible facility priority will be seasonal facilities.
   f. The last prioritization factor will be the distance from the
      intersection with priority given to the applicant located farther away
      from the intersection.

5. Rotation
   a. A limited amount of space for TODS/business plaques is available
      at road intersections.
      1) The Department will not issue a permit unless or until there
         is space available at the requested road intersection.
   b. An annual rotation procedure for granting permits will start after all
      four eligible facility plaques have been on the TODS for one full
      year in order to issue permits in a fair manner where space is
      limited.
      1) Facilities will be rotated off TODS on an annual basis to the
         extent necessary to accommodate new eligible facilities in
         the order of application receipt when applications exceed
         plaque spaces.
      2) The Program Manager will assign each application a number
         according to the date and time of receipt.

6. Eligible Facility Closure
   a. The Program Manager will have the eligible facility plaque covered
      to prevent inconveniencing the traveling public if an eligible facility
      is closed due to fire, accident, remodeling, or other emergencies for
      more than seven, but not more than 90 days.
      1) The business will not lose its priority or be required to reapply prior
         to the normal expiration of its contract.
      2) Extensions of time beyond 90 days may be granted when
         insurance claims or financial arrangements require additional time.
      3) An owner however who, due to his or her own negligence, fails to
         open within the 90-day period may lose his or her right to occupy
         the TODS panel.

7. Program Manager
   a. The Program Manager will establish an application procedure for
      interested eligible facilities in conjunction with their marketing
      process.
      1) This procedure will be approved by the Department prior to
         implementation.
   b. Eligible facilities interested in participating in the TODS Program
      will apply directly to the Program Manager.
c. The Program Manager will document and maintain records of all eligible facilities that are contacted or that contact the Program Manager regarding participation in the TODS Program.

d. Fees assessed to eligible attractions for participating in the TODS Program will be as set forth in writing by the Program Manager and uniform for all eligible attractions.

1) The initial fees will be approved by the Department.
2) The Program Manager will not revise the fees charged to eligible attractions for participation in the TODS Program without prior approval of the Department.
3) The fees will be based on the actual cost of establishing, operating, and administering the program, including processing applications for right-of-way permits and providing necessary services for installing, maintaining, repairing, removing, and replacing signs for one consecutive 12-month period.

4) The fee will also include all direct and indirect costs which will include but not be limited to the cost of capital, insurance, directional signs, sign supports, design, removal or relocation of other signs, and off-season covering.
5) The fee will also include reasonable profit for the Program Manager.

e. The fees will be established on a per sign basis.

1) The fees for intersection and advance signs will be identical.
2) The fee for trailblazing signs is in addition to the fee for intersection/advanced signs and will only be assessed to those eligible attractions requiring trailblazing signs.
3) The fees for symbols and logos are in addition to the fees for intersection/advanced or trailblazing signs and will only be assessed to those eligible attractions requesting the display of their logo and/or symbol.

4) The fee for each space on the TODS panel will be the same for all eligible facilities except seasonal activities.

5) The annual fee paid by the seasonal eligible facility may be reduced by the ratio of the number of full or partial months that the facility is closed, but the resulting fee will be not less than 50 percent of the annual fee.

6) Fees will not be reimbursed if a business closes during an annual term or if TODS sign panels are removed by the Department based on a violation of the provisions of this policy.

f. The operator of any participating attraction for which an advertising agreement is in effect must immediately notify the Program Manager for cancellation if the eligible attraction ceases to be such an attraction.
g. Seasonal eligible attractions will have a panel with the word “Closed” placed on their signs by the Program Manager at the end of their business season.

h. Eligible attractions for which no TODS are displayed on an intersection leg due to insufficient space will not have TODS displayed during the off-season of an eligible attraction for whom signs are displayed.

i. Eligible attractions are responsible for notifying the Program Manager to install the closed panel on their TODS at the beginning of a closed season and for removing the panel at the beginning of the open season.

j. A panel with the word “Closed” will be placed on the signs if an eligible attraction is closed for more than two weeks during the normal business season.

1) Eligible attractions are responsible for notifying the Program Manager of any such closure.

k. Facilities that are closed one or two days per week will incorporate the messages of “CLOSED SUNDAYS” or other days as appropriate in the TODS panel.

l. The Program Manager is responsible for monitoring seasonal eligible attractions to make sure their signs are properly displayed.

m. Ownership of all in-place TODS signs will revert to the Department if the Department uses a Program Manager and the Program Manager terminates the contract or defaults prior to the expiration of the contract term.

n. The Program Manager will sell the in-place TODS signs and existing contracts to the Department at market value if the Department decides to operate the TODS sign program.

o. The Program Manager will sell the sign panels and existing contracts to a third party at market value if the contract is terminated and the Department directs the Program Manager to do so.

8. Oversight of the Program Manager by the Department
   a. The Department, through the Program Manager, will review all proposed TODS panel locations to determine whether there is a conflict with existing signs or future sign installations.
   b. The Department may make spot checks of the leases with the applicant, check eligible facilities for compliance with state statutes and this policy, and perform audits as necessary.

9. Loss of Business
   a. The Department will have no liability for any loss of business resulting because a TODS sign panel or assembly is temporarily absent on a state highway for any reason.
b. All TODS impacted by a construction project will be included in the scope of the project.
   1) This may include the reconstruction, relocation, or upgrade of signs or supports for the Logo Signs.

c. The signs will be temporarily relocated as necessary so that they will be displayed for the project duration when TODS are impacted due to construction projects.
   1) The project will be responsible for any fees that need to be refunded to individual business for the direction of travel the signs cannot be temporarily displayed when there is no available room for the temporary display of the logo signs, the exit ramp is closed, or interchange cross road is closed, thereby making the business inaccessible from one or both directions for more than one month.
   2) The fee structure is part of the TODS Program Contract.

10. Revocation of Participation in the TODS Program
   a. The Department may revoke the privilege of participation in the TODS program if it finds that any participating tourist-oriented business:
      1) Has made a false, deceptive, or fraudulent statement in its application or in any other information submitted to the Department.
      2) Engages in any deceptive or fraudulent business practice.
      3) Fails to pay any required fee on a timely basis.
      4) No longer meets the eligibility requirements set forth in this Chapter.
      5) Ceases to operate as a business on a continuing basis in accordance with the schedule submitted to the Department in its application.
      6) Alters or modifies any TODS sign or panel installed by the Department.

11. Existing Illegal Signs
   a. Any existing illegal advertising devices pertaining to the eligible facility will be removed before the facility is permitted to participate in the TODS Program.
   b. The Program Manager will contact in writing the Department’s Outdoor Advertising Control (OAC) Program State Office of the Statewide Permits Officer to determine the existence of illegal advertising devices.
   c) The Program Manager will assume there are no illegal advertising devices in place pertaining to an eligible facility if within 30 calendar days no answer is received from the Statewide Permits Officer.
12. TODS signs will incorporate the needed information from, and be used in place of, logo signs where both TODS and logo signs would be needed at the same intersection. Refer to Policy 06C-14, Logo Signing on Freeways, for Specific Service signs.

13. The Department’s Executive Director may authorize special signing where a special condition generates a clear need for signing not otherwise provided for in this policy and doing so is in motorists’ best interest.

Definitions
Urban Clusters
Areas of 5,000 or more population as defined in FHWA Document Highway Functional Classification Concepts, Criteria and Procedures, 2013 Edition-Table 6-2 FHWA Area Definition.
Appendix A

Tourist Oriented Destination Sign Program Utah

Fourth, fifth and sixth class county listing.


UDOT designated urban clusters located in fourth, fifth and sixth class counties.

Ephraim, Heber, Moab, Nephi, Price, Richfield, Roosevelt and Hildale/Colorado City.
Purpose
To define the Utah Department of Transportation (Department) process of placing of signs for Scenic Byways, which include National Scenic Byways, All-American Roads, State Scenic Byways, and State Scenic Backways.

Policy
Signing for Scenic Byways must conform to the following:

1. Be designed and installed in accordance with the current adopted edition of the Utah Manual on Uniform Traffic Control Devices (MUTCD).

2. Be considered secondary to other signing.

3. Installation that includes the costs of sign and post assembly must be provided by the requestor unless signing is installed as part of a planned construction project.
   a. Requests for Scenic Byway signing are to be made by the local scenic byway committee or local byway coordinator as defined in Rule R926-14.

4. The Department will maintain all signs and sign post assemblies on state highways.

5. The Department will not maintain signs and sign post assemblies placed on non-state highways.

Background
Certain roads have been designated by the U.S. Secretary of Transportation as National Scenic Byways or All-American Roads based on their archeological, cultural, historic, natural, recreational, or scenic qualities. Additional roads have been designated by the State of Utah as State Scenic Byways or State Scenic Backways. The designation of these signs is described in Rule R926-13, Designated Scenic Byways, and Rule R926-15, Designated Scenic Backways, of the Utah Administrative Code. Signs may be placed in accordance with this policy to provide travelers with route information.
Procedures
Signing for Scenic Byways

Responsibility: Region Director or Region Traffic Operations Engineer

Actions

1. Receive a request from a local scenic byway committee or local byway coordinator to install Scenic Byway signing for their specific state route Scenic Byway.

2. Review request for feasibility and compliance with MUTCD and this policy.

3. Respond to requestor with decision on placement of signing.

4. Arrange for sign installation when a decision is made to proceed with Scenic Byway signing.
Purpose
To define the use of in-vehicle cameras and recording devices policies and procedures for the Utah Department of Transportation (Department) Incident Management Team (IMT).

Policy
1. IMT operators will use in-vehicle cameras and recording devices (Dash Cams) for the purpose of recording the day-to-day interactions of the IMT. Multiple cameras, including forward facing, rearward facing, and in cab may be used.

2. The Dash Cams will operate any time the vehicle is in operation.

3. The Dash Cams will store the electronic files in the format type and storage location of the particular device. The electronic files will be overwritten as per the device requirements, and will not be retained except as provided for in this policy. Typical retention on the device before the data is overwritten is 72 hours.

4. Dash Cam videos may be retained for the following purposes:
   a. Recordings that may be of value for training purposes.
   b. Recordings that are requested by law enforcement or public safety organizations, including investigation of incidents where the IMT vehicle was in a location that the recording may contain relevant information for the investigation.
   c. Recordings for the protection of the Public or the Department.
   d. Other uses as identified by the Department.

5. All Dash Cam files recorded by the IMT will be considered Department property.

6. Recordings will not be copied, shared or otherwise distributed except for official department business. Requests for copies of a video for other reasons must be approved by the Deputy Director for Engineering and Operations.
   a. Request for recordings will be received by the Deputy Director for Engineering and Operations.
   b. Requests for recordings by the media will adhere to Policy 04-02, Working With The Media.
7. Supervisors may randomly review Dash Cam recordings to verify that the equipment is operating properly and that IMT operators are using the devices appropriately and in accordance with policy and to identify any areas in which additional training or guidance is required.

8. Employees who are found to be in violation of this policy will be subject to disciplinary action.

Background
The Incident Management Team performs critical functions on the highway system. They provide management of the scene during a traffic incident. Comprehensive incident management and traffic control both at the incident scene and upstream of the incident provides warning to approaching drivers, which reduces the likelihood of secondary crashes and greatly enhances the safety of emergency responders at the scene.

The IMT also provide routine service patrol activities when not responding to an incident. These activities include motorist assistance, removal of vehicles from the travel lanes and shoulders, removal of debris, and assistance to Department projects and maintenance.

The use of the Dash Cams will accomplish several objectives. Recording devices allow for accurate documentation of IMT operator contacts and critical incidents. The recordings also enhance the Department’s ability to review the operation of the Incident Management Program and to provide additional information for IMT operator evaluation and training.

Definitions
In-Vehicle Cameras
In-Vehicle Cameras (Dash Cam devices) are defined as video and audio recording devices that are mounted or operated in a Department vehicle for the purpose of recording day-to-day interactions of the IMT.
Responsibility: Incident Management Team Operator and Lead

Actions

1. Verify that the Dash Cam is operational anytime the IMT vehicle is in operation.

2. Report to their supervisor immediately when they believe there is a recording that may comply with one of the requirements for retention.

3. Do not discuss the contents of any recording with unauthorized personnel.

Responsibility: Incident Management Team Statewide Coordinator and Region Supervisor

4. Observe all restrictions and regulations described in this policy when functioning as an IMT operator.

5. Verify that each IMT operator and IMT Lead understands the requirements of this policy.

6. Review this policy periodically with all IMT operators and IMT Leads, and inspect trucks to verify compliance with policy. Monitor the practices of IMT operators.

7. The Statewide Coordinator, or their designee, will retrieve the data file from the Dash Cam when necessary.

8. Inform the Traffic Management Division (TMD) Traffic Operations Engineer of any violations of this policy by an IMT operator.

Responsibility: TMD Traffic Operations Engineer

9. Review all requests for recordings from IMT Dash Cams. Approve, deny, or elevate the request as necessary.

10. Initiate the IMT Review Panel whenever a violation of this policy occurs.
     a. The TMD Traffic Operations Engineer, or designee, acts as the chair of the IMT Review Panel and conducts the meeting.
     b. Reports the results of the investigation to the TMD Director.
Curb and Pavement Marking for Parking Control

Purpose
Define the proper process for the Utah Department of Transportation (Department) marking curbs and pavements for parking control.

Policy
Local jurisdictions are responsible for any curb painting and pavement markings for parking control. Local jurisdictions must not place new curb painting, extend existing curb painting, install new pavement markings, or maintain existing pavement markings on state highways without Department approval. Permits must be issued by the appropriate Region office in order for the local jurisdiction to perform any such activities.

Special uses such as truck loading zones, bus and taxi zones, and passenger loading zones may be established on state highways upon written request from local authorities and approval by the Department. A Traffic Engineering Order (TEO) is required for any special use. Curbs painted for these types of special uses must be yellow and only be used in conjunction with Manual on Uniform Traffic Control Devices (MUTCD) compliant signs.

Parking time restrictions may be established on state highways upon written request from the local jurisdiction and approval by the Department. A TEO is required for all non-statutory parking restrictions. The restriction will be established by MUTCD compliant signs or by the local jurisdiction installing parking meters with MUTCD compliant parking space markings. The local jurisdiction will maintain the parking space markings. Curbs in these areas will not be painted.

Red curb markings are supplemental to “No Parking” signs and may not be used without MUTCD compliant signing except in defined statutory zones. The following statutory no parking zones may be indicated by red curb markings:

a. Within 15 feet of a fire hydrant
b. Within 20 feet of a non-school crosswalk
c. Within 30 feet of an intersection
d. Within 20 feet of a fire station driveway
e. Within 50 feet of a railroad crossing
f. Within the prescribed areas for school crosswalks as found in Utah’s Traffic Controls for School Zones manual

g. Wherever parking would encroach upon a traffic lane with a safety need

The Department may coordinate with local jurisdiction when a location has been identified for additional parking restrictions. Parking messages cannot be stenciled or otherwise painted on curbs. Parallel parking stalls that are MUTCD compliant may be installed by local authorities with Department approval.
Responsibility: Region Director or Region Traffic Operations Engineer

Actions

1. Receive a request from a local jurisdiction to establish a special use parking zone, parking time restriction, or “No Parking” prohibition. Review request for completeness and determine if request is reasonable. Request must include a detailed location and verification that a majority of fronting property owners are in agreement with the proposed parking control and a commitment of enforcement by the local jurisdiction. Consult with the local jurisdiction if necessary.

Responsibility: Region Traffic Operations Engineer

2. Conduct field review of location as specified by the local jurisdiction.

3. Send a reply letter to the local jurisdiction stating the request is approved or not approved. Send supporting documentation with a request for a TEO to the Traffic and Safety Studies Engineer if approved.

Responsibility: Traffic and Safety Studies Engineer

4. Write cover letter and TEO and forward to the Engineer for Traffic and Safety for signature.

Responsibility: Engineer for Traffic and Safety

5. Review the documentation and recommendation of the Traffic and Safety Studies Engineer. Sign the TEO and return it to the Traffic and Safety Studies Engineer upon approval.

Responsibility: Traffic and Safety Studies Engineer

6. Make a copy of the TEO and send original to the Region Traffic Operations Engineer for execution.

Responsibility: Region Traffic Operations Engineer

7. Take appropriate steps to ensure execution of the TEO and verify completion of the TEO.
8. Notify the Traffic and Safety Studies Engineer of satisfactory completion of the TEO requirements by sending back the completed original TEO.

**Responsibility:** Traffic and Safety Studies Engineer

9. File the completed original TEO.
Purpose
To define the process for the warranting, programming, designing, and installing Utah Department of Transportation (Department) traffic signals. Refer to the Department’s Guidelines for Left-Turn Phases at Signalized Intersections for the left-turn phasing criteria and the Department’s current Signalized Intersection Design Guidelines for more information.

Policy
It is the policy of the Department to warrant and install traffic signals on state highways on the basis of an engineering and traffic investigation according to the most recent adopted edition of the Manual on Uniform Traffic Control Devices (MUTCD). The design and installation of a traffic signal must be in accordance with the Department’s most current Signalized Intersection Design Guidelines.

This policy includes procedures for determining when traffic signals are warranted or modifications are needed. It also establishes criteria for the implementation of these improvements and installation of traffic signals on state highways.

New Traffic Signals
An intersection may be considered for traffic signal installation as part of a future signal program when it is found to meet one or more warrants according to Part 4 of the MUTCD and Procedure 06C-51.1. The satisfaction of a traffic signal warrant or warrants does not in itself necessitate the installation of a traffic signal. The selection and use of traffic signals should be based on an engineering study of roadway, traffic, and other conditions identified during the on-site review meeting.

Modifications to Existing Traffic Signals
Any modification, deletion, or addition to an existing traffic signal that fundamentally changes the function of the signal, including adding phasing or geometry changes, may be implemented only after a traffic engineering study and field review determine a need in conformance with Part 4 of the MUTCD, Procedure 06C-51.1, and the Department’s Guidelines for Left-Turn Phases at Signalized Intersections. Changes should be coordinated between the Region, Traffic Operations Center, and Engineer for Traffic and Safety.
Access-Controlled Traffic Signals

The following conditions must be met before a signal system is designed and installed when the initial permitting or construction of a private or municipal development necessitates the installation or modification of a traffic signal:

1. The intersection created by the existing driveway or commercial access and the state highway must meet the signal warrants outlined in Part 4 of the MUTCD. Projections of traffic volumes will not be used unless verified and accepted by the Engineer for Traffic and Safety.

2. The developer or local authority should fund the total cost of the signal installation, including the design, right-of-way acquisition, utilities, materials, and all associated roadway modifications.

3. The driveway or driveways, if on both sides of the state highway, must be constructed to Department roadway intersection standards, with the cost to be borne by the developer or local authority.

4. The driveway should have a restricted access for a minimum of 200 feet into the developer's or owner's property. The restricted access may be greater than 200 feet as determined by an engineering study that is performed or approved by the Region Traffic Operations Engineer and Traffic and Safety Design Engineer. An easement may be established to accommodate installation and maintenance of Department equipment if one is needed.
Responsibility: Region Director or Region Traffic Operations Engineer

Actions

1. Submit request to conduct a traffic signal warrant study to the Traffic and Safety Studies Engineer.

Responsibility: Engineer for Traffic and Safety

2. Direct the Traffic and Safety Studies Engineer to schedule the necessary study upon receipt of traffic signal study request from the Region.

Responsibility: Traffic and Safety Studies Engineer

3. Perform traffic count, generate crash history report, and determine whether a signal is warranted.

4. Submit results and recommendations to the Region Traffic Operations Engineer.

5. Perform traffic modeling as necessary. The study must analyze and evaluate the proposed signal impact to signal operation along the corridor and identify beneficial or adverse impacts to the corridor.

6. Schedule and hold on-site review meeting with appropriate representatives from the Department and other governmental agencies if traffic signal warrant criteria are met. Attendees should include:

   a. Traffic and Safety Design Engineer and Studies Engineer
   
   b. Region Traffic Operations Engineer and Signal Maintenance Supervisor
   
   c. TOC Traffic Signal Operations Engineer
   
   d. Local representatives

   The purpose of this meeting is to determine if the location should be placed on the warranted signal construction list or if major highway modifications are necessary in conjunction with or in lieu of a signal installation. Items normally considered at the meeting include safety, traffic management, geometric feasibility, environmental concerns, and impacts to right-of-way and utilities.
7. Place subject location in one of the three following categories based on the results of the signal warrant study and on-site review meeting:
   a. Does not meet a minimum warrant for signalization
   b. Warranted and justified
   c. Warranted and unjustified

8. Summarize study results and decisions made at the on-site review meeting and submit them to Region Director and meeting attendees listed in step 6 above.

   **Responsibility:** Region Director or Region Traffic Operations Engineer

9. Review, recommend, and provide comments to the Engineer for Traffic and Safety.

   **Responsibility:** Traffic and Safety Design Engineer

10. Add location to warranted signal construction list and notify the Traffic Signal Engineer if traffic signal is warranted and Region Director concurs.

   **Responsibility:** Traffic Signal Engineer

11. Prepare signal packages from the warranted signal construction list.
   a. Summarize scope of work
   b. Recommend options to expedite design and construction

12. Establish the project accounting.

13. Assign packages to the Region to oversee design and construction.
   a. The Traffic and Safety Design Engineer may offer to assist the Region with in-house design or construction in order to expedite signal installation.
Purpose
To define the proper process for establishing temporary regulatory speed limits in work zones on all Utah Department of Transportation (Department) state highways.

Policy
Existing speed limits confirmed by a Traffic Engineering Order (TEO) remain in effect through work zones on state highways except where an unusual or serious hazard would be created by retaining the existing speed limits. The speed limit may be temporarily reduced 10 MPH when such a condition occurs. Temporary speed limit reductions greater than 10 MPH may be granted upon approval from the Engineer for Traffic and Safety. Speed reductions should comply with the guidelines established in the Standard Specifications and Standard Drawings for the project when the project is a chip seal operation.

Temporary regulatory speed limit reductions will only be used during impacted times and in impacted areas. Temporary regulatory speed limit signs will not be erected until all other appropriate signing has been placed. Temporary speed limit reductions may be approved when conditions experienced or anticipated in the field may create a hazard as follows:

1. Short Term Speed Limit Reduction (defined as 20 calendar days or less)
   a. The Region Director may grant requests after consulting with the Region Traffic Operations Engineer for reductions of 10 MPH or less.
   b. The Region Director must submit requests to the Engineer for Traffic and Safety after consulting with the Region Traffic Operations Engineer for reductions greater than 10 MPH.

2. Long Term Speed Limit Reduction (defined as greater than 20 calendar days)
   a. The Region Director must submit requests to the Division of Traffic and Safety for review and approval of a formal TEO for long term speed limit reductions.
Definitions

Traffic Engineering Order (TEO)
A document that specifies the authority to establish specific traffic regulations pertaining to directional movements, speed limits, parking restrictions, and railroad grade crossing exemptions. Refer to Policy UDOT 06C-05 for further information regarding TEOs.
Responsibility: Resident Engineer, Construction, Maintenance Supervisor, Permits Officer

**Actions**

1. Determine the need for a temporary regulatory speed limit.

2. Prepare recommendation for all justified, temporary regulatory speed limit, ensuring all alternatives including positive protection have been considered and submit it to the Region Traffic Operations Engineer for consideration.

Responsibility: Region Traffic Operations Engineer

3. Consider recommendations and submit to the Region Director with comments.

Responsibility: Region Director

4. Consider recommendation together with comments of Region Traffic Operations Engineer and approve request if such action is determined to be appropriate. Said approval will be for a maximum of 20 calendar days.

5. Submit request for approval from Engineer for Traffic and Safety if requested speed limit reduction is greater than 10 MPH.

Responsibility: Resident Engineer, Construction, Maintenance Supervisor, Permits Officer

6. Determine impacted areas and impacted times and make any signing changes that are necessary. This may require removing or covering any sign that is not appropriate or consistent with the construction impact.

Responsibility: Region Traffic Operations Engineer

7. Periodically review work zones with temporary regulatory speed limits to make sure conditions are acceptable.
Responsibility:  Engineer for Traffic and Safety

8. Approve request for speed limit reductions greater than 10 MPH within 7 calendar days of receiving said request.
Responsibility: Resident Engineer, Construction, Maintenance Supervisor, Permits Officer

Actions

1. Receive project traffic control plan.

2. Consult with the Region Traffic Operations Engineer to determine that all alternatives including positive protection have been considered and that a temporary regulatory speed limit is appropriate.

Responsibility: Region Traffic Operations Engineer

3. Review the submitted traffic control plan and recommendations for temporary speed limit reduction.

4. Consider recommendation and submit request to the Region Director with comments.

   a. Speed limit reductions greater than 10 MPH require the approval of the Engineer for Traffic and Safety.

Responsibility: Region Director

5. Consider recommendations of Region Traffic Operations Engineer and submit a request for a TEO to the Engineer for Traffic and Safety.

Responsibility: Engineer for Traffic and Safety

6. Approve request and issue a TEO for a temporary regulatory speed limit within 7 calendar days of receiving said request.
Purpose
To define the proper process for handling traffic in and around a Utah Department of Transportation (Department) work zone.

Policy
Conduct routine inspections using the Work Zone Traffic Report to provide a representative sample of work sites throughout each Region or District.

The Region Traffic Operations Engineer and the Region or District Safety Manager will assist the construction, maintenance, or permits personnel in conducting inspections in their respective areas of responsibility. Spot inspections by central office personnel and surveillance teams will be reviewed with the appropriate Region or District personnel.
Procedures
Work Zone Traffic Control and Maintenance of Traffic

Responsibility: Region Director or District Engineer

Actions

1. Review the construction, maintenance, and encroachment/utility activities within the Region or District as applicable to ensure compliance with approved plans, manuals, specifications, and special provisions. Review may be assigned to members of the Region or District staff.

2. Review recommendations and provide direction to the staff regarding proposed corrective action to be taken or authorize changes to the Traffic Control Plan (TCP), Maintenance of Traffic (MOT) according to applicable Department Policies, Procedures, specifications, or special provisions.

Responsibility: Traffic and Safety Division

3. Provide training for Region Traffic Engineers, Safety Managers, construction, maintenance, and design personnel in traffic control procedures.

4. Conduct random inspections of traffic control in work zones.

5. Notify applicable Region of any deficiencies.

6. Refer non-corrected deficiencies to the Operations Engineer for consideration.

Responsibility: Traffic and Safety Studies Engineer

7. Review accident history for each project site and recommends strategies for work zone safety improvement.

Responsibility: Region Traffic Operations Engineer

8. Review and provide comments to initial contract and proposed changes to the TCP/MOT.
**Responsibility:** Resident Engineer, Maintenance Station Supervisor, Regional Right-of-Way Coordinator, District Permit Officer.

9. Assign a member of the crew as Traffic Control Manager (TCM) to be responsible for the management of traffic through the work zones. The Resident Engineer, Maintenance Supervisor, Regional Right-of-Way Coordinator, or District Permit Officer as applicable will be the TCM if no assignment is made.

10. Control and handle all other changes in cooperation with the Region Director, District Engineer, or Region Resident Engineer as appropriate. Use emergency measures to immediately correct hazardous situations.

**Responsibility:** Resident Engineer, Maintenance Station Supervisor, Region or District Safety Manager, Incident Management Team (IMT).

11. Establish communication with Utah Highway Patrol or local law enforcement agency with jurisdiction over work site location to ensure notification of any accidents associated with the work site. Investigate all of the above type accidents.

**Responsibility:** Traffic Control Manager

12. Conduct on-going inspection of work site to ensure compliance with approved TCP/MOT.

13. Request assistance from appropriate Region Staff for problems requiring engineering evaluation.

14. Report all traffic accidents occurring in the work site to the Region or District Safety Manager.

15. Check placement of the traffic control devices at least once each operating day and document sign and device placement.

16. Perform a nighttime review after each change in the TCP/MOT. Perform at least one daytime inspection per week and one nighttime inspection per month.

17. Notify the Resident Engineer, Maintenance Station Supervisor, Regional Right-of-Way Coordinator, or District Permit Officer as appropriate of deficiencies in traffic control.
Responsibility: Resident Engineer, Maintenance Station Supervisor, Regional Right-of-Way Coordinator, District Permit Officer

18. Take appropriate action to remedy deficiencies in traffic control.

Responsibility: Traffic and Safety Studies Engineer


Responsibility: Statewide Transportation Safety Specialist

20. Prepare annual monitoring work plan and submit to the Engineer for Traffic and Safety.

21. Initiate annual monitoring work plan.

22. Conduct representative sample inspection of work sites.

23. Train and certify personnel from Design, Construction, and Maintenance in traffic control procedures. Provide training for contractors and utility company personnel in traffic control processes.

24. Coordinate joint inspection activities with FHWA, Surveillance Team, or Region or District personnel.

Responsibility: Region or District Safety Manager

25. Conduct a nighttime and working hours inspection on at least one construction project each month. Review each project engineer’s work zones at least twice each year.


27. Inform Region/District personnel and Region Traffic Engineer when a change to the TCP appears necessary.

28. Conduct monthly inspection of at least one maintenance station work zone activity including night operations. Review a maintenance station work zone activity for each maintenance station once each year as a minimum.

29. Record and review accident information if liability is apparent.
30. Maintain an inspection file at the Region/District Office including work zone accidents by work site.

**Responsibility:** Region, District Regional Right-of-Way Coordinator, District Permit Officer

31. Submit monthly inspection summary to the Transportation Safety Specialist.

32. Conduct an inspection of a minimum of one encroachment permit project each week. Complete Work Zone Traffic Report and distributes copies as required.

33. Conduct a minimum of one water, gas, or telephone utility relocation project inspection within the Region or District each week. Complete and distributes Work Zone Traffic Report. The results of these inspections will be included in the monthly summary to the Transportation Safety Specialist by the Region or District Safety Manager.
Purpose
To define the use of Utah Department of Transportation (Department) Share the Road signs.

Policy
A SHARE THE ROAD supplemental plaque (W16-1) may be used to warn drivers along a segment of a highway to watch for slower forms of transportation that may be traveling along the highway.

Install signs according to the most current edition of the Manual on Uniform Traffic Control Devices (MUTCD) with the following restrictions.

Signs will only be installed:

1. When there is not an alternate facility available.

2. When an engineering review including volumes of road users, crash history, and geometry determines there is a substantial risk of conflict.

3. To connect alternate facilities or to where sufficient paved shoulder width is available.

4. When the paved shoulder width is less than three feet for bicycles.

Segments approved for Share the Road signing over ten miles in length will have supplemental distance plaques (W7-3a) placed at approximate five mile intervals on the Share the Road assembly.

An alternate facility is defined as:

1. A bike lane

2. A separate trail or path allowing or dedicated to bicycle travel.

3. A parallel segment of public roadway more suited to bicycle travel such as wider cross-section, reduced volume, or officially designated bicycle route.
Procedures
Share the Road Signs

Responsibility: Region Director or Region Traffic Engineer

Actions

1. Receive request for Share the Road signs.
2. Review request for feasibility and compliance with MUTCD and Policy 06C-63.
3. Perform engineering review.
4. Forward request, results of the engineering review, and recommendation to the Division of Traffic and Safety (see Policy 06C-21).

Responsibility: Division of Traffic and Safety

5. Review and respond to Region Director or Region Traffic Engineer with the determination.

Responsibility: Region Director or Region Traffic Engineer

6. Respond to requestor with determination, if required.
7. Create work order when decision is made to proceed with sign installation or modification.

Responsibility: Region or District Operations Engineer

8. Log in receipt of work order.
9. Schedule material, equipment, and personnel.
10. Review field location of installation with Region Traffic Engineer, if required.
11. Record installation date.
12. Maintain record of installation (Policy 06C-21).

Responsibility: Region Director/Region Traffic Engineer/District Engineer

13. Forwards notice of completion of new distance sign to the Division of Traffic & Safety.
**Responsibility:** Division of Traffic and Safety

14. Maintain record of approved Share the Road signs.
Electronic Technical Specialist Certification Program
UDOT 06C-64
Effective: March 10, 2008 Revised: August 24, 2016

Purpose
To establish a Certification and Incentive Program for Electronic Technical Specialists that recognizes and rewards technical skills, academic competence, longevity, and leadership skills at the Utah Department of Transportation (Department).

To establish uniformity in the administration of the Certification and Incentive Program for Electronic Technical Specialists.

To establish uniformity in qualifications required for hiring and advancement for Electronic Technical Specialists.

Policy
It is the policy of the Department to provide Electronic Technical Specialists with an opportunity to obtain up to a total of four one-step increases within the classification series of Electronic Technical Specialists I-III and two more one-step increases in the Electronic Supervisor or Manager positions through successful completion of a program of continuing education, training, and certification.

It is the policy of the Department to provide for the opportunity for advancement from Electronic Technical Specialist II to Electronic Technical Specialist III when:

1. Electronic Technical Specialist III positions have been authorized.

2. The candidate meets certain education, training, and certification requirements.

The Department will provide a training program for all Electronic Technical Specialist personnel. The Department will also administer tests and certifications to qualified personnel.

Background
The Department Traffic Policy Committee consists of the following:
Engineer for Operations
Engineer for Traffic and Safety
Traffic Management Engineer
Region One Traffic Operations Engineer
Region Two Traffic Operations Engineer
Region Three Traffic Operations Engineer
Region Four Traffic Operations Engineer
Procedures
Electronic Technical Specialist Certification Program  UDOT 06C-64.1

Responsibility: Engineer for Operations

Actions

1. Ensures that the Electronic Technical Specialist Certification Program develops employees who meet the operational requirements of the Department.

Responsibility: Traffic Management Engineer

2. Develop training and certification programs. Include technical advisors from the Regions and Traffic and Safety Division.

3. Coordinate and administer training required by Department Policy and Procedure.

4. Provide Region Traffic Operations Engineers with necessary resources and provides support for the certification process in the Regions.

5. Maintain Electronic Technical Specialist Certification Program certification database that tracks qualifications for advancement procedure.

Responsibility: Region Traffic Operations Engineer and Engineer for Traffic and Safety

6. Ensure that Electronic Technical Specialists are given the opportunity to train and progress.

7. Ensure that candidates for advancement meet the required qualifications and that only qualified employees are advanced.

Responsibility: Department Traffic Policy Committee

8. Develop and maintain specific procedures and requirements for Electronic Technical Specialist Certification Incentive Program.

9. Review in advance continuing education program proposed by individual Electronic Technical Specialists.
10. Review requests and supporting documentation for step increases proposed by supervisors of Electronic Technical Specialists and provides recommendations to Region, Division, and Group leaders.
Purpose
The purpose of this document is to establish a Utah Department of Transportation (Department) guideline and outline procedures for Utah Passenger Ropeway Safety Committee inspection of passenger ropeway incidents that have resulted in bodily injury, establish a guideline for inspection of conditions with apparent potential to cause bodily injury, and outline the procedures and actions that may be pursued following such inspections. It is intended that information ascertained and disseminated as a result of inspections will assist to protect citizens and visitors from unnecessary mechanical hazards in the design, construction, and operation of passenger ropeways as mandated by Utah Code Annotated 72-11-201(2)(c).

Policy
The Utah Passenger Ropeway Safety Committee will perform inspections of passenger ropeway incidents that have resulted in bodily injury and perform inspections of conditions with apparent potential to cause bodily injury as defined in R920-50-2.[J]P.1 and 7 in order to safeguard the life, health, property, and welfare of the citizens of Utah while using passenger ropeways. This is particularly true for those incidents that may have involved violations of the provisions of the Utah Code governing ropeways or the Committee’s rules.
Responsibility: Ropeway Safety Engineer

Actions

1. Notify the Utah Passenger Ropeway Safety Committee Chairperson as soon as reasonably possible after receiving notification of an incident to convey preliminary incident information and discuss an inspection plan.

2. Contact the U.S. Forest Service authorized officer as soon as reasonably possible if an incident has occurred on Forest Service land.

3. Evaluate and make recommendation regarding the use of a Qualified Engineers or Ropeway Inspectors to assist in performing an inspection of an incident on ropeway.

Responsibility: Utah Passenger Ropeway Safety Committee

4. Determine if Qualified Engineers or Ropeway Inspectors are necessary to assist in performing inspection of incident or a ropeway. Expenses incurred by these types of inspections may be paid by the Committee through the Transportation Fund using funds collected from registration fees.

Responsibility: Ropeway Safety Engineer

5. Make contact within the Department to make arrangements for placing a Qualified Engineer or Ropeway Inspector under contract to perform the inspection.

6. Establish communication with owner or area operator to schedule an inspection of the incident or ropeway.

7. Perform an inspection of the incident to evaluate the nature and extent of any injuries to people or damage to the ropeway and determine, following inspection, what measures must be taken before public operation is resumed.
8. Make an immediate report to the owners or area operators of the passenger ropeway and to the Committee for appropriate action if it is determined as a result of the incident inspection that a violation of the provisions of the Utah Code governing tramways or Committee’s rules exists or a condition poses immediate and significant danger and requires immediate action.

9. Determine if an order prohibiting or restricting use may be warranted.

10. Contact the State Attorney General’s office to communicate known facts discovered by the incident inspection and if an order prohibiting or restricting use may be warranted.

11. Issue an advisory notice if necessary requiring remedial action to owners or area operators who operate ropeways where the public could face similar hazards.

Responsibility: Utah Passenger Ropeway Safety Committee

12. Receive and evaluate incident inspection report from Committee’s appointed representative. The Committee may take action if it finds violations of the provisions of the Utah Code governing ropeways or the Committee’s rules or that a condition poses immediate and significant danger and requires immediate action consistent with Utah Code Annotated '63-46b-20. The Committee may issue:

   a. An advisory notice requiring remedial action

   b. An order prohibiting or restricting use if specified remedial action is not taken

   c. An order prohibiting use or restricting use

13. Actions outlined in paragraph 12 must be in writing and signed by a member of the Committee or the Committee’s appointed representative. Orders must be delivered to the owners or area operators in control of the ropeway immediately by mail or in person. All orders are subject to the Utah Administrative Procedures Act and R920-50-[17]14.

14. May suspend the Certificate of Registration until the operator complies with applicable codes or bring enforcement proceedings in the district court of the judicial district of the owner or area operator if a passenger ropeway fails to comply with a legal order of the Committee.
15. Coordinate with the Department’s Community Relation’s office if the Committee decides to release or issue any statements to the media. Any statement should be submitted to the State Attorney General office for review.

**Responsibility:** The Department – Community Relations

16. Provide assistance to the Committee in releasing or issuing any statements to media regarding inspections of incidents or ropeways.
Purpose
To define the responsibilities of the Utah Department of Transportation (Department) and the Division of Aeronautics with regard to Airport Development in the state.

Policy
Air transportation is essential for developing industry, recreation, and energy resources throughout the state. It is therefore necessary that a network of safe and modern airport facilities be provided to promote Utah’s development.

It is the policy of the Department to encourage the systematic upgrading of the network of airports throughout the state as outlined in the Utah Continuous Airport System Plan (UCASP) and to accomplish this systematic upgrading according to the Statewide Airport Capital Improvement Program (ACIP) for public-use airports. It is Department policy to promote the growth of aviation services for the general public at all levels of aviation activity. The Department will make every effort possible to assist in developing airports since the majority of Utah’s airports are owned by either cities or counties.

Responsibility
The Department will establish overall policy and procedures for the continuing development of capital facilities at all public use airports in the state. The Department will update the ACIP annually with inputs from local airport sponsors through the Division of Aeronautics.

The Division of Aeronautics will coordinate the information developed for the UCASP and will produce the ACIP, which is a five-year program that prioritizes airport development and maintenance projects and allocates both federal and state funding to those projects.
Purpose

To define the role of the Utah Department of Transportation (Department), the Utah Division of Aeronautics (UDOA), and other federal, state, and local agencies in developing and maintaining the Utah Continuous Airport System Plan (UCASP) and Statewide Capital Improvement Program (ACIP) for public-use airports in Utah. To establish guidelines and responsibilities for airport system planning for the development of the ACIP and for airport project completion.

Policy

The Federal Aviation Administration (FAA), in Advisory Circular 150/5070-7, Planning the State Aviation System, defines state airport system planning as the process which results in the documentation of the airport (including heliport and float plane facilities) and airport related facilities needed to meet the current and future air transportation needs of the state. It identifies the aeronautical role of existing and recommended new airports. It describes the development required at each, including time frames and estimated costs. State system planning is accomplished within a comprehensive planning framework consistent with state goals and objectives for economic development, transportation, land use, and the environment. It incorporates metropolitan and regional airport system planning and provides direction for airport master planning. It serves as an important component of the FAA’s National Plan of Integrated Airports System (NPIAS).

The purpose of the UCASP, described in its broadest sense, is to determine the extent, type, nature, location, and timing of airport development needed in the state to establish a viable, balanced, and integrated system of airports. The airport development included in a state plan should not be limited to those items of development eligible for federal financial aid. Many activities undertaken in the planning process are directly or indirectly related to implementation. The plan should give appropriate consideration to the desires of the local airport operators and elected officials.

The Department has overall responsibility for coordinating, developing, and maintaining the UCASP and ACIP for all public use airports within the state of Utah. The UDOA is the division within the Department that has responsibility for all aeronautical and aviation-related transportation issues that impact the citizens of Utah. UDOA takes the lead within the Department in developing the UCASP and the related ACIP. The Salt Lake City Airport Authority (SLCAA) owns and operates the Salt Lake City International Airport (SLCIA). SLCIA has a full staff to do all required system planning for activities at that airport. UDOA’s role in relation to the SLCIA is primarily advisory and the planning efforts of the SLCIA staff are integrated into the system planning conducted by UDOA.
The ACIP is a five-year capital investment program for all Utah airports. The ACIP identifies and prioritizes projects at each public use airport by federal fiscal year. The ACIP is fiscally constrained to the amount of federal and state funding appropriated in a given year. The ACIP is the Department program for implementing the UCASP.

The ACIP is prepared in cooperation with federal, state, and local agencies and encompasses all public-use airports in Utah. It establishes priorities for airport planning, construction, improvement, and maintenance necessary to meet national, statewide, regional, and local objectives. This cooperative planning process ensures that development and maintenance projects for public use airports in the state are centrally coordinated to best serve the transportation, communication, and economic needs of all of the citizens of Utah.

UDOA has the responsibility for aviation system planning and program development for all other municipalities in Utah. This division, in coordination with local sponsors, consultants, airport managers, and users prepares the annual update to the ACIP which documents airport capital needs for all public use airports in Utah. Changes to the plan are based on Joint Planning Conferences, Department surveys, airport master plan updates, ALP updates, and coordination with airport sponsors. UDOA also coordinates the inputs from each airport’s ADP which identifies specific projects needed at that airport over a rolling five year period to enable that airport to remain viable within the UCASP.

The UCASP must provide the background for capital investment in Utah airports by defining the role of each airport and its relationship to the community. Forecasts that show aviation demand and community growth are used to identify future capital needs. Any unique features of the airport that are important to the community must also be identified. The overall purpose of the UCASP is to provide the necessary background to make informed decisions for capital investment in Utah airports.

The ACIP identifies all federal and state funding sources available within each airport category:

1. International Airports
2. National Airports
3. General Aviation, Regional
4. General Aviation, Community
5. General Aviation, Local
It documents the planning, construction, development, and maintenance projects for each airport and then prioritizes projects across all airport classifications into a single prioritized list sorted by fiscal year. It programs federal and state funding to meet project needs according to established priorities identified in the ACIP. The programming process that results in the ACIP, programs funding for airport projects at all airports except Primary Commercial Service airports. The federal funding category that funds projects for NPIAS airports in the other three airport categories is called the State Apportionment which is part of the FAA Airport Improvement Program (AIP). Projects at Primary Commercial Service airports that are funded with federal AIP entitlement funds, Passenger Facility Charge (PFC) revenues or other airport revenues are identified in the ACIP for information purposes only. These projects are not subject to the prioritization process within the ACIP. These federal AIP entitlement funds, PFC revenues, and other revenues can only be spent by the respective primary airports and project priority decisions are made by the airport sponsor in coordination with the FAA Airports District Office (ADO).

Projects selected for inclusion in the ACIP at non-Primary Commercial Service airports in the NPIAS are funded primarily by federal AIP grants, matching state grants, and local funds. Airport sponsors submit a project request and an application for federal and state grants for eligible projects included in the ACIP to the FAA ADO and to UDOA. Airports not identified within the NPIAS are not eligible to receive federal grants. Sponsors of non-NPIAS airports submit project request and state grant application to UDOA only. State project requests are prioritized by UDOA and a fiscally restrained list of recommended projects is forwarded to the Utah Transportation Commission for approval or disapproval. Federal and state funds are disbursed to an airport sponsor by UDOA according to the grant agreements following completion or at appropriate milestones of a project. UDOA passes through all federal AIP grant funds provided by the FAA and disburses appropriate matching state funds to those projects. UDOA disburses state grant funds to airport sponsors for approved maintenance projects, planning projects, and development projects at non-NPIAS airports.

**Background**

The FAA Modernization and Reform Act of 2012 establish the relationship between States and the Federal Aviation Administration with respect to transportation planning and the submission and approval of grant applications.

The Federal Airport Funds Act (Utah Code, 72-10-3) requires that all requests for federal aid from public airport sponsors be approved by the Department Division of Aeronautics and that all federal funds be received and disbursed by the Division acting as agent for the public sponsor.

Public-use airports are a key element of the Utah transportation system. Airports are vital for the transportation, public health, safety, communication, and economic growth of Utah.
Utah’s public use airports rely upon federal and state financial support for major capital development projects. The above cited federal and state statutes provide for grants-in-aid to public use airport sponsors to fund eligible projects.

Definitions

**Airport Improvement Program (AIP)**
A federal program administered by the FAA that provides grants-in-aid and other federal assistance to airports in the NPIAS.

**Airport Layout Plan (ALP)**
A multi-level engineering scale drawing of an airport that conforms to FAA standards and shows current features and planned development.

**Airports District Office (ADO)**
A field office of the Airports Division of the FAA that serves airports in a multi-state area. The Denver ADO manages the federal AIP in Utah.

**Capital Improvement Program (CIP)**
A five-year capital investment program managed by the FAA that allocates federal funds to approved projects at NPIAS airports.

**Federal Aviation Administration (FAA)**
An agency within the Federal Department of Transportation with responsibility for all aviation and aviation-related matters. The FAA has responsibility for administering all aspects of the federal AIP in the context of this policy.

**National Plan of Integrated Airports System (NPIAS)**
A federal airport plan identifying airports with associated data that meet certain FAA criteria and are considered nationally significant. Only airports in the NPIAS are eligible for federal aid.

**State Airport System Planning**
The process that results in the documentation of the airport (including heliport and float plane facilities) and airport related facilities needed to meet the current and future air transportation needs of the state.

**Statewide Airport Capital Improvement Program (ACIP)**
A 5-year program identifying development and maintenance projects for public use airports in Utah. It consists of a list of all projects, categorized by fiscal year, funding source, and estimated cost.
**Utah Continuous Airport System Plan (UCASP)**
A 20-year plan prepared by UDOA covering public use airports in the state. The UCASP is the primary document that defines the functions and development needs of public use airports in Utah.

**Utah Division of Aeronautics (UDOA)**
The division within the Department responsible for management of all federal AIP and state aviation funds, disbursal of state aviation fuel tax revenues, review and approval of capital projects, inspection and certification of public-use airports in Utah, operation and maintenance of state-owned air navigation facilities, maintenance of state-owned fixed wing aircraft and operation of department owned aircraft to provided transportation services to state government organizations and individuals. This Division prepares the UCASP and compiles the ACIP.
Responsibility: Airport Sponsors

Actions

1. Establish locally oriented goals and objectives with respect to airport development and the relationship to economic development, transportation infrastructure, land use, and environmental concerns.

2. Establish local aviation oriented objectives regarding safety, efficiency, level of service, and economic self-sufficiency.

3. Update Airport Master Plan and associated Airport Layout Plan periodically to ensure that the plan reflects the goals and objectives the sponsor has for its airport.

4. Keep UDOA apprised of resources required to maintain their airport facility and to meet their planning goals and objectives through annual updates to their Airport Development Plan.

Responsibility: Utah Division of Aeronautics

5. Establish goals and objectives at the state level with respect to airport development and the relationship to economic development, transportation infrastructure, land use, environmental concerns, and aviation safety.

6. Prepare an annual update to the ACIP incorporating inputs from the airport sponsors that reflect the goals and objectives set at the state level.

7. Provide individual airport sponsors with state budgetary policy and fiscal constraints and with technical direction for airport master planning.

8. Provide the FAA with recommendations for inclusion in the NPIAS.

9. Conduct special studies and activities to provide the aviation community and the general public with appropriate information on pertinent aviation issues.

10. Conduct special data collection programs of a continuing nature, specifically for use in airport planning.
Responsibility: Utah Division of Aeronautics

Actions

1. Provide the information contained in the Statewide Airport Capital Improvement Program (ACIP) for Public Use Airports in Utah on a continuing basis to the FAA Denver ADO. This information is the basis for the federal NPIAS CIP that is used by the FAA to allocate State Apportionment funding to selected airport development projects at NPIAS airports.

2. Coordinate with airport sponsors and with the Denver ADO on an ongoing basis to ensure that agencies are using the same information in programming funding for capital improvements at Utah’s public-use airports.

3. Maintain the ACIP current as changes in funding levels, project schedules, and projects occur.

4. Initiate the annual revision to the ACIP by soliciting Airport Development Plan (ADP) inputs from each public use airport sponsor in the state.

Responsibility: Airport Sponsors

5. Update annually their Airport Development Plan. Airport sponsors are responsible to provide opportunity for public comment and approval from local elected officials (city or county councils) as part of the update process.

6. Respond to annual request from UDOA for ADP update.

Responsibility: Utah Division of Aeronautics

7. Meet with ADO for project selection at NPIAS airports.

8. UDOA staff meets to identify projects using only state funds.
9. Prepare the annual update to the five-year ACIP. All projects are prioritized according to the priority system. Anticipated federal and state funding amounts will be applied to each fiscal year and funding for projects will be programmed according to this anticipated funding and project priorities. Individual adjustments to selected projects may be made subjectively when there is a logical reason for deviating from the priority system. This is an interactive process that involves frequent discussions with airport sponsors and with the FAA Denver ADO. The updated ACIP is then presented to the Utah Transportation Commission for review and approval.

10. Submit the ACIP to the FAA Denver ADO as the five-year plan update to the NPIAS.
Responsibility: Utah Division of Aeronautics

Actions

1. Recommend to the FAA ADO with each annual update to the ACIP that those airport development projects at NPIAS airports that have been selected for inclusion in the ACIP be included in the five year NPIAS and the CIP. Identify recommended projects that would be appropriate to receive discretionary funding should such funding become available.

Responsibility: Federal Aviation Administration Airports District Office

2. Include airport development projects at NPIAS airports that have been selected for the five year NPIAS in the CIP. Coordinate with the airport sponsors for ACIP projects between one and two years before the anticipated funding year and commencement of work.

Responsibility: Airport Sponsor

3. Plan to complete preliminary project activities such as scope, necessary environmental, land acquisitions, and getting the project ready to bid between one and three years before the funding year and commencement of work on projects that are included in the FAA CIP or the ACIP.

4. Be prepared to submit a grant application for the project as soon as funding is confirmed by the FAA ADO, UDOA, or both.

Responsibility: Utah Division of Aeronautics/Federal Aviation Administration Airports District Office

5. Notify the airport sponsor that funds have been allocated to the project as soon as funding for the appropriate fiscal year in which the project is to be funded has been confirmed. Notify the airport sponsor and request immediate submission of a grant application if discretionary funds become available for the project.

Responsibility: Airport Sponsor

6. Submit applications for Federal grants to the FAA ADO with a copy to UDOA when notified of funding availability. Submit applications for state grants for development projects at non-NPIAS airports and for all state funded maintenance projects to UDOA.
7. Coordinate with both the FAA ADO and UDOA before submitting a grant application when unforeseen project needs of an emergency nature arise such as there is insufficient time available to go through the normal project programming and selection process.

**Responsibility:** Utah Division of Aeronautics

8. Review the application for accuracy, reasonableness, inclusion of the project in the ACIP, and confirmation of the available or allocated funding upon receipt of a federal or state project grant application.

9. Present the project to the Utah Transportation Commission for approval if the project hasn't already been approved.

10. Issue the state Grant Agreement or Cooperative Agency Agreement or both for approved projects to the airport sponsor for signatures.

**Responsibility:** Airport Sponsor

11. Return the signed copies of the Grant Agreement or Cooperative Agency Agreement or both to UDOA.

**Responsibility:** Utah Division of Aeronautics

12. Process the signed copies of the agreements through state channels for appropriate coordination, signatures, and state contract number.

13. Return a completed copy of all executed agreements to the airport sponsor.

**Responsibility:** Airport Sponsor

14. Proceed with the project after notification from UDOA and the FAA ADO.

15. Has full responsibility and control over bidding, contractor selection, and construction management within the guidelines of appropriate grant agreements and assurances. Begin to conduct bidding and contractor selection as soon as approval for the project has been given by the Utah Transportation Commission. Construction may not begin nor may disbursement of grant funding for any work be requested before notification from UDOA, the FAA ADO, or both to proceed with the project.

16. Responsible for quality control of the project. The sponsor may be assisted by staff or consulting engineers. Failure of the sponsor to ensure quality control could affect eligibility for project payment.
Responsibility: Utah Division of Aeronautics/Federal Aviation Administration
Airports District Office

17. The Department inspectors and FAA ADO project managers may periodically visit the project during construction.

Responsibility: Airport Sponsor

18. Notify UDOA and the FAA ADO if significant problems occur during the construction phase.

Responsibility: Utah Division of Aeronautics/Federal Aviation Administration
Airports District Office

19. Provide assistance in resolving the problem after becoming aware of a significant problem with the project.

Responsibility: Airport Sponsor

20. Sponsors with approved accounting systems request project funding directly to the FAA for federally funded airport development projects. The sponsor is responsible for all project accounting.

21. Notify UDOA when request for payment is submitted to FAA via approved accounting system.

22. Payments will normally be requested upon completion of the project for projects where funding includes a state grant but no federal grant. Requests for payment are made in writing with attached invoices and documentation of all costs incurred by the project for which payment is being requested. Partial payments may be requested as project phases are completed for large projects.

Responsibility: Utah Division of Aeronautics

23. All AIP payments must flow through UDOA to the public sponsor according to Utah Code 72-10-302. UDOA will process payment to the sponsor for the federal share through the State Treasurer’s office upon receipt of the payment request for federally funded airport development projects.

24. UDOA will also process payment of the state matching funds, when applicable, for payment to the sponsor when processing payments for the federal share.
25. Payment to the sponsor will be processed upon receipt of the payment request, including required documentation for projects where funding includes a state grant but no federal grant. Under no circumstances will payments under UDOA grants exceed the amount approved in the grant.

Responsibility: Airport Sponsor

26. Coordinate with the FAA ADO and UDOA to initiate close-out actions upon completion of the project funded with a federal grant.

27. For state grant projects, upon completion of the project, notify UDOA.

Responsibility: Utah Division of Aeronautics

28. UDOA will close out the project and terminate the job documents after notification from the FAA ADO of project close-out.

29. Perform a final inspection of the project upon notification of completion of a project. Make final payment of the UDOA share of the project based upon total documented costs, not to exceed the amount approved in the grant after a satisfactory inspection and upon receipt of a proper request from the sponsor. The project will then be closed out and the job documents terminated.
Purpose
To establish a procedure that conforms with the Governmental Records Access and Management Act (GRAMA), U.C.A. 63-2-2, while insuring adequate notice to the Utah Department of Transportation (Department), the State Office of Risk Management, and Attorney General’s Office on all data or information released to the public, contractors, insurance companies, or private attorneys for which there are pending claims, litigation, or possible liability for the Department.

Policy
The Government Records Access and Management Act (GRAMA) is a comprehensive law dealing with management of government records. This Act is an attempt to balance the public’s constitutional rights to access government information, protect the privacy of individuals of which personal data has been collected, and monitor government access restrictions to records.

Definitions
Documents Classification Report
A State Archives inventory report that determines whether a record series, record, or information within a record is public, private, controlled, protected, or exempt from disclosure under Section 63-1-101(3)(b).
Responsibility: All employees

Actions

1. **Destruction or Improper Disclosure of Records**: All records created or maintained by an employee are declared property of the employee who has lawful access and who intentionally discloses or provides a copy to any person knowing such disclosure is prohibited is guilty of a Class B misdemeanor {U.C.A. 63-2-905} and any employee who has lawful access and provides a copy to any person knowing such disclosure is prohibited is guilty of a Class B misdemeanor {U.C.A. 63-2-801} and subject to disciplinary action {U.C.A. 63-2-804}. A person is guilty of a Class B misdemeanor for knowingly making false entry or false alteration of anything belonging to the State {U.C.A. 76-8-11}.

Responsibility: All Region, District, and Division employees with access to or who routinely receive copies.

2. **Department “Documents Classification Report”**: No documents, records, data, or reports will be released by any employee except as provided in the "Department’s Documents Classification Reports" or as provided by GRAMA and this procedure. The classification categories are as follows:

   a. **PUBLIC** – Records not classified as private, controlled protected, or exempt
   
   b. **PRIVATE** – Records open only to the individual to whom the record pertains and other authorized people or agencies
   
   c. **CONTROLLED** – Records open to authorized people or agencies but not open to the individual to whom the records pertain
   
   d. **EXEMPT** – Documents that are governed by a state or federal statute that may only be released in special circumstances. Refer to {U.C.A. 63-2-202 (8) (a)(I-v)}, “Research Purposes.”
e. **PROTECTED** – Records with non-personal data that are open to the authorized persons or agencies. Protected documents are defined in {U.C.A. 63-2-304} and include:

1) Records prepared by or on behalf of the Department in anticipation of litigation that are not available under the rules of discovery.

2) Records disclosing an attorney’s work product including the mental impressions or legal theories of an attorney or other representatives of the Department concerning litigation.

3) Records of communications between the Department and an attorney representing, retained, or employed by the Department if the communications would be privileged as provided by GRAMA.

4) Records of investigations of loss occurrences that may be covered by the Division of Risk Management, the Employers’ Reinsurance Fund, or similar divisions in other governmental agencies.

5) Investigative Officer’s Reports that may only be released by the Department of Public Safety.

6) Employees’ Personnel Files or personnel records except as may be allowed by the Office of Human Resources.

7) Documents subject to 23 U.S.C. Sec. 409 are not discoverable nor can they be admitted as evidence in Federal or State court or considered for other purposes of damages arising from any occurrence.

3. **Steps to Be Taken Upon Receipt of a Record Request:** When a request for access to information is submitted to an agency of the Department they should:

a. **DOCUMENT FOR PUBLIC RELEASE** – Documents that are prepared for current public distribution may not require written request. This exception also applies to engineering data provided to a contractor or consultant that is integral to the performance of a Department project.

b. **MUST BE WRITTEN REQUEST** – Determine if the request describes the record requested with reasonable specificity. Refer to Exhibit A “Document Release Form.”
c. **MUST BE SPECIFIC** – Determine if the request describes the record requested with reasonable specificity. Attempt to contact the requester for further clarification if what has been requested is not understood. Refer to GRAMA Handbook Part II, Sec. C.

d. **DATE RECEIPT OF THE REQUEST** – Log the request. The first day is counted as the day following receipt according to Utah Rules of Civil Procedure #6. The time for response begins to run when the request is received so it is important to note the date it is received by either entering it in a log or date stamping the request.

e. **DETERMINE ORIGIN OF RECORD** – Make the request know to the district or division Records Officer or the designated authority who will then refer to the “UDOT Documents Classification Report” to evaluate the following:

   1) Origin of the record (creator/custodian of original).

      a) The request is to be immediately forwarded to the appropriate office if the record does not originate from the receiving office. The time limit for response should begin when the record is received by that office.

      b) The record should be handled as the UDOT Documents Classification Report indicates if it does originate from the receiving office as clarified on pages 2 and 3 of this procedure.

f. **OBTAIN PRIOR APPROVAL IF NEEDED** – Documents classified as private (2-B), protected (2-E), or classified as public (2-A) but relate to pending litigation against the Department or issues that the employee has reason to believe may result in litigation involving the Department will only be released through the Office of Loss Control as provided by law, “Rules of Discovery” or as directed by the Office of the Attorney General. Personnel related documents require the approval of the Office of Human Resources. Refer to Subpoena 2-D {Exempt} of this procedure. Requester must show proof of identification **before** the record is disclosed. Refer to Exhibit B.
g. **RESPOND** – The Department will respond to a record request no later than ten business days after receiving the request or five business days after receiving a written request if the requester demonstrates that the expedited response benefits the public except for the extraordinary circumstances outlined in 4:A-H of this procedure. The Department will respond to a record request as follows:

1) Approve or provide the record requested
   a) Deny the request, Refer to 6:A-B.
   b) Notify the requester that it does not maintain the record and provide, if known, the name and address of the governmental agency that does maintain the record.

4. **In Cases of Extraordinary Circumstances:** Notify the requester that because of the extraordinary circumstances listed it cannot immediately approve or deny the request and specify the earliest date the records will be available. Refer to Exhibit C, “Notice of Extended Time for Response to Records Requests”. The following circumstances constitute extraordinary circumstances that allow the Department to delay the Department to approval or denial:

   a. A governmental agency is using the record, in which case the Department will immediately request that the other agency return the record.

   b. A governmental agency is using a record as part of an audit and returning the record before the completion will impair the conduct of the audit.

   c. The request is for a voluminous quantity of records.

   d. The Department is currently processing a large number of record requests.

   e. The request requires the Department to review a large number of records to locate the records requested.

   f. The decision to release a record involves legal issues requiring analysis of requests, statutes, rules, ordinances, regulations or case law.
g. Separating public information from private, confidential, or protected information requires extensive editing.

h. Separating public information from private, controlled, protected, or exempt requires computer programming.

5. **When a Record Request Must Be Delayed:** Take the following action if the Department determines that the extraordinary circumstances listed on page {5:A-H} creates a situation where a record request must be delayed:

a. The governmental agency currently possessing the record will be requested to return the record to the Department within five business days of the request unless the record would impair the holder’s work for the circumstances cited under {4A} of this procedure.

b. The Department will notify the requester when the record is available for inspection and copying for the circumstance cited under {4B} of this procedure.

c. Use this procedure for the circumstances cited under {4C, D & E}:
   1) Disclose the public records that it has located.
   2) Provide the requester with an estimate of the amount of time it will take to finish the search.
   3) Complete the search and disclose the requested records as soon as reasonably possible.

d. Use this procedure for the circumstance cited under {4F}. Approve or deny the request within five days after the response time designated for the original request has expired.

e. Use this procedure for the circumstance cited under {4G}. The Department will fill the request within 15 business days from the date of the original request.

6. **Denying Records:**

a. It is considered the equivalent of a determination to deny access to a record if the Department does not provide a requested record or does not issue a denial within the specified time period. Refer to Exhibit D, “Notices of Denial Form”.
b. The Department will send a notice of denial to the requester’s address if it denies the request in whole or part. The notice of denial will contain the following information:

1) A description of the record or portions of the record to which access was denied providing the description does not disclose private controlled, protected, or exempt information.

2) Cite any provisions of GRAMA, {U.C.A. 63-2-2} or other state statutes or regulations that prevent the record from disclosure providing the citations do not disclose private, controlled or protected information.

3) State that the requester has the right to appeal the denial to the Executive Director and then to either the records committee or district court, Appeals Process: {U.C.A. 63-2-4}.
   a. Briefly summarize the appeals process, the time limits for filling an appeal, and the name and business address of the Executive Director. Refer to Exhibit E, “Notice of Appeal Form”.

7. **Subpoena or Court Order:** Requests made by service of subpoena or court order to produce documents will be coordinated with the Department Office of Loss Control before releasing any documents or appearing for deposition.

8. **Questions Regarding Requests:** Notify Loss Control of any questions regarding requested items listed in {2-E:1-7} of this procedure for approval to release information requested.

9. **Fees for Records:** Will be charged for actual costs and may include the following:
   a. Cost of staff time for summarizing, compiling, or tailoring the record either into an organization or media to meet the person’s request.
   b. Cost of staff time for search, retrieval, or other direct administrative costs for compiling.
   c. Fees for a record that is the result of computer output other than word processing the actual incremental cost of providing the electronic services and products together with a reasonable portion of the costs associated with formatting or interfacing the information.
d. Government agencies may not charge fees for:

1) Reviewing a record to determine whether it is subject to disclosure.

2) Inspecting a record.

e. Fees:
   First 50 pages 50 cents per copy
   Second 50 pages 35 cents per copy
   All additional copies 20 cents per copy

f. Hourly labor rate for staff time for administration, search, retrieval and other direct administrative costs will only be charged for providing electronic services associated with formatting or interfacing the information for particular uses. In all other cases these costs are included in the copy fees described in {9B}.

g. An appeal of the charges assessed can be made in writing with the appropriate Records Officer and will be reviewed by the Executive Director.

**Responsibility:** Office of Department Risk Management

10. Coordinates with State Attorney General on any questionable requests or secures approval to release and forwards copies of all documents or information to the State Attorney when so requested on litigation-related cases.

a. Maintains a file for two years and coordinates data with open case files.

b. Invoices requester and insures proper credit to appropriate division.
Purpose

To define the policy of the Department of Transportation (Department) for authorization, approval and responsibility of employees to meet OSHA and Department Risk Management regulations and guidelines regarding the use of personal protective equipment and safety clothing. To establish and define the organization and responsibilities of a Safety Clothing Committee.

Policy

It is the policy of the Department to provide personal protective equipment and safety clothing to all Department employees that may be exposed to hazardous materials or hazardous working conditions during working hours.

Employees must wear the appropriate protective equipment and safety clothing to perform their prescribed work in a safe and productive manner. Employees will care for state issued protective equipment and safety clothing properly to help increase the longevity of these items. Personal protective equipment and safety clothing provided by the Department is intended to be used by the employee while working for the Department. Failure to do so may result in disciplinary action. Supervisors are responsible to see that proper safety equipment is provided and properly used. The supervisor is also responsible for the proper spending of state funds when purchasing safety equipment. Strict, unbiased discretion is expected as the supervisors determine when an employee’s safety equipment needs to be replaced. All protective and safety clothing and protective devices must meet OSHA, ANSI or Department standards.

A. Employees working in areas that may expose them to possible injury must wear the proper safety clothing and personal protective equipment (PPE) as dictated by the situation. Minimum safety clothing and PPE by situation are indicated in the following table:
<table>
<thead>
<tr>
<th>Work Activity or Area</th>
<th>Safety Outerwear¹</th>
<th>Hard hat²</th>
<th>Soft cap or hat</th>
<th>Safety boots (ANSI)</th>
<th>Safety eyewear</th>
<th>Hearing protection</th>
<th>Other as req’d by OSHA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Work within the right-of-way or on or near highways (outside the limits of an active construction project³)</td>
<td>✓</td>
<td></td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Work within the limits of an active construction project³</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Flagging</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Shop</td>
<td></td>
<td></td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Lab</td>
<td></td>
<td></td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Warehouse</td>
<td></td>
<td></td>
<td></td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Weed spraying</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Work in areas of overhead hazards</td>
<td>✓</td>
<td></td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Inside an enclosed a hard-top vehicle</td>
<td></td>
<td></td>
<td>No PPE required</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Notes:
1. Safety Outerwear is defined as fluorescent orange-red, combination fluorescent orange-red/yellow-green, or fluorescent yellow-green, shirt, vest, coat, and overall meeting ANSI Class 3 requirements for visibility, and refers to the outermost layer excluding the hard hat (see note 2 for hard hat requirements). Flaggers must wear a vest or shirt with at least 50% background color material of fluorescent orange-red.
2. Hard hats are required regardless of the activity where there is a possible danger of head injury from impact from falling or flying objects, or from electrical shock and burns. Refer to 29 CFR 1926.100(a). The hard hat for night work is required to meet ANSI Headwear requirements for visibility with at least 10 square inches of retroreflective material. Flaggers are required to wear a fluorescent orange-red colored hard hat.
3. An “active construction project” is defined as a contract project where the contractor is required to wear hard hats and safety glasses.

Safety clothing other than that issued by the Department must be approved by the Department Safety Managers or the Department Risk Management Office such as hats, coats, rainwear, or disposable garments.

Clothing will be worn as issued with no alterations.
B. Employees may be issued summer and winter apparel as determined by the Area supervisor or equivalent position and as specified in the following:

1. Summer:
   a) Bibs or coveralls – Department issued meeting ANSI high visibility requirements or ANSI high visibility vest/coat to be worn over the bibs/coveralls.
   b) Jackets – Department issued meeting ANSI high visibility requirements.

2. Winter – For field employees whose job exposes them to prolonged periods in inclement weather. An employee may only request either insulated coveralls or a coat and bib combination when ordering winter apparel.
   a) Insulated bibs or coveralls – Department issued. Must use an ANSI high visibility vest/coat over the bibs/coveralls.
   b) Coats – Department issued meeting ANSI high visibility requirements.
   c) Rubber insulated steel toed boots.

3. Mechanics, shop personnel, and other authorized employees may be issued appropriate protective clothing.

C. Employees whose job exposes them to inclement weather may be issued retroreflective fluorescent orange-red or combination fluorescent orange-red/yellow-green waterproof clothing (rainwear).

D. The Department will participate in the cost of ASTM approved safety-toe footwear, including resoles and other repairs, up to $225 per fiscal year. Any exception to the dollar amount or frequency of safety-toe footwear purchases will require the approval of the Region Director or designee. Safety-toe boots must have leather uppers above the ball of the ankle. The Department will provide rubber hip boots with safety-toe as determined by the supervisor.

E. Employees handling chemicals or hazardous materials will be issued appropriate protective clothing or equipment for the task.

F. Employees required to wear eye protection because of work area will be issued and use appropriate safety eyewear. Safety eyewear is to be worn at all times when in the field, shops, labs, or at other times when exposed to possible injury. Provided are:
   1. Abrasive blasting protector hood
   2. Welders hood/goggles/safety glasses - eye protection
   3. Face shields/goggles/safety glasses
4. Safety Prescription eyewear will be provided to field, shop and lab personnel, (as determined by supervisor) as follows:
   a) The Department will participate up to $250 for ANSI approved prescription safety eyewear. This benefit does not cover the cost of eye exams. Employees are responsible for the initial payment of their glasses and, once the purchase has been approved by the Region Safety Manager, they will be reimbursed for expenses up to $250. All frames must have permanent fixed side shields or wrap-around lenses.
   b) New glasses will be provided every other fiscal year or when a prescription changes. Glasses damaged during the course of work will be replaced as determined by the supervisor and the safety manager. The replacement cost will be the responsibility of the employee if the damage is the result of employee negligence.

G. Employees whose duties require the use of a respirator will be issued one according to OSHA requirements and the Department Safety Manual.

H. Employees needing hearing protection will be issued such protection according to OSHA Standards.

I. Employees whose duties require the use of fall protection will be issued appropriate equipment per OSHA requirements and the Department Safety Manual.

J. Employees, whose duties include weed spraying operations, will be issued and required to wear appropriate chemical resistant clothing and equipment which may include:
   1. Respirator
   2. Gloves
   3. Safety footwear
   4. Aprons
   5. Face shield and safety glasses

K. Employees seeking exceptions to this policy must submit requests in writing to the Department Safety Managers or the Department Risk Management Division. Questions regarding Department provided personal protective equipment or regarding the application of this policy should be resolved by the supervisor, Department Safety Managers, the Department Risk Management Office, and the Department Safety Manual.

L. Employees will not provide or issue non-Department employees with Department logo PPE. Employees will not wear logo PPE provided by contractors or private sector companies while working on the Right-of-Way or Department projects.
Statewide Safety Committee

The Statewide Safety Committee will approve standards, specifications, colors, fabrics, style, reimbursement limits, and other aspects of all personal protective and safety clothing and equipment while complying with all Federal and State safety requirements. Standards approved by this team may be periodically updated.
Return to Work
Effective: March 1, 1999

Purpose
To define the circumstances under which an injured or ill employee of the Utah Department of Transportation (Department) can return to work when a treating physician restricts the performance of any work activities the employee is regularly assigned. The Department will implement a Temporary Transitional Assignment (TTA) in an effort to return an employee to work as soon as medically appropriate. The TTA must strictly adhere to the temporary work restrictions provided by the employee’s treating physician or Preferred Provider. TTA assignments, when available, will provide meaningful work for the injured employee.

Policy
The Department will, when appropriate, return employees who have been ill or injured (on or off-the-job) to productive work as early as possible during their recovery. A TTA will be considered on a case-by-case basis in coordination with the Safety Manager, Supervisor, and Human Resources Specialist.

A TTA will be limited to a maximum 30 day renewal and may not continue beyond 90 days without prior approval. A request must be made and approved by the Safety Manager and the HR office if a TTA is to extend past 90 days. TTA duties may or may not be a full 40 hours per week depending on the medical release and the duties that are available for assignment. Per DHRM Rule 477-7-16(6), if the employee is unable to return to work in their regular position after four months cumulative leave in a 24 month period, or if documentation from one or more qualified health care providers clearly establishes that the employee has a permanent condition preventing the employee from returning to the last held regular position, the employee will be separated from state employment unless prohibited by state or federal law. Exceptions may be granted by the agency head in consultation with DHRM.

Background
This policy has been developed in compliance with Administrative Rules and in coordination with recommendations from the Utah Division of Risk Management and the Workers’ Compensation Fund of Utah.
Definitions

ADA – Americans with Disabilities Act of 1990.

TTA – Temporary Transitional Assignment – TTA includes:

1. Modified Work – Temporarily changing specific job duties within the employee’s regular job in compliance with the temporary work restrictions.

2. Alternative Work – Temporarily offering the employee a position other than his or her regular job in compliance with the temporary work restrictions.

3. Reduced-Hours Work – Temporarily offering less than full-time work in compliance with the temporary work restrictions.

SAFETY MANAGER – Safety Control Coordinators or Department Claims Manager
Procedures
Return to Work

Responsibility: Employee

Actions

1. Obtain a release to return to work from the treating physician before assignment to a Temporary Transitional Assignment. Any work restrictions from the physician must be in writing and subject to review by the assigned Region Safety Manager. The employee will follow the above procedure but the TTA will be initiated by the Department Claims Manager in the event the employee is assigned to Aeronautics, Motor Carriers, Complex, or TOC.

2. Adhere to all the requirements listed in the TTA Agreement and the Employee Information Sheet.

3. Produce an Attending Physician’s Release before the end of the initial 30 days of the TTA assignment indicating the need for continuing light duty assignment if he or she is not being released to full duty within that time period. Refer to attachments for instructions and form.

4. Obtain a release from the physician before starting the first work day if returning to work with no restrictions.

5. Contact the Department Human Resource Specialist or ADA Coordinator for additional information regarding his or her options if an employee cannot return to his or her original position.

Responsibility: Safety Manager and Supervisor

6. Review the physician’s work release and makes recommendation to the employee’s supervisor of possible duties that can be performed with the temporary restrictions.

   a. The Safety Manager and Supervisor will determine if a TTA is possible.

   b. The Safety Manager or Human Resources Specialist will provide the employee with a copy of the job description listing the essential job functions if the physician has no knowledge of those job functions.
c. The employee will then be required to give the job description to the treating physician.

d. Any modified release to return to work will be evaluated based on the essential functions.

7. All employees approved for TTA will be given a TTA Employee Information Sheet that the employee must sign. Refer to attachments for instructions and form. This provides information relating to the fact that the TTA is for a 30 day period and any extension must be reviewed or evaluated before the initial 30 days. A TTA must be reviewed every 30 days after that is extended. No TTA can extend beyond 90 days without approval from the Safety Manager and the HR office. An employee information sheet also references DHRM Rule 477-7-16(6) indicating that in the event the employee is unable to return to work in the regular position after four months cumulative leave in a 24 month period, or if documentation from one or more qualified health care providers clearly establishes that the employee has a permanent condition preventing the employee from returning to the last held regular position, the employee will be separated from state employment unless prohibited by state or federal law.

8. An information page for Supervisor Information and Instructions is provided. Refer to attachments for instructions and form.

9. A TTA Agreement will be initiated and signed by the employee, Safety Manager, and Supervisor when an employee is approved to participate in a return to work program. Refer to attachments for instructions and form.

10. The employee’s TTA will be re-evaluated within 30 days of the TTA assignment. The case will be reviewed at least every 30 days if the physician’s 30 day evaluation justifies continued TTA assignments.

Responsibility: Department Claims Manager

11. Review injury or illness related cases as needed.

12. May recommend ergonomic study of position when needed or upon the recommendation of Region Safety Manager or Supervisor.

13. Advise Region Safety Manager as to possible work related solutions or alternatives.

15. Act as liaison with Human Resource Specialist or ADA Coordinator when needed.

16. Conduct monthly meetings the third Wednesday of every month with Region Safety Managers, Human Resource Specialist or ADA Coordinator, Payroll Coordinator, State Liability Prevention Specialist, LTD Specialist, and Workers Compensation Fund Adjuster to discuss current TTA issues.
Attachments

Supervisor Information and Instructions
Temporary Transitional Assignment Agreement
Temporary Transitional Assignment Employee Information Sheet
Attending Physician’s Release
SUPERVISOR INFORMATION AND INSTRUCTIONS

A Temporary Transitional Assignment (TTA) can be established after reviewing the recommendations from the Safety Manager for possible duties and if you agree to work within the recommendations as presented by the Safety Manager. According to Department Return to Work policy, if the employee is placed on a TTA, the TTA Agreement must be entered into and signed by the employee, Supervisor, and Safety Manager. Supervisors should have no contact with any medical information.

The TTA agreement must be re-evaluated before 30 days of transitional duty and determination made as to whether it can be extended if the employee is unable to return to his or her regular work duties within 30 days of the beginning of this assignment. The TTA must again be signed and dated by the employee, supervisor, and Safety Manager when renewing TTAs. TTAs cannot extend beyond 90 accumulative days without approval from the Safety Manager and HR office. The physician must specifically address the work restrictions and limitations that are being recommended and give an estimated date of removing restrictions and limitations in order to extend a TTA. A job description will be provided to the physician by the employee if the physician is unaware of the essential functions of the employee. The Safety Manager will work with the employee to obtain a job description.

The employee must report to work performing the essential functions of the position on the date indicated by his or her treating physician if allowed a full duty return to work before the end of the TTA. This information will be provided to the Supervisor by the Safety Manager.

DHRM Rule 477-7-16(6) indicates that if the employee is unable to return to work in the regular position after four months cumulative leave in a 24 month period, or if documentation from one or more qualified health care providers clearly establishes that the employee has a permanent condition preventing the employee from returning to the last held regular position, the employee will be separated from state employment unless prohibited by state or federal law. An information sheet will be provided to the employee explaining these important details. It will also be attached to the TTA and given to the employee at the time the TTA agreement is entered. The original signed copy of the employee information sheet must be given to the Safety Manager.

The following documents must be included to initiate a TTA:

1. **TTA Agreement** for required signatures
2. **Employee Information Sheet** regarding time limits of TTA’s and other extended absence information.
3. A well-defined Physician Note or **Attending Physician Release** given directly to Safety Manager. All TTA renewals require Attending Physician Release.
I understand that I am being placed in a temporary transitional position with the Utah Department of Transportation and that I will be temporarily assigned duties in Region/Group at

The following conditions will apply while in this assignment:

I will do other duties as assigned by my Supervisor and the Safety Manager, provided those duties are within the limitations ordered by my treating physician. This assignment is being done as determined by medical directives. I will resume my regular, full-time position the next regularly scheduled workday after released by my health care provider to return to full-time duty before the conclusion of this agreement. I understand that this assignment does not constitute a permanent, budgeted position. I further understand that I will work the days and hours as scheduled with my Supervisor. I will continue to be paid at the same hourly rate as in my current position. The rate will be apportioned if Worker’s Compensation Fund of Utah is involved. I understand that I must immediately submit any doctor’s notes and releases to the Safety Manager upon their receipt.

This assignment will exist during the following dates:

<table>
<thead>
<tr>
<th>Initial 30 Day Period</th>
<th>1st Renewal</th>
<th>2nd Renewal</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Start Date:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review Date:</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Comments:</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

I understand that an ongoing review of my condition and status will be conducted within 30 days of this agreement. Status changes between all parties will be communicated to all parties involved. Per DHRM Rule 477-7-16(6), I understand that if I am unable to return to work in my regular position after four months cumulative leave in a 24 month period, or if documentation from one or more qualified health care providers clearly establishes I have a permanent condition preventing me from returning to my last held regular position, I will be separated from state employment unless prohibited by state or federal law. If this occurs, I will immediately contact the Human Resource Specialist or ADA Coordinator if this occurs.

All parties understand that this Temporary Transitional Assignment does NOT represent a permanent change of duties or responsibilities. Generally a TTA does not continue beyond 90 days after the first day missed in your regular position.

Please initial when renewal or end date occur.

<table>
<thead>
<tr>
<th>1st Renewal</th>
<th>2nd Renewal</th>
<th>End Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<td></td>
</tr>
</tbody>
</table>

Employee Signature

Date

Region Director or Designee

Date

Region Safety Manager

Date
The Department strives to provide injured employees the opportunity to return to temporary or transitional work as soon as his or her health condition permits because the Department values its employees and their contributions. This allows an employee with temporary work restrictions to work in a modified, alternative, or reduced-hours capacity for a defined period of time while he or she is recuperating from an injury or illness.

Your treating health care provider has released you to transitional work and your Supervisor can implement your work restrictions. Your transitional work may not be that different from your regular job depending on the nature of your work restrictions. Your Supervisor and the Safety Manager will discuss with you the Temporary Transitional Assignment (TTA) agreement so that you, your Safety Manager, and your Supervisor have a clear understanding of your job duties and work restrictions. Please remember that this is not a change in your position – it is only temporary and may not exceed 90 days without the approval of your Safety Manager and the HR office. Per DHRM Rule 477-7-16(6), if you are unable to return to work in your regular position after four months cumulative leave in a 24 month period, or if documentation from one or more qualified health care providers clearly establishes that you have a permanent condition preventing you from returning to your last held regular position, you will be separated from state employment unless prohibited by state or federal law. Please contact your ADA Coordinator if you need a permanent work modification in order to return to full duty.

You will receive your regular pay and benefits during your transitional assignment if your transitional assignment is full-time. Your pay and benefits will be affected if you are released to only part-time work and return on a part-time basis.

I have read and understand the information that has been provided to me by my Safety Manager.

________________________________________ _________________________
Employee Signature       Date
Utah Department of Transportation  
(Specific Region Safety Management Contact Information)

**ATTENDING PHYSICIANS RELEASE**

Name of UDOT Employee: ______________________________ Date of Injury/Illness: ______________

Job Title / Description: _________________________________________________________________

May return to work on: _____________________________ with the following restrictions: ____________

May return to work without restrictions Date: _______________ or Estimated Date: _________________

Patient will be seen again: ____________________

Approximate duration of work restrictions: ___________________________ Days/Weeks/Months

Is this a First Aid treatment only_________

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<thead>
<tr>
<th>Activity</th>
<th>Check if Restricted</th>
<th>Define Restriction</th>
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<tbody>
<tr>
<td>Balancing (Ladders, Roofs)</td>
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<td>Bending</td>
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<td>Climbing (using extremities)</td>
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<td>Driving cars or pickup trucks</td>
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<td>Driving heavy equip. (loader, grader)</td>
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<td>Driving CDL equipment (dump trucks)</td>
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<td>** Must meet Federal Motor Carrier CDL physical qualifications**</td>
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<td>Reaching</td>
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<td>Repetitive (use of hand tools, keyboarding, shoveling, etc.)</td>
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<td>Walking</td>
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<tr>
<td>Other Restrictions not listed above (specify)</td>
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Are amount of hours worked per shift limited? If so describe: __________________________________________

Are any medications prescribed that will affect employee’s ability to safely operate equipment, machinery, vehicles, etc.? If so, describe:______________________________________________________________________________

Additional Comments:________________________________________________ __________________________________

Thank you for filling out this release form at the time service is rendered. It will help us to better evaluate the needs of our employee and help them return to work as soon as possible. This release form may be returned to the fax number listed above.

I have reviewed the Department job description (if provided by employer) and based my recommendations on their work requirements.__________ Initial.

Print Physician Name and Address:______________________________________________________

Physician’s Signature:__________________________________________ Today’s date:______________
Purpose
To minimize or eliminate exposure to communicable diseases by adoption of universal precautions and implementation of the Utah Department of Transportation (Department) Department-wide training. The Occupational Safety and Health Administration (OSHA) in 29 CFR 1910.1030 requires the Department to have in place an infection control plan for Blood Borne Pathogens. This plan includes requirements for personal protective equipment, training, and a procedure for reporting exposures. Any employee who by way of their employment with the Department may be exposed to blood borne pathogens will be covered by this plan.

Policy
First line care at an accident scene will consist of calling 911. Providing safe minimum care until help arrives is on a Good Samaritan voluntary basis using Body Substance Isolation (BSI) techniques for safety. All injured people and all body substances must be treated as if known to be infectious. The Department has adopted this Blood Borne Pathogens Policy as a means to educate its workforce on the nature of preventable blood borne diseases. Background information that may be used in training departmental responsibilities from Risk Management through supervisor to employee is outlined here as well as post incident medical intervention and record keeping.

Definitions

**Biological Hazard** – Biological hazard or biohazard is taken to mean any viable infectious agent that presents a risk or a potential risk to the well being of humans. Human body fluids are biological hazards and include: blood, blood by-products such as breast milk, semen, vaginal secretions, body cavity fluids, and saliva. The following are **not considered biological hazards**: feces, urine, nasal secretions, sputum, sweat, tears, or vomit, **unless** they contain visible blood. HIV is carried in the blood lipid (fat). HIV does not last long in air and is dead when dry. Hepatitis-B virus is known to survive up to a week or longer under ideal conditions. It is not known how long or under what conditions it can persist in the environment. Saliva can transmit hepatitis-B virus but cannot transmit HIV. Mucous membranes in the eyes, nose, and mouth are vulnerable to infectious body fluids.

**Blood Borne Pathogen** – Pathogenic microorganisms that are present in human blood can cause disease in humans. These pathogens include but are not limited to hepatitis B virus (HBV) and human immunodeficiency virus (HIV).
**Blood Exposure** – All employees exposed to human blood and blood by-products must report to their doctor within one hour, immediate supervisor, and their Region, District Safety, or Risk Managers or Claims Specialist at the Department complex for information on post exposure procedures.

**Contaminated** – The presence or the reasonably anticipated presence of blood or other potentially infectious body fluids on an item or surface.

**Cuts** – An employee must report the of a needle stick, cut, chapped or abraded skin, or mucous membrane exposure to another person’s body fluids **within one hour** to their doctor and as soon as possible thereafter to their supervisor, and Region, District Safety, or Risk Managers or Claims Specialist for the Department complex for evaluation.

**Decontaminated** – The use of physical or chemical means to remove, inactivate, or destroy blood borne pathogens off a surface or item to the point where they are no longer capable of transmitting infectious particles and the surface or item is rendered safe for handling, use, or disposal. An antibacterial or antiviral solution for decontamination may be prepared from a 10 percent solution of sodium hypochlorite (bleach). A 10 percent solution is two cups of bleach to one gallon of water. Contaminated items must be soaked in an antibacterial or antiviral solution for a minimum of 10 minutes.

**Human Immunodeficiency Virus (HIV) Prophylaxis** – Currently no vaccinations are available for HIV exposure. A short-course regimen (3-6 months) of a combination of antiretroviral medications can be used to decrease the risk of infection after exposure to HIV.

**Hepatitis-B Virus (HBV) Vaccinations** – Routine HBV vaccination is not offered by the Department because no current job descriptions have a high risk of occupational exposures to blood or other potentially infectious materials. The Department recognizes an exposure incident may occur from aid to an accident victims or less likely, as an incidental result of highway trash pick up. HBV vaccination is not mandatory after an exposure incident but it is recommended. An affected Employee who chooses not to have the vaccination will have the opportunity to be vaccinated when they are ready. The Department will document the offer, acceptance or declination, and vaccination dates with the HBV Vaccinations form.

**Medical Wastes** – Extreme caution must be used whenever the following are present:

1. Waste debris left by an ambulance crew from an accident scene
2. Packaged “biological hazardous waste” discarded along the roadway
3. Used needles or other sharps such as razor blades, broken glass, or scalpels.

Sharps must not be sheared, bent, broken, recapped, resheathed, or handled in any way by Department personnel or volunteers in our “Adopt a Highway” program. Contact your local county health department who in turn will contract a licensed medical waste hauler to handle and pick-up for disposal any biological or medical wastes found on Department right-of-ways.

**Occupational Exposure** – Blood or body fluid (as listed above in Biological Hazards) contact through an injury by a blood or listed body fluid-contaminated sharp object or an injured or ill Employee to the affected Employee. HIV does not transmit through saliva. Post exposure follow-up is mandatory and will be made available to the employee who has had an occupational exposure incident. Proper notification must be made to the exposed employee’s immediate supervisor and safety or risk manager to facilitate post-exposure evaluation.

**Universal Precautions** – These are work practices that help prevent contact with blood and certain other body fluids. They are the best protection against AIDS and hepatitis-B and some other infectious diseases. Universal precautions are a system of infectious disease controls that assumes every direct contact with body fluids is infectious and requires every employee exposed be protected as though such body fluids were infected with bloodborne pathogens. All infectious or medical material must be handled according to Universal Precautions (OSHA Instruction CPL 2-2.44A). Universal Precautions help prevent infection through the use of protective barriers such as gloves, masks, goggles, and disposable overalls.
Responsibility: Risk Management – Region, District Safety, and Risk Managers

Actions

1. Provide annual training to all employees who by way of their employment may be exposed to blood borne pathogens. Personnel trained in First Aid will be offered this annual training as well. The content of the training program will include the following:
   a. Department policy
   b. Types and transmission of bloodborne pathogens
   c. Universal precautions
   d. General safety rules
   e. Procurement, use, and storage of personal protective equipment
   f. Post exposure treatment and procedures

2. Keep records of training for 30 years. Any reports required by OSHA will be maintained by the Region, District Safety, or Risk Managers or Claims Specialist for the Department complex. All Training Certificates and exposure reports will be maintained for 30 years.

3. Department Risk Management will ensure the program is being followed through periodic audits.

Responsibility: Supervisor

4. Ensure staff is trained in proper work practices, the concept of universal precautions, personal protective equipment, necessity of immediate reporting requirements of any listed body fluid contact between two or more persons, and proper cleanup and disposal techniques of contaminated articles.

5. Regularly emphasize universal precautions in tool box safety meetings to ensure employees understand and comply. Keep attendance sheets as documentation.
Responsibility: Employee

6. Wear protective clothing in an environment where infectious disease agents may exist. Roadside trash collection presents the greatest risk to Department employees. Discarded needles have been found among roadside trash articles and may be infectious. **Do not handle the refuse** found on roadside trash or at a recent vehicle accident scene. Heavy duty leather gloves and footwear should be worn during roadside trash pick up activities.

7. Contact the local county health department for removal and disposal if blood-stained debris is found in roadside debris.

8. Put on disposable gloves made of appropriate material such as intact latex or vinyl if administering Good Samaritan first aid. Put on several layers if in doubt about the integrity of the gloves. Use caution if employee has a latex allergy.

9. Avoid exposure from body fluids deriving from the biological hazards cited above. Needle punctures from roadside trash, open wounds, saliva, even occasions where splashes or aerosols of matter are likely to occur can create an exposure. Each exposure situation must be evaluated by a practicing healthcare provider.

10. All personnel actions must take into account the potential risk of exposure to blood borne pathogens on the rare occasion when an employee is injured on the job and is being removed from an accident scene or is involved in clean up at an accident scene.

11. Perform duties in a manner that will minimize splashing, spraying, and aerosolization. Personal protective equipment must be put on to protect each employee from exposure to body fluids at the accident scene.
Exposure Incident UDOT 06E-04.2

Responsibility: Risk Management

Actions

1. Occupationally contracted HBV or HIV will be recorded on the OSHA 200 Log of Occupational Injuries and Illnesses as an illness. Exposures to bloodborne pathogens from blood to blood contact will be recorded on the OSHA 200 Log of Occupational Injuries and Illnesses if treatment such as a short course (3-6 months) in anti-retroviral medications for HIV, or hepatitis-B immune globulin, or hepatitis-B vaccine is prescribed by a Physician.

2. Following the report of exposure, UDOT Risk Management will, if possible, contact the exposure source and request that person be tested for HIV/HBV. This testing will be done at Worker’s Compensation Fund of Utah’s expense. Complying with the request is not mandatory. If the exposure source is an employee who refuses the test, refusal will not affect that Employee’s future employment.

3. During all phases of Post Exposure, the confidentiality of the affected Employee and exposure source will be maintained on a “need to know basis”. UDOT Risk Management will use the Post-Exposure Evaluation and Follow-up for Human Immunodeficiency Virus and Hepatitis-B Virus form to document the exposure and offer of medical assistance to the affected Employee. The Exposure Report to Employee form will only be used where a UDOT employee is an exposure source. The results of any HIV/HBV tests conducted will be provided to the exposed and source Employees within 5 business days of receipt.

Responsibility: Supervisor

4. Ensure all exposure incidents are reported, investigated, and documented within the critical time frame of 1 hour.

5. When an exposure incident occurs, the immediate Supervisor takes the initial report and sees to it the Region/District Safety/Risk Manager is notified and accident investigation occurs.
Responsibility: Employee

6. Should an employee become exposed to blood or blood products as listed above, the affected Employee must report the incident within 1 hour of exposure and seek professional medical attention through UDOT’s insurance policy with Worker’s Compensation Fund of Utah.

7. The employee may be recommended for prompt post exposure prophylaxis or vaccination by the examining health care professional. Blood test results will take 3-14 days. Post exposure prophylaxis or vaccination may be recommended by the examining health care professional and prior to the return of blood test results (which can take between 3-14 days). Post exposure prophylaxis can be terminated any time during the treatment if the exposure source (source of contaminated blood) is found to be free of infection.

8. Following the initial blood test at time of exposure, seronegative Employees (those who did not show infection) will be retested at 6 weeks, 12 weeks and 6 months to determine if transmission has occurred. UDOT supports recommendations made by the examining healthcare practitioner or the U. S. Public Health Service be followed by the exposed Employee.
Bloodborne Pathogen Control
Universal Precautions and General Safety Rules

For Posting

The following Universal Precautions and General Safety Rules have been established to prevent the spread of viral and bacterial organisms (namely HIV/HBV). In all cases the Universal Precautions and General Safety Rules should be followed.

1. **Wear latex or vinyl gloves prior to giving first aid.** Wear heavy gloves and heavy boots for litter pick-up, as outlined in the Personal Protective Equipment for Worker Protection Poster.

2. **Treat all human body fluids and items soiled with human body fluids as if contaminated** (blood, blood by-products, semen, vaginal secretions, saliva, and any possible blood-containing body fluids) with HIV/HBV. Protect yourself by covering any broken skin with a bandage or dressing before going on duty. *(Note: Feces, urine, nasal secretions, sputum, sweat, tears, or vomitus need not be treated as contaminated unless they contain visible blood). Human body fluids do break down in time with exposure to air.*

3. **Wash exposed body areas (hands, arms, face, eyes, etc.) with antibacterial soap thoroughly.** Any parts of the body that have contacted blood or any other potentially infectious body fluids must be thoroughly washed with warm water and soap for a minimum of 15 seconds each. This is mandatory before eating, drinking, and/or smoking anything. Immediately after providing first aid care, wash thoroughly.

4. **Contact your Region/District Safety/Risk Manager or Claims Specialist for the UDOT complex for instructions on special handling of all clothing contaminated with human body fluids.** A presoak (sprayed on the affected areas) with antibacterial/antiviral solution (two cups of household bleach to one gallon of water) for a minimum of ten minutes is required before being sent to the laundry. *(Note: Gloves and eye protection should be worn when handling contaminated clothing until the contaminated items are presoaked in bleach solution for 10 minutes).*

5. **Report any suspected exposure to HIV/HBV by human body fluid contact (via broken, chapped, or abraded skin; deep punctures and human bites; needle sticks; etc.) immediately.** You should report within one hour of exposure to your doctor, and as soon as possible thereafter to your immediate supervisor and Region/District Safety/Risk Managers or Claims Specialist for the UDOT complex to begin post-exposure evaluation and follow-up.

6. **Please contact the local county health department when possible infectious wastes are found** abandoned along roadways. A licensed medical waste handler must be contacted to remove medical wastes from UDOT right-of-ways.

Please Post
Vehicle Accident/Personal Injury/Incident Review

Purpose
To establish guidelines for reviewing, recording, and insuring that each employee involved in an accident receives proper instructions to prevent any additional accidents and that appropriate disciplinary or corrective action is recommended under guidelines outlined by the Utah Department of Transportation (Department) policy and action taken under the insurance liability policy declaration. The policy will direct the committee on profiling the reviewed accident and give guidance in making a determination as to the degree of employee negligence and will guide the review committee as to when disciplinary or corrective action is necessary.

The accident review committee will review the accident details with the affected employee and outline what actions could have been taken to prevent this or a repeat accident. Discipline or corrective measures will be recommended by the committee when the review establishes that the accident was caused by the employee’s negligence. Discipline or corrective action will be recommended when an employee has additional accidents, caused by his or her negligence resulting in injury or death or loss of Department assets. An employee may request a review hearing within established Department policy and procedures whenever the employee is recommended for suspension, demotion, or termination. Preventable accidents, injuries, and incidents as determined by the accident review committee may disqualify the employee from any Department safety incentive award.

Policy
Establish a procedure for the review of all accidents for both industrial and state or private vehicles and any incident that causes a loss of Departmental assets. Identify and implement corrective action to help mitigate future accidents of this type.

Membership
Chairperson: Region/District/Department Safety/Risk Manager
Members: Employees immediate supervisor and others as deemed appropriate by Region or District Leadership excluding any leaders who may be involved in an appeals process.
Responsibility:  Department Safety or Risk Manager or Designee

Actions

1. Report and review all employee injury and vehicle accidents. Identify all employees who are accident repeaters. A copy will be furnished to the appropriate Safety/Risk Management Committee for review and recommendations.

2. Employees may be requested to appear before the appropriate Safety/Risk Management Committee to review the details of the accident and identify what action the employee could have taken to prevent the accident.

3. A written record of this corrective interview will be made and retained in the employee’s personnel file.

Responsibility:  Accident Review Committees

4. Review details of the accident with the employee to determine:

   a. Preventable – The employee failed to use reasonable care or good judgment within the scope of their duties.

   b. Non-Preventable – The employee acted with reasonable care and good judgment but was unable to avoid the accident.

5. Determine and identify action the employee could have taken to avoid the accident and prevent recurrence.

6. Review the employee accident history.

7. Advise the employee of what action will be recommended.

8. Employees involved in preventable vehicular accidents may be required to view a defensive driving video following each occurrence.

9. Employees involved in equipment related accidents may be required to spend time with the maintenance trainer to review the skills necessary to avoid repeat occurrences.
10. Employees involved in one or more preventable accidents where serious negligence is determined to be the cause will be recommended for appropriate action as established within the Departments Disciplinary Action Policy, R477-11 Discipline.

11. The committee will consist of an uneven number of three or more for purposes of voting. Accident review results will be forwarded to the Department Risk Manager.

**Responsibility:**  Region Director, District Engineer, Division Manager

12. Action will be administered based upon the established Disciplinary Action Policy, R477-11 Discipline.

13. The employee must be advised in writing of his or her right to appeal disciplinary action that has been approved under established State grievance procedures.

14. Ensure that polices and procedures are followed.

**Responsibility:**  Region, District, Department Accident Review Committee

15. Forward a copy of all decisions made by the Committee or action taken including corrective or disciplinary to the Human Resources office.
Purpose
To raise awareness and minimize or eliminate exposure to potential hazards along Utah roadways. The Utah Department of Transportation (Department) recognizes the traveling public can and does discard wastes along state roadways that may pose a risk to people involved in keeping those roadways clean. A safe work practice’s program will guide employees and roadside clean up volunteers alike while they work in and along state right of way. Adoption of universal precautions and periodic Department-wide training are essential. This policy includes definitions, requirements for personal protective equipment, training, and a procedure for reporting exposure.

Policy
Provide training for employees no less than once a year. Identify roadside corridor to be cleaned and review potential hazards.

Employees, volunteers’ representatives, or others who are scheduled to clean roadsides must first read and sign the Universal Precautions and General Safety form. This form must be signed and filed before participating in clean up activities for the first time and then twice yearly. The Department has adopted this Roadside Cleaning Policy as a means of educating its workforce on the nature of potential hazards found along state roadways and preventing worker exposure. Outlined below are background information that may be used in training departmental responsibilities from Risk Management through supervisor to employee, post incident medical intervention, and record keeping.

Definitions
**Biological Hazard** – Biological hazard or biohazard is any infectious agent that presents a risk or a potential risk to the well being of humans. Human body fluids that may be biological hazards include blood, blood by-products (such as breast milk), semen, vaginal secretions, body cavity fluids, and saliva. The following are not considered biological hazards: body wastes such as feces, urine, nasal secretions, sputum, sweat, tears, or vomit, **unless** they contain visible blood.

**Blood Borne Pathogen** – Bacteria and viruses that are present in human blood that can cause disease in humans. These organisms include but are not limited to hepatitis B virus (HBV) and human immunodeficiency virus (HIV). They are described more fully in the Blood borne Pathogen Policy 06E-04.

**Contaminated** – The presence of or reasonably anticipated presence of hazardous, chemical, or biological materials that are potentially harmful to human health and the environment. Contact with a contaminated surface may constitute a risk to the person making contact.
Decontaminated – Physical or chemical cleaning by means of removing, inactivating, or destroying hazardous materials from a surface or item. The point where the ability to damage or infect health or the environment has been nullified rendering the surface or item safe for handling, use, or disposal.

Hazardous Waste – Solid waste that exhibits one or more characteristics including ignitability, corrosivity, reactivity, or toxicity.

Medical Waste – Typically left behind at an accident scene or occasionally illegally discarded along the right of way. Use extreme caution whenever and wherever such materials are found. Department personnel or volunteers in our “Adopt a Highway” program do not touch medical wastes. Small items may be picked up and placed in a marked red biohazard bag and then disposed of. Contact your local county health department when large items are found. They in turn will contract a licensed medical waste hauler to handle and pick-up for disposal any biological or medical wastes found on Department right-of-ways.

Occupational Exposure – Any body contact with hazardous materials. Specific body contact via eye, mouth, other mucous membranes, non-intact skin, or puncture to body cavity fluids or blood through the normal performance of work. Notification procedures in case of an occupational exposure are outlined in the Universal Precautions and General Safety form.

Solid Waste – Any material that is abandoned by being discarded, disposed of, burned, incinerated, accumulated, stored, or treated (but not recycled) before or in lieu of final disposition.

Universal Precautions – Common sense guidelines and body protection procedures to prevent exposure to hazardous material and infectious substances. The focus of Universal Precautions is to provide a barrier between the worker and exposure to hazards in the work place environment. Typical protective barriers include rubber and synthetic plastic gloves, leather gloves, masks or face shields, goggles, steel toed leather and rubber boots, long sleeved shirts, and disposable overalls.
Responsibility:  Department Risk Management

1. Train the trainers and may assist with annual training to all employees who by way of their employment either coordinate or perform roadside cleaning and may be exposed to hazards and pathogenic materials. This training will be administered on an annual basis. The content of the training program will include the following:
   a. Department policy
   b. Roadside hazards
   c. Universal precautions
   d. General safety rules
   e. Procurement, use, and storage of personal protective equipment
   f. Post exposure procedure and treatment

2. Monitor program compliance.

3. The Department encourages and will reimburse insurance co-pays for, current health protection measures such as inoculation against hepatitis A, hepatitis B, tuberculosis, small pox, or any current infectious disease control as advised by the National Institute of Health and the employee’s personal physician.

4. The Department Traffic Operations Center will be provided with a list of emergency contact telephone numbers.

Responsibility:  Region Maintenance Trainers and Safety Managers

5. Records of training, sign in sheets, and certifications will be kept by Department Maintenance Division for 30 years.

6. Designated Region personnel will train Region employees annually. Employees who do not fall under the jurisdiction of a Region or District and require training will be trained by a designee of either Maintenance or Risk Management.
7. Any reports required by OSHA will be maintained by the Region or District Safety Managers, Claims Specialist, or Department Risk Management.

8. Region or District Safety Managers will provide support to Region station supervisors to help compile an emergency call-down list, aid in procuring proper personal protection equipment (PPE), and required record keeping.

**Responsibility:** Supervisor

9. Supervisors must ensure their staff is trained in proper work practices, the concept of universal precautions, personal protective equipment, necessity of immediate reporting requirements of any exposure to hazardous materials, and necessity for and proper protocol and disposal techniques of contaminated articles.

10. Universal precautions will be regularly emphasized in tool box safety meetings to ensure employee understanding and compliance. Keep attendance sheets as documentation.

11. Prominently post emergency phone numbers in the maintenance station and inside all Department vehicles.

12. Maintain supply of personal protective equipment and verify its use among station personnel.

**Responsibility:** Employee

13. Roadside trash collection presents the greatest risk to Department employees. Discarded needles have been found among roadside trash articles and may be infectious. Employees must wear protective clothing in an environment where roadside trash will be picked up. **Do not touch with bare skin** blood that is found on roadside trash or at a recent vehicle accident scene. It may be picked up with the aid of pliers or an equivalent device. Heavy duty leather gloves and footwear should be worn during roadside trash pick up activities.

14. Contact the local county health department for handling instructions if bloodstained or medical debris is found along the roadside. Volunteers must not handle this debris but contact their Department coordinator and report the location of waste.

15. Employees must attend periodic training on this policy and see that his or her attendance is documented.

16. Employees should become familiar with the emergency phone numbers for their work area and response procedures set forth in this policy.
Responsibility: Risk Management

1. Post exposure follow-up is mandatory and available to the employee or employees who have had an occupational exposure incident. Proper and immediate notification must be made to the exposed employee’s immediate supervisor and Region or District Safety Manager to facilitate post-exposure evaluation.

2. Occupational exposure to hazardous materials or infectious diseases will be recorded on the OSHA 300 Log of Occupational Injuries and Illnesses as an illness. Exposures to blood borne pathogens will follow procedures set forth in the policy 06E-04.

3. The confidentiality of the affected Employee will be maintained on a “need to know basis” during all phases of post exposure. Department Risk Management will use the Post-Exposure Evaluation and Follow-up form to document the exposure and offer medical assistance to the affected Employee.

Responsibility: Supervisor

4. Ensure all exposure incidents are reported, investigated, and documented within the critical time frame of one hour.

5. The immediate Supervisor takes the initial report when an exposure incident occurs and notifies the Region or District Safety Manager and the accident is investigated.

Responsibility: Region or District Safety Manager

6. Assist Supervisor in obtaining proper medical treatment for the contaminated employee within one hour of exposure.

7. Report immediately to Department Risk Management.


Responsibility: Employee

9. Report within one hour any incidents where an employee become exposed to blood or blood products as listed above and seek professional medical attention through the Department’s insurance policy with the Worker’s Compensation Fund.
10. The employee may be recommended for prompt post exposure prophylaxis or vaccination by the examining health care professional. Blood test results will take 3-14 days. Post exposure prophylaxis or vaccination may be recommended by the examining health care professional and before the blood test results. Post exposure prophylaxis can be terminated any time during the treatment if the source of contaminated blood is found to be free of infection.

11. Employees who did not show infection following the initial blood test at time of exposure, seronegative will be retested at 6 weeks, 12 weeks, and 6 months to determine if transmission has occurred. The Department supports recommendations made by the examining healthcare practitioner or the U. S. Public Health Service and suggests they be followed by the exposed Employee.
Roadside Cleanup Guidelines
Acknowledgment of Universal Precautions and General Safety Rules

The following Universal Precautions and General Safety Rules have been established to prevent the spread of viral and bacterial organisms (namely HIV/HBV). In all cases the Universal Precautions and General Safety Rules should be followed.

● **Wear latex or vinyl gloves under leather gloves for litter pick-up.** Make a conscious effort to place a barrier between you and roadside litter to be handled. Wear heavy gloves and heavy boots for litter pick-up, as outlined in the Personal Protective Equipment Policy 06E-02.

● **Treat all roadside litter as if contaminated.** Protect yourself by covering any broken skin with a bandage or dressing before going on duty. Don personal protective equipment. Common roadside litter may contain hazardous materials. Illegal drug manufacturing has been known to use common gasoline containers. These containers can contain deadly toxic vapors. Treat any blood stained or injection paraphernalia as biohazards and **do not handle!** Pliers or a pickup device and marked Biohazard bags or containers must be used to remove subject materials. Feces, urine, nasal secretions, sputum, sweat, tears, or vomit need not be treated as contaminated unless they contain visible blood. Human body fluids do break down in time with exposure to air.

● **Wash exposed body areas such as hands, arms, face, and eyes with antibacterial soap thoroughly** with warm water and soap for a minimum of 15 seconds for each affected area. This is mandatory before smoking, eating, or drinking anything. Was immediately and thoroughly after providing first aid care.

● **Contact your Region or District Safety Manager or Claims Specialist or Department Risk Management for instructions on special handling of all clothing contaminated with human body fluids.** Clothing may be disposed of with the contaminated material or a pre-soak sprayed on the affected areas with antibacterial/antiviral solution consisting of two cups of household bleach to one gallon of water for a minimum of ten minutes before being laundered. Gloves and eye protection should be worn when handling contaminated clothing until the contaminated items are pre-soaked in bleach solution for ten minutes. Gloves and tools should be spayed with a bleach solution before being placed in vehicles.
• **Report any direct exposure to human body fluids or wastes through broken, chapped, or abraded skin; deep punctures; human bites; or needle sticks immediately.** Report within one hour of exposure to an appropriate health care provider and as soon as possible thereafter to your immediate supervisor and Region or District Safety Manager or Claims Specialist or Department Risk Management to begin post-exposure evaluation and follow-up.

• **Contact the local county health department for instructions when possible infectious wastes are found** abandoned along roadways.

• **Contact Environmental Services at the complex for hazardous materials in right of way.**

By signing I acknowledge that I have read the rules listed above. Volunteer Group Leaders sign as the responsible person for those in their group.

Signature __________________________ Date ________________

Print Name __________________________
POST-EXPOSURE EVALUATION AND FOLLOW-UP FORM

To Be Filled out by Employee

As part of my employment with the State of Utah Department of Transportation, I may have been exposed to blood or potential infectious materials on the following date: ________________ (MM/DD/YY)

Injured Employee Name: ________________________________

Employee Supervisor Name: ________________________________

How Did Exposure Happen: ________________________________

Location of Exposure: ________________________________

☐ I consent to treatment for Hepatitis A, B, Tuberculosis, or related illnesses

☐ I consent to treatment for HBV

☐ I do not consent to treatment

Employee Signature: ________________________________

To be filled out by Region/District Safety Manager

(Safety Manager Name)

☐ Form 122 Filed

☐ Employee Received Initial Treatment ________________ (MM/DD/YY)

☐ Employee Refused Treatment

List Dates of Followup Treatment

__________________________ (MM/DD/YY)

__________________________ (MM/DD/YY)

__________________________ (MM/DD/YY)

__________________________ (MM/DD/YY)

__________________________ (MM/DD/YY)

cc: Department Workers' Compensation Manager
Purpose
To establish the authority for the development of the Utah Department of Transportation (Department) Statewide Transportation Improvement Program (STIP) and to outline the policies and procedures involved in this process.

Policy
The Utah Transportation Commission (UTC) is the approving authority for all construction programs and projects. The Department will prepare and annually update the program for construction projects to be considered and approved by the UTC. The program will reflect a six-year list of projects and will follow the statements below. The first four years are financially constrained according to funds available for that fiscal year. The last two years are projects in concept development.

The STIP Development Process will be followed in developing the STIP.

Selecting Projects
The following statements apply when selecting projects:

1. **Utah’s Unified Transportation Plan**

   The UTC’s project selection criteria reflect the goals of the Unified Transportation Plan (UTP). The strategic goals for Utah’s transportation system as developed in the long range plan include:
   
   a. Preserve Infrastructure
   b. Optimize Mobility
   c. Zero Fatalities
   d. Strengthen the Economy

2. **Open, Fair, Criteria-Driven Process**

   It is UTC policy to have a fair, open, and equitable selection process based on criteria that determine which projects contribute most to state, regional, and local transportation and economic development goals. The UTC process intends to use decision support systems based on criteria (data) to help maximize and prioritize resources using quantifiable measures.
3. **System Preservation First – “Preserve Infrastructure”**

Well planned and executed maintenance and preservation activities will extend the highway system’s life by many years at a far lower cost than replacing it. Rehabilitation, preservation, maintenance, and operations have the greatest weight in allocating funds among Department programs. Preservation and management of the existing system should be accomplished by funding system preservation needs first and providing funds for new construction only after the preservation needs have been met. The basic transportation system needs are the amount of funding determined by the Asset Management System needed to meet the condition targets or goals established by the Department.

4. **System Efficiency Projects – “Optimize Mobility”**

The Department will preserve and optimize the capacity of the existing highway infrastructure before increasing capacity by adding new lanes. The first reaction to present and future capacity issues are alternatives to increasing capacity by adding new lanes.

With the rate of population growth projected to continue, it is clear that the Department needs to continue to add new routes, widen existing corridors, construct new interchanges, and perform other work to increase capacity. Because projected revenues are not expected to meet all the identified capacity needs, the Department will continue to identify funding to address this growing need.

“Optimizing Mobility” is addressed primarily through four strategies:

a. Intelligent Transportation System (ITS)

b. Access Management

c. Transportation Demand Management (TDM)

d. Capacity Projects

5. **Safety Criterion – “Zero Fatalities”**

Most construction projects improve safety by correcting deficiencies. A safety index targets specific highway locations for safety improvements. A project’s safety index may be used as a selection criterion in each prioritization process as appropriate. This criterion ensures safety is a primary consideration in the development and design of Department projects because of the importance of identifying safety deficiencies.
6. **Strengthen the Economy**

Utah’s economy is strengthened by meeting the other three strategic goals. This is achieved by providing a system for the movement of people, goods and services that is safe, reliable and efficient.

7. **Non-UDOT Participation**

It is the policy to encourage local governments to leverage the state’s transportation capital by contributing additional funds for projects by providing local matching dollars or participating through other methods such as providing right-of-way. This policy allows Utah to increase its infrastructure investment, gives local project proponents additional means to speed delivery of projects which otherwise would not be possible, and encourages those who benefit most from projects to participate in their construction. Refer to Administrative Rule on Partnering – R926-8 for process for approving or denying proposals.

8. **Interchange Participation**

The UTC will build no new interchanges for economic development purposes on existing routes without a minimum of a 50 percent contribution of the cost of the interchange from private, local, or other non-UDOT funds. This policy does not apply to intersections or interchanges that are planned to be upgraded because of safety or capacity justification. Refer to Administrative Rule R940-6-6.

9. **The UTC will determine all STIP projects**

It is explicit UTC policy that projects can be selected regardless of their score, ranking, cost, or functional class. The reason is that no ranking system can completely measure all project attributes. The UTC can select the project for funding if other factors arise that the UTC finds important to a project. Such circumstances will happen most frequently with projects that are non traditional.

**Funding Projects**

The following statements apply when funding projects:

1. **Prioritize first then fund**

All projects will be ranked or prioritized using quantifiable measures first then funding will be applied using any flexibility allowed to fund the projects in priority order.

2. **The Executive Director and Deputy Director are delegated the authority to:**
   
   a. Approve projects up to $250,000.
b. Approve increases of up to 25 percent or $500,000 whichever is less for projects previously approved by the UTC, when a major change in standards or project concepts are not involved.

Definitions

**Average Daily Traffic** – The volume of traffic on a road, annualized to a daily average.

**Capacity** – The maximum hourly rate at which vehicles reasonably can be expected to traverse a point or a uniform section of a lane or roadway during a given time period under prevailing roadway, traffic, and control conditions.

**Economic Development** – May include such things as employment growth, employment retention, retail sales, tourism growth, freight movements, tax base increase, and traveler or user cost savings in relation to construction costs.

**Safety** – An analysis of the current safety conditions of a transportation facility. It includes an analysis of crash rates and crash severity.

**Safety Index** – A value ranging from 1 (low) to 10 (high) that represents the degree of risk to the driver in terms of both crash rate and crash severity.

**System Preservation Plan** – A yearly or semi-yearly publication for asset groups and Regions to use when developing their construction programs. It contains a 10-year optimized preservation program for pavement sections and bridges. It also presents mile segments that should be considered for safety, ITS, and mobility improvements. All these segment concepts line up with each other to help with project timing during project development.

**Transportation Criteria** – The project selection criteria may include the project’s average daily traffic, volume-to-capacity-ratio, transportation growth, and roadway classification. This data is collected by the Department in a uniform and objective manner.

**Transportation Growth** – The projected percentage of average annual increase in ADT.

**Volume to Capacity Ratio** – The ratio of hourly volume of traffic to capacity for a transportation facility (measure of congestion).
Purpose
To establish the authority for the development of the Utah Department of Transportation (Department) Statewide Airport Capital Improvement Program (ACIP) and to outline the policies and procedures involved in this process.

Policy
The Utah Transportation Commission annually approves a 5-year Statewide ACIP for public use airports in Utah. The ACIP is a statewide planning document of future airport projects with corresponding cost estimates.

Selecting Projects
The ACIP is prepared by the Division of Aeronautics Staff in conjunction with the Federal Aviation Administration (FAA) Airport District Office and individual airport sponsors.

The following statements apply when selecting projects:

1 – Project Selection Priorities
The first priority for the use of statewide aviation funds is to help match eligible federally funded projects.

The remaining state funds are then applied to projects in the following priority order, with preservation and safety projects given highest consideration:

a) Runway projects
b) Taxiway projects
c) Apron projects
d) Other projects

The project selection process may consider the following factors:

a) Available funding
b) Number of based aircraft
c) Project type (preservation, planning, new capacity, upgrades)
d) Pavement condition
e) Safety issues
f) Local area zoning and land use plans
g) Other staff considerations such as economies of scale, equitable and geographic distribution of funding, cooperation with adjacent development, and support for economic development.
Projects are selected from local airport development plans (ADP), pavement condition reports, recommendations from the FAA Airports District Office, and various other government agency requests.

Funding Projects
The following statements apply when funding projects:

1 – Annual ACIP Approval
The 5-year ACIP is taken to the Utah Transportation Commission each year for initial review and again for approval. The ACIP is considered an anticipated plan, which is realized only as funding is made available for each project.

2 – ACIP Amendments

New Projects
Projects of up to $250,000 are reviewed and approved by the Department’s Deputy Director.

Projects over $250,000 are reviewed and approved by the Utah Transportation Commission.

Project Scope Changes, Project Funding Modifications
Scope changes and funding modifications to existing Commission approved projects of up to $100,000 may be approved by the Department’s Director of Aeronautics.

Scope changes and funding modifications to existing Commission approved projects of over $100,000 and up to $250,000 are reviewed and approved by the Department’s Director of Program Development.

Scope changes and funding modifications to existing Commission approved projects of over $250,000 are reviewed and approved by the Utah Transportation Commission.

Definitions

ACIP – A 5-year Statewide Airport Capital Improvement Plan showing future projects and cost estimates.

ADP – A multi-year Airport Development Plan
Purpose

To outline the responsibilities of the Utah Department of Transportation (Department) Asset Management Steering Council (AMSC) and the Asset Advisory Committee (AAC). These responsibilities include providing recommendations to the Transportation Commission pertaining to planning, developing, and preserving the investment in Utah’s Transportation System and obtaining maximum cost effectiveness from transportation construction, rehabilitation, and maintenance programs. AMSC and AAC activities support the Department strategic goals:

1. Preserve Infrastructure
2. Optimize Mobility
3. Zero Fatalities
4. Strengthen the Economy

Policy

The AMSC and AAC provide recommendations to preserve the large investment in the State’s roadway and transportation systems and provide a strategy to obtain an enhanced system of highways and related transportation modes that continue to meet the needs of Transportation System users. The teams assist the Department in obtaining cost effective solutions for system needs by using program alignment, organized and accessible data, and risk-based asset performance. The council and committee make sure all divisions of the Department are working together to present a unified program recommendation based on a transparent decision-making process.

ASSET MANAGEMENT STEERING COUNCIL MEMBERS

Deputy Director – Chair
Program Development Director
Project Development Director
Operations Engineer
Region 1 Director
Region 2 Director
Region 3 Director
Region 4 Director
Asset Management Director (Secretary)
FHWA Division Administrator or designee
**ASSET ADVISORY COMMITTEE MEMBERS**

**Asset Management Director** – Chair  
Planning Director  
Traffic Management Engineer  
Traffic and Safety Engineer  
Engineering Services Director  
Structures Chief Engineer  
Maintenance Director  
Region 1 Representative  
Region 2 Representative  
Region 3 Representative  
Region 4 Representative  
FHWA Team Leader or designee

Various divisions, sections, and regions provide needed staff support and input to AMSC. AAC members may be invited to participate in AMSC meetings at the chairman’s discretion. AMSC is authorized to establish pro tem teams and task forces to assist in accomplishing its responsibilities.

AMSC will consider strategic level Transportation Systems Management activities within the Department; make recommendations to the Transportation Commission; improve efficiency of the decision making process; and assure consistent transportation systems management practices at all supervisory levels.

Specific responsibilities of the AMSC include:

1. Recommending Department transportation strategies to the Transportation Commission to implement and achieve the Department transportation policies.
2. Recommending policies and resource levels that support ongoing improvement of asset management and a unified transportation program.
3. Guaranteeing horizontal and vertical communication and integration across the Department relative to asset management.
4. Reviewing and reporting the results of the Department’s Annual Transportation Program to the Transportation Commission and public.
5. Evaluating the direction of asset management annually in a joint meeting with AAC.

AAC oversees implementation of the Department’s Transportation Systems Management Process.
Specific responsibilities of the AAC include:

1. Recommending to the AMSC modifications to policies and processes to improve asset management practices.
2. Working together across department boundaries to develop and recommend a unified program to the AMSC that maximizes system performance and funding.
3. Aligning programs to determine the most cost effective way of addressing asset needs.
4. Determining the appropriate management level for each asset.

Definitions

A Transportation Systems Management Process provides a set of various tools or methods to assist decision makers in finding optimum strategies for providing and maintaining the transportation systems in an acceptable condition over a planned period. The process includes analysis programs and related data to include but not limited to the following transportation areas: Pavements, Safety, Structures, Mobility, Design, Construction, Maintenance, and Planning.
Purpose

To establish a standard method of describing the location of events and features along Utah Department of Transportation (Department) roadways. It establishes guidelines when referencing locations or exchanging data for all classes of roads within the State of Utah. A common, standard linear location reference system is required in order to facilitate the exchange of data across different groups, systems, and functional areas in the Department.

Policy

1. The standard method for linear location referencing within the Department is the route and mile point (MP) method. The method is also known as accumulated mileage. This means that the location of any given event or feature is described by naming the route and stating the linear distance in miles from the beginning of the route to the event or feature in question.

2. The official description of the transportation system, including descriptions of individual routes, length of routes, and location of major features along each route, is the Highway Referencing section, published on the Department website under Program Development Division.

3. Mileposts are placed in the field at each whole mile according to guidance provided in the Manual on Uniform Traffic Control Devices (MUTCD). Although every effort is made to place mileposts at the exact location indicated by the MP, a milepost may be placed as far as 50 feet from the true MP. A milepost is omitted if it cannot be placed within 50 feet of the true MP. Mileposts do not define the MP. Rather, the MP dictates the location of mileposts. A milepost is not placed at the end of a route unless by coincidence the end of the route falls at an exact whole mile.

4. Mileposts are placed on all state routes, on the right side of the road in the primary direction. Mileposts are placed on both sides of Interstate routes. Other divided roads or very wide undivided roads may also have mileposts placed on both sides of the road at the discretion of the Region Director and in cooperation with the Highway Reference Manager.
5. Milepoints increase in the primary direction of the route. The primary
direction is either south to north or west to east based on the nominal
direction of the route. Some segments of a particular route may follow a
bearing that is contrary to the route’s nominal direction. MP zero is always
at either the southern terminus or western terminus of the route.

6. The primary direction is the basis for the linear location of any event or
feature along the route. The location of an event occurs on the negative
side of a divided roadway is determined by the location of the point directly
opposite, on the primary side of the roadway. Locations of events or
features on the negative side can generally be determined by measuring
from a milepost on the negative side because mileposts are placed on the
negative side directly opposite the corresponding post on the primary side.
Refer to Procedures, Item 2.

7. Any change that affects the length of a route such as realignment due to a
project, or Commission action such as Jurisdictional Transfer or Highway
Resolutions, the response to the change will follow the Department’s
policy and the following “Remileposting Decision Matrix.”
# Remileposting Decision Matrix

<table>
<thead>
<tr>
<th><em>Affected Roadway Length (Mile)</em></th>
<th>Within a Project Limit and for the entire length of that project (Project Responsibility)</th>
<th>Outside of a Project Limit and if remileposting is required on the affected length of that roadway (Maintenance Division Responsibility)</th>
<th>No Project and remileposting is required due to commission action (i.e. Jurisdictional Transfer, Highway Resolutions, etc.) (Maintenance Division Responsibility)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trigger Limit (Mile)</td>
<td>Length of a Project Limit</td>
<td>Up to 50.0 Miles</td>
<td>&gt;50.0 Miles</td>
</tr>
<tr>
<td></td>
<td>0.0-Project Limit</td>
<td>&gt;0.2</td>
<td>&gt;0.2</td>
</tr>
<tr>
<td>Intensive</td>
<td>Remilepost with Project Funds</td>
<td>Do Nothing</td>
<td>Go to Technical Committee with Recommendations</td>
</tr>
<tr>
<td>Non-Intensive</td>
<td>Remilepost with Project Funds</td>
<td>Do Nothing</td>
<td>Remilepost with Maintenance Funds</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Remilepost with Maintenance Funds</td>
<td>Go to Technical Committee with Recommendations</td>
</tr>
</tbody>
</table>

* Affected roadway that requires remileposting either partially or on the entire length of that roadway

*Revised 7/1/15*
8. The Department Geographic Information Systems (GIS) staff in concert with the Highway Referencing information will manage and maintain a spatial representation of the linear referencing system.

Background
Utah highways have been referenced through the use of mileposts since the 1970s. The numbers on the posts were originally intended to represent the exact mileage or accumulated distance from the beginning of the route to that particular post. Changes in highway alignment, length, ownership, or route number caused posts to be moved or required equations to be used to compensate for the impact of those changes. Movement of posts or usage of equations created confusion since the post numbers no longer represented the true accumulated mileage. Efforts in the mid-1990s to maintain addressing systems to keep track of accumulated mileage in the office without requiring posts in the field to be moved resulted in additional confusion in many cases. An effort was initiated to align field location of posts with their true accumulated mileage in 2002.

The Department in 2009 formalized a spatial representation of its linear referencing system in a GIS format. Those efforts have resulted in the ability of spatially focused applications to utilize and analyze the Department’s LRS to visualize, plot, and segment features for representation. The Department will continue to manage a spatial representation of its LRS with the goal of matching the highway reference information as closely as possible or within 50 feet.

Definitions

Accumulated Mileage
Cumulative distance from the beginning of a highway to a location on the highway recorded in miles.

Certain routes in Utah have a temporary end at one point and begin again at another point. Some of these routes (US numbered and Interstate) are defined by national policy as concurrent (overlapping) with one or more other routes. Other State routes are considered discontinuous. The difference is that on a concurrent route, distance measurement continues over the overlapping portion while on a discontinuous route, distance measurement is suspended at the temporary end and then resumes at the point where the route begins again. Refer to Discontinuous Route.

Address
Refer to Roadway Identifier
**AGRC**  
The Utah Automated Geographic Reference Center

**Auxiliary Lane**  
Lane that connects an on-ramp with the next interchange off ramp.

**Calibration**  
A process used during the maintenance of a route (spatial) that maintains measures throughout the network. Calibration points are used to verify/maintain measures throughout the LRS network so that features and events fall onto the system (geographically) within their specified tolerance.

**Collector-Distributor**  
A set of freeway lanes physically separated from the main thru lanes for the purpose of eliminating weaving and ingress or egress movements on the main thru lanes while still satisfying the need for access to and from the freeway. Collector-distributor roads may be provided within a single interchange, through two adjacent interchanges, or continuously through several interchanges of a freeway segment. Continuous collector-distributor roads are similar to continuous frontage roads except that access to abutting property is not permitted.

Collector-Distributor roadways will always be associated with a single interchange. Diagrams created in the Program Development Division are the official source for all Collector-Distributor numbering.

Example:  
The southbound Collector-Distributor roadway on I-15 serving the 1300 South and SR-201 interchanges would be designated as 0015NC30555. This roadway designation indicates:

- a. Primary association with Route 0015
- b. N is the direction indicator
- c. The Roadway Type (C) is a collector-distributor
- d. The Collector-Distributor is associated with Interchange 305
- e. The Roadway Number is 55 as designated on the diagram of ramps and Collector-Distributor for the 1300 South interchange.
Complex Intersections

There are instances where complex intersections (refer to diagrams below) are handled differently in terms of their respective highway referencing information and the geographical (GIS) representation of the route or routes within an intersection. Roundabouts, Diverging Diamond Interchanges (DDI), Continuous Flow Intersections (CFI), Thru Turn, and other complex intersections often make it difficult to manage either the highway referencing or spatial representation of these instances. There are circumstances where a simplified approach must be taken to facilitate required functionalities for locating features along routes.

State Route 175 is an example of how both the highway reference information and spatial representation of a roundabout is treated. Because of its complexity and route definition, only the positive direction is measured and cartographically represented.
The Interstate 15 and State Route 145 Diverging Diamond Interchange (DDI) is another complex intersection of routes that requires special circumstances from a highway referencing information and spatial representation process. The positive direction centerline method is used to manage this scenario due to its complexity and route definition.

The above Fed-Aid roundabout with a centerline measured in positive direction is another example of a complex intersection.

The Continuous Flow Intersection (CFI) at 5400 South and Redwood Road is one more example of a complex intersection designed to improve west-east traffic flow and to reduce left turn wait times especially during rush hour traffic.
The 12300 South in Draper is a ThrU Turn intersection designed to improve traffic flow at the main intersection by redirecting left turn through signalized u-turn locations and providing additional green time for the main intersection.

**Concurrent/Overlapping Routes**
Certain routes in Utah (US numbered and Interstate) are defined by national policy as concurrent (overlapping) with one or more other routes. The purpose of the national policy is to maintain continuity in route numbering across state lines on certain routes of national importance as an aid to nationwide travel. Distance measurement continues over the overlapping portion on a concurrent route. Locations in the central database will be associated with one and only one route in cases where two or more routes run concurrently over a portion of their length.

A list of all Concurrent/Overlapping Routes in Utah can be found at the Department Website under the Program Development Division Highway Referencing Section at this link: [http://www.udot.utah.gov/main/f?p=100:pg:0:::1:T,V:814](http://www.udot.utah.gov/main/f?p=100:pg:0:::1:T,V:814),

Continuity in distance numbering with concurrent/overlapped routes will be established for only one of the routes; the controlling route indicated in the list of Concurrent/Overlapping Routes. The first milepost beyond the overlap indicates the total distance traveled on the route so that a motorist may have a means of correlating his travel distance between mileposts and that shown on his odometer on the route without milepost continuity.

**Direction**
Direction is a route attribute and is designated as P for the positive direction (generally South to North or West to East) and N for the negative direction (generally North to South or East to West).
P – The northbound or eastbound lanes on divided roadways or either side of the road on a bidirectional roadway.
All Ramps and Collectors leaving the Positive Direction lanes.
All Zones and Roundabouts.
“P” is the default value for direction.

N – The southbound or westbound lanes on divided roadways
All Ramps and Collectors leaving the Negative Direction lanes.

Discontinuous Routes
Routes that come to a temporary end at one point and then begin again at another point are referred to as “discontinuous” routes. A route is discontinuous when the distance at the beginning of the second section is the distance at the end of the first section plus .001, and so on. The distance is incremented by 0.001 miles in order to create a unique location in the Location Referencing System Database. A list of Discontinuous Routes in Utah can be found at the Department Web site under the Program Development Division Highway Referencing Section. Refer to http://www.udot.utah.gov/main/f?p=100:pg:0:::1:T,V:814.

Distance Increments/Decrements
Accumulated distances increase or decrease relative to the route’s positive direction. The accumulated distance increases when traveling in the positive direction and the accumulated distance decreases. When traveling in the negative direction.

Divided Routes
Divided routes are routes on which the lanes for one direction are physically separated from the lanes for the opposite direction, usually by being contained on separate roadway prisms. Roadway separations that constitute a divided highway can consist of both horizontal and vertical separations. The route’s primary direction is used for linear location referencing purposes even though the length of roadway in the negative direction may be different. Examples of routes defined as divided routes are interstates and expressways. A list of all Divided Routes in Utah can be found at the Department Website under the Program Development Division Highway Referencing Section: Refer to http://www.udot.utah.gov/main/f?p=100:pg:0:::1:T,V:814,
Floating Ramps
Unique GIS dataset maintained to represent ramps on Utah’s Highway System. This dataset is necessary as it represents a more accurate mileage reflected in Highway Referencing. This GIS dataset differs from what is being displayed in UTRANS (Refer to Definitions), which is more of a cartographic representation of each ramp on the system. The ramp mileage is collected from gore to end of curve. Refer to the below diagram.

Highway Location Reference Method
The primary objective of the highway linear location reference method is two fold. First, to provide a means for designating and recording the geographic positions of specific locations on a roadway. Second, to use the designations as a key to stored information about the locations. The system must be easy to use to accommodate various levels of technical skills. Three elements common to all location reference methods are:

a. Identification of a known point

b. A measurement from the known point

c. A direction of measurement
A highway location reference method is a set of procedures used in the field to identify the location of any point.

**Highway Location Reference System**
A highway location reference system is a set of office and field procedures that includes one or more highway location reference methods. The method is a way to identify a specific location with respect to a known point. The system is seen as the procedures that relate all locations to each other and includes techniques for storing, maintaining, and retrieving location information.

**Interchange**
A system of interconnecting roadways in conjunction with one or more grade separations that provides for the movement of traffic between two or more roadways or highways on different levels. An interchange will be identified using an interchange number (Refer to the Definition Roadway Identifier). The interchange number will be a 3- digit character-type field using numeric characters. Interchanges are associated most often with Interstate routes but are also associated with expressways and other principal arterials. The Interchange Number generally follows MUTCD guidelines for numbering of interchanges. Traffic and Safety has the responsibility to create and maintain the interchange numbers. The interchange by definition will be associated with the route of higher functional classification. The route with the lowest number will control if the routes meeting at the interchange are of the same functional classification, Interchange Diagrams in Utah can be found at the Department Website under the Program Development Division Highway Referencing Section. Refer to [http://www.udot.utah.gov/main/f?p=100:pg:0:::V,T:,4299](http://www.udot.utah.gov/main/f?p=100:pg:0:::V,T:,4299)

**Example 1:**  
A ramp at the interchange of I-15 and I-215 in Murray will be designated as 0015PR302xx because the functional classes are the same, 15 is a lower number than 215 and the interchange number on I-15 is 302. The Event Date field parameter would precede the Route Number to provide the full Roadway Identifier data.

**Example 2:**  
A ramp at the interchange of US-40 (a principal arterial) and SR-248 (a minor arterial) east of Park City will be designated as 0040PR004xx because US-40 is of a higher functional classification than SR-248 and the interchange number on US-40 is 004. The Event Date field would precede the Route Number to provide the full Roadway Identifier data. Refer to Ramp Nomenclature for interchange ramp identification.
Linear Location Referencing
Is an identification of locations of events or features along a linear, one-dimensional entity such as a road, railway, or pipeline. Location Notation Format: xxx.yyy, the xxx being the total whole miles and the yyy, thousandths of a mile.

Measuring
Measuring distance on roadways, ramps and collector or distributors will be done on the outside shoulder or the outside edge of the outside lane. The outside lane may be used for measuring if a shoulder does not exist or other conditions require it. Measuring will be done in the primary direction for mainline. Ramps and Collector or Distributors will be measured in the direction of travel, beginning at the start of the ramp or collector or distributor. Results will be recorded in miles accurate to three decimal places. Note: Deceleration lanes for exits are considered part of the mainline.

Milepoint (MP)
Synonymous with Accumulated Mileage.

Milepost
A sign placed in the field at an exact whole mile. The number on the sign represents the exact MP (accumulated mileage) within 50 feet at that point.

Negative Direction (N)
The negative direction (N) is the direction of travel where the accumulated distance decreases.

Nominal Direction
The general direction a route follows from its beginning to its end, either south to north or west to east. A route begins at its nominal southern or western terminus and ends at its nominal northern or eastern terminus. Some segments of a route (sometimes long segments) may follow a bearing that is contrary to the route’s nominal direction. For example, I-215 is a south to north route, although from its beginning near Parley’s Canyon it follows a southerly, then westerly bearing extending for nearly half its length.

Positive Direction (P)
The positive direction (P) is the direction of travel where the accumulated distance increases.

Primary Direction (P)
Same as positive direction.
**Ramp**
Is a turning roadway that connects two or more legs at an interchange. The components of a ramp are a terminal at each leg and a connecting road, usually with some curvature, and on a grade. A ramp may connect a route to a cross street, to another route, to a collector-distributor road, or to another ramp. The off ramp begins at the point where the edge of the pavement diverges from the mainline and the on ramp ends at the point where the edge of the ramp pavement merges with the mainline.

**Ramp Nomenclature**
Refer to Roadway Identifier – roadway number ZZ. Diagrams created by Program Development are the official source for all ramp numbering.

**Mile Post**
A sign with an incremented number placed along a route. Department policy is to use a mile point (accumulated mileage) linear referencing system.

**Roadway**
A separate and distinct linear feature designed for use by vehicular traffic, having its own alignment and structure, consisting of a graded or paved surface and associated bridges. A single route consists of one or more roadways. For example, route 0015 begins at the Arizona border near St. George and ends at the Idaho border near Portage. That route consists of two mainline roadways that are separate and distinct with numerous ramps and collector-distributor roadways.

**Roadway Feature**
The generic name used by the Department in Standards and other communication when referring to inventory, items, assets, features, or monuments located in and around the highway/roadways.

**Roadway Identifier**
Five separate data fields have been defined that identify a route in the state and accommodate identification of associated interchanges, ramps, and collector-distributor (C-D) roadways.

The five fields would be:

<table>
<thead>
<tr>
<th>ROUTE or ZONE NUMBER</th>
<th>DIRECTION</th>
<th>ROADWAY TYPE</th>
<th>INTERCHANGE NUMBER</th>
<th>ROADWAY NUMBER</th>
</tr>
</thead>
<tbody>
<tr>
<td>XXXX</td>
<td>D</td>
<td>T</td>
<td>YYY</td>
<td>ZZ</td>
</tr>
</tbody>
</table>

The 11 characters result would be represented as follows if the five fields were concatenated into a single identifier:

**XXXXDTYYZZ**
Where:

<table>
<thead>
<tr>
<th>XXXX</th>
<th>identifies the route or zone number</th>
</tr>
</thead>
<tbody>
<tr>
<td>D</td>
<td>identifies the direction (positive, negative)</td>
</tr>
<tr>
<td>T</td>
<td>identifies the roadway or type or zone</td>
</tr>
<tr>
<td>YYY</td>
<td>identifies the interchange number, if required</td>
</tr>
<tr>
<td>ZZ</td>
<td>identifies the ramp number or C-D roadway associated with the interchange</td>
</tr>
</tbody>
</table>

The data elements making up the roadway identifier are required as needed from left to right. For example, in dealing with a route and direction of a route, those two fields will require a value. The route, direction, roadway type and interchange number will be required if dealing with an interchange. Roadway Identifier data fields that are not used will be filled with zeros.

Roadway Type (T)
Roadway Type will be a 1-digit character field indicating the type of roadway or zone designation.

Choices are:

| M | - mainline roadway and interchanges (default value) |
| R | - a ramp, either on or off |
| C | - a collector-distributor roadway |
| T | - traffic circle (roundabout) |
| Z | - local road zone |
| X | - Misc. |

Route
Is a Street or highway with an assigned number with a defined beginning point, a defined ending point, and a defined pathway between the beginning and end. Most routes run continuously from beginning to end but some are separated into two or more segments. The beginning and ending points and pathway of each segment are defined in the case of discontinuous routes.

Route Length
The route length is the distance measured from the beginning of a route to the end. Take the measurement in the positive direction of travel measured in miles to the thousandth of a mile.

Route Nomenclature
The ROUTE field will be a 4-character field using alphanumeric characters. All roads with a functional classification higher than local in the state are assigned a unique 4-character route number (XXXX). Roads classified as local may also be assigned a route or zone number.
STATE ROUTES:
The first character is a zero (0) for state routes.

Examples: I-15 would be assigned the number 0015
          SR-224 would be assigned the number 0224

NON-STATE ROUTES:
The first character will be a number other than zero for non-state routes.

Examples: Davis Boulevard in Bountiful is route 1392
          1300 South in Salt Lake City is route 2290.

LOCAL ROADS:
Roads that are functionally classified as local may be assigned a unique
4-character route number or may be assigned to a “zone”.

LOCAL ROAD ZONES:
Example: Streets in a particular residential subdivision, that are not
otherwise assigned a unique route number, may be assigned to a single zone.

UTRANS
This is a database stored at AGRC that houses the Utah Transportation roadway
network. The Department GIS staff manages/administers the spatial LRS
network works with the UTRANS database to obtain, and updates State roadway
centerlines. The Department’s LRS is built off of this linework.

Zone
An aggregation of local roads or streets for which exact location specific data is
neither required nor collected. Each zone number must be unique and not
conflict with a route number. Program Development Roadway Section has the
responsibility to create and maintain route and zone numbers. Zone numbers
are typically assigned in the 5000-8000 ranges with Federal Agencies listed in
the 9000 ranges.
Responsibility: Highway Reference Manager

Actions

1. Coordinate required activities with the Division of Traffic and Safety, Maintenance Division, Utah Highway Patrol, Traffic Operations Center, and the appropriate Region Office, including the Region Public Information Coordinator.

2. Identify and mark the locations for mileposts on all State Routes. Use a calibrated electronic Distance Measuring Instrument (DMI) to measure distance on each route beginning at the start of the route and continuing in the positive direction until the end of the route is reached. Mark locations for mileposts to be placed at each exact whole mile or as near to it as possible within 50 feet. Omit the post if an obstruction prevents a post from being placed within 50 feet of its exact whole mile. Mark a location for the post on the negative side directly opposite the position of the post on the positive side on divided routes. Mark a location for a Post “0” at the beginning of each route unless the beginning of the route is physically evident.

3. Use a calibrated electronic DMI to measure the MP (accumulated mileage) of each one of the features to be published in the Highway Reference online for every State Route. Refer to this procedure Step 4. Include features on both the positive and negative sides of the route and compile those into a single listing on divided highways. Measurement will be made while traveling in the positive direction therefore the identification of features on the negative side can be made by either:

   a. Observing the feature from the positive side and marking the location when a position directly opposite the feature is reached.

   b. Completing the identification of features on the positive side then crossing to the negative side to measure the location of the feature in relation to the mileposts established there. Use a mathematical interpolation to establish the MP of the feature if the mileposts on the negative side are not exactly one mile apart due to differences in alignment.
4. Maintain, publish, and make available to all collectors and users, a data set of linearly referenced data that can be found on the Department Website under Program Development, Highway Referencing Section or at the Highway Reference Online application. Both will contain:

a. An official description of each State route and each Federal-Aid Eligible route including start and end points for all segments and a general description of the pathway of the route.

b. The official length of each route.

c. A listing by MP of, at a minimum, the following features:

1. Boundary - City/Town Limits
2. Boundary - County Line
3. Boundary - State Line
4. Boundary - Urban/Urbanized Area
5. Gate - Seasonal
6. Junctions and Intersections
7. Maintenance Station Boundary
8. Ports of Entry
9. Railroad Crossing, with Crossing ID number
10. Ramps
11. Mile Posts
12. Rest Areas and View Points
13. State Route - Begin
14. State Route - Temporary End
15. State Route - Resumes
16. State Route - End
17. Structures
d. A set of interchange diagrams indicating ramp numbers.

5. Develop and maintain a route nomenclature for all routes within the State of Utah for use in data exchange.

6. Maintain a historic comparison of changes to routes such as nomenclature, alignment, ownership, or distance.

7. Notify all Department and external users of updates or changes to the linear reference system each year with a data file available for use by computer systems and through hard copy, e-mail, or other form. Notify all users immediately upon completion of installation of the new mileposts in the event of a newly mileposted or re-mileposted route and make the new list for that route available at that time.

8. Maintain a current set of interchange diagrams indicating ramp numbers.

Responsibility: Maintenance

9. Place or replace mileposts exactly where indicated by the Highway Reference Manager.

10. Notify the Highway Reference Manager immediately when mileposting of a route has been completed so the Highway Reference Manager may make a proper and timely notification to all users.

Responsibility: Highway Reference Manager, Maintenance, and Regions

11. Follow the “Re-mileposting Decision Matrix” for re-mileposting in the event of any changes to state routes such as a realignment, commission action, addition, or removal of mileage.

12. Fund all re-mileposting activities from the project and follow the “Re-mileposting Decision Matrix” when a route change is caused from a project.

13. Review re-mileposting activities first and then decide required actions based on the extent of the error and its effect on the roadway when a route has been identified as having mileposting errors.

Responsibility: LRS Manager/GIS Analyst

14. Coordinate with the Highway Reference Manager to verify the most current Highway Reference data is available and utilized.
15. Use the Statewide Streets data layer from AGRC’s UTRANS database to verify that route linework is accurate according to the Highway Reference description and that all linework is attributed accordingly.
   
a. Linework should fall within pavement according to the most current aerial photo.

b. The database fields DOT_RTNAME and DOT_RTPART, at a minimum, should be updated or verified.

16. Update the floating ramps dataset according to the Highway Reference description if ramps exist.

17. Create/Update calibration points within the Department Route Reference Points data layer from AGRC’s UTRANS database.
   
a. Use a current aerial photo to visually identify features collected in the Highway Reference data, typically: intersections, structures, and cattle guards.

b. Verify route beginning and route ending points are present.

c. Use part start and part end points where applicable.

d. Populate or update attributes accordingly as calibration points are created or updated based on the spatial location acquired from the aerial photo,

e. Give special attention to LABEL, RT_NAME, and RT_PART to verify they correspond to the linework attributes.

f. Sparingly create calibration points for purposes of error checking to allow for non-calibration point features to be used as verification and to reduce the number of objects that may require future adjustments.

19. Calibrate the route after calibration points are created.

20. Plot all features from the Highway reference data as events on the route once the route is calibrated.
21. Use the spatial location of features identified in the Highway Reference data that are identifiable in the aerial photo and not used as calibration points to verify the correctness of the calibration.

a. All plotted events should be within 50 feet of their respective location on the aerial photo.

22. Improve the calibration as necessary by adding or removing calibration points and re-calibrating the route.

23. Publish the calibrated route to the Department's official LRS dataset once the route is verified and accepted.

24. Note that some lower function routes may require less detail in their calibration due to the reduced amount of data associated with them.

**Responsibility:** All Department Employees

25. Use the approved highway linear referencing method in correspondence, business transactions, inventory pursuits, and other activities where there is the need to share data or otherwise communicate with exactness the linear location of an event or feature.

26. Update computer systems and documents as needed to incorporate the updates released by the Highway Reference Manager.
Revisions to the Federal-Aid-Eligible Highway System

UDOT 07-25

Effective: August 15, 2001 Revised: June 16, 2015

Purpose
To define the procedure used by the Utah Department of Transportation (Department) for making revisions to the functional classification of highways in the federal aid eligible system.

Policy
An adequate and integrated highway system with administrative responsibility based on functional classification has been declared to be in the public interest and is the goal of the Transportation Commission. The Transportation Commission will consider eligible for federal aid those portions of the highway system within the state that are classified within the functional groupings of Collector or higher in order to foster maintenance of such a system.

The Asset Management Director reviews all proposed revisions to the functional classification of highways in the state and forwards the recommended changes to the Federal Highway Administration (FHWA) for approval.

The Asset Management Director oversees a full system-wide review of the functional classification of the roadways within the state every ten years tied to a cycle starting once the U.S. Census Bureau defines the urban area boundaries (typically 18 to 24 months after the decennial census is taken) and again five years later. Each roadway in the Federal-Aid-Eligible Highway System along with those roadways proposed for inclusion in the system is reviewed in consultation with the local agencies, the Department Region Directors, and the metropolitan planning organizations (MPOs) to determine its proper classification in order to best match the actual function and usage of the roadway.

A part of this effort includes keeping the total percentage of centerline mileage and vehicle miles traveled (VMT) in each functional category within the ranges prescribed by FHWA. Online ArcGIS map is prepared for each county, each small urban area, and each urbanized area. The format of the maps conforms to guidelines set by FHWA and shows each roadway in the system, color-coded as to functional class. The map for each urban area shows the urban area boundary as defined by the Census and a boundary line for a ten-year urban growth projection.
Annual reviews are also performed that are intended to handle a small number of revisions for needs that were unforeseen during the regular system-wide review process and are of a time-sensitive nature that precludes waiting for the next regular review. Requests for proposed changes are accepted throughout the calendar year of these off years, due December 31. Any of these that are received by that time will then be processed by mid-February of the following year in order to have the changes entered into the HPMS database before March 1.

Background
FHWA has required the State to use functional highway classification to update the Federal-aid highway system beginning with the Federal-Aid Highway Act of 1973. The 2013 issue of FHWA *Highway Functional Classification - Concepts, Criteria and Procedures* defines functional classification:

"The concept of functional classification defines the role that a particular roadway segment plays in serving this flow of traffic through the network. Roadways are assigned to one of several possible functional classifications within a hierarchy according to the character of travel service each roadway provides. Planners and engineers use this hierarchy of roadways to properly channel transportation movements through a highway network efficiently and cost effectively."

This process also provides one method of ranking the importance of any given roadway segment to the overall transportation system and to programming decisions and funding prioritizations. Roadway segments are classified in rural and urban areas as Local Roads, Minor Collectors, Major Collectors, Minor Arterials, Principal Arterials, Other Freeways & Expressways, and Interstates.

Definitions
Most definitions are covered in the FHWA manual, *Highway Functional Classification - Concepts, Criteria and Procedures*. The following are provided in addition to those.

*Adjusted Urban Area Boundary* – A Census-defined Urban Boundary that has been adjusted by a State DOT to include additional territory of future growth and to smooth irregularity in Raw Census Urban Boundaries. The Adjusted Urban Area Boundary will encompass at a minimum the entire urban area (of population 5,000 or greater) and should be one, single contiguous area encompassing areas outside of municipality; boundaries that have urban characteristics with residential, commercial, industrial, or national defense land uses that are consistent with or related to the development patterns with the boundary.
**Growth Area** – That area around the periphery of the census-defined urban boundary into that urbanizing growth is anticipated to spread within the next ten years.

**Highway Functional Classification Maps** – Online ArcGIS maps created and maintained by GIS Analyst showing each county, small urban area, and urbanized area and the roadways. Each of these is color-coded to indicate their functional classification according to an FHWA defined format.

**MPO/Metropolitan Planning Organization** – That organization tasked with coordinated planning of the various jurisdictions within the boundaries of each urbanized area as defined by the U.S. Census Bureau. The MPOs in Utah include Cache MPO, Wasatch Front Regional Council, Mountainland Association of Governments, and Dixie MPO. These MPO’s serve their respective metropolitan boundaries.

**Small Urban Area** – An area of a small city or town with population between 5,000 and 50,000, the boundaries of which are defined by the U.S. Census Bureau.

**Urban Clusters** – Statistical geographic entity designated by the Census Bureau consisting of a central core and adjacent densely settled territory that together contains between 2,500 and fewer than 50,000 people. A Census-defined Urban Cluster is an area consists of densely developed territory and is based on census block and block group density. FHWA has traditionally used this term to describe Urban Areas with a population greater than or equal to 5,000 and less than 50,000, derived from Urban Clusters.

**Urbanized Area** – An area of a large city and any contiguous cities and towns with total population exceeding 50,000, the boundaries of which are defined by the U.S. Census Bureau.
Procedures
Five-Year Statewide Review of Functional Classifications     UDOT 07-25.1

Responsibility: Asset Management Director

Actions

1. Maintain a historical record of all changes to the functional classification system for the state.


3. Meet with representatives of each of the cities in the small urban areas after the U.S. Census Bureau provides the urban area boundaries defined by the decennial census and consult with them on establishing the projected ten-year growth area around each small urban area. Meet again five years later to update the roadway functional classification changes then repeat the remaining steps of the process.

Responsibility: Asset Management Division

4. Coordinate with each MPO in determining the extent of the projected ten-year growth area for their urbanized area after the U.S. Census Bureau provides the urban area boundaries. Meet again five years later to update the roadway functional class changes and repeat the remaining steps of the process.

5. Review system conformity within the urbanized areas to federal guidelines and parameters as outlined in the FHWA manual *Highway Functional Classification - Concepts, Criteria and Procedures*, 2013 Edition in coordination with each MPO. Revise as necessary to meet the guidelines, add new roadways, and upgrade or downgrade existing classifications, based on the projected needs over the upcoming five years. Cooperate with the MPO to ensure consistency with the statewide system and particularly at the boundaries between the urbanized areas and the rural areas.

6. Conduct desktop and field reviews of roadways, as appropriate as part of the above review. If needed, include representatives of the counties, MPOs, Statewide Planning, and of the FHWA Division Office in the field visits.
7. Prepare a list of recommended classifications for each urbanized area, showing centerline mileage and vehicle miles traveled (VMT) for each roadway. List totals in each classification for each county along with percentages and VMT.

8. Advise Department Region Directors and MPO Technical Committees of recommended changes.

9. Forward recommendations to the Asset Management Director.

**Responsibility:** Asset Management Director

10. Conduct a statewide review of the functional classification system. Review statewide system conformity to federal guidelines and parameters, as outlined in the FHWA manual *Highway Functional Classification - Concepts, Criteria and Procedures*, 2013 Edition. Revise as necessary to meet the guidelines, add new roadways, and upgrade or downgrade existing classifications based on the projected needs over the upcoming five years. Perform the work for the rural and urban areas, ensuring consistency throughout the statewide system and particularly at the boundaries between the urbanized areas and the rural areas.

11. Conduct desktop and field reviews of roadways, as appropriate as part of the above review. If needed, include representatives of the counties, MPO, and of the FHWA Division Office in the field visits.

12. Prepare a list of recommended classifications for each county, small urban area, and urbanized area, showing centerline mileage and vehicle miles traveled (VMT) for each roadway. List totals in each classification for each county, along with percentages and VMT.

13. Provide the data on urban area boundaries, ten-year growth projections, and recommended functional classifications to the GIS personnel to prepare the Department Highway Functional Classification Maps.

14. Advise the Department Region Directors and the counties of the recommended functional classifications.

15. Present the list of recommended classifications and the Maps to the Asset Management Director for review and approval.

**Responsibility:** Asset Management Director

16. Review recommendations submitted by the Asset Management Division and approve for submission to the FHWA Division Office.
Responsibility: Asset Management Director

17. Forward the final list and ArcGIS Maps to the FHWA Division Office for concurrence on the proposed functional classifications of the system.

18. Update the Highway Functional Classification ArcGIS online Maps.
Responsibility: Metropolitan Planning Organization (MPO)

Actions

1. Coordinate local requests for revisions to the functional classification of segments of the highway system within the appropriate urbanized area and submit a written request to the Department Asset Management Director. Include with the request appropriate maps and information detailing the length, beginning and ending reference points, actual or projected AADT for any local roads proposed to be upgraded, and other related information. Requests for upgrades should include consideration of other routes that could be downgraded in the same area, as well in order to maintain a balance in the percentages of mileage and VMT in each classification, within each urbanized area.

Responsibility: Asset Management Division

2. Perform a desktop or field review of the requested revisions at the beginning of each calendar year when a full five-year statewide review is not to be performed, after all requests have been received from the MPOs. If needed, include representatives from the MPO, Statewide Planning, and the FHWA Division Office.

3. Review and evaluate the request for conformance with federal guidelines and parameters, as outlined in the FHWA manual Highway Functional Classification - Concepts, Criteria and Procedures, 2013 Edition. Consider the corresponding downgrades that have been proposed or the rationale presented for not including a downgrade proposal.

4. Prepare a list of recommended changes, percentages of mileage and VMT, along with revised ArcGIS Functional Classification Maps.

5. Advise the Department Region Director and the MPO Technical Committee of the recommended changes.

6. Recommend final changes to the Asset Management Director.
Responsibility: Asset Management Division

7. Review recommendations for the urbanized areas from the Asset Management Division. Compile these together with any rural and small urban recommendations that may have been prepared under 07-25.3 below and forward all these to the Asset Management Director for approval.

Responsibility: Asset Management Director

8. Review recommendations submitted by the Asset Management Division and approve for submission to the FHWA Division Office.

Responsibility: Asset Management Director

9. Forward the final list and ArcGIS Maps to the FHWA Division Office for concurrence on the proposed functional classifications of the system. Include letters of concurrence from the MPOs on the recommended changes.

10. Update the Highway Functional Classification ArcGIS online Maps.
Responsibility: County Commission and Department Region Director

Actions

1. Coordinate local requests for revisions to the functional classification of segments of the highway system within the County and submit a written request to the Department Asset Management Director. Include with the request appropriate maps and information detailing the length, beginning and ending reference points, actual or projected AADT for any local roads proposed to be upgraded, and other related information. Requests for upgrades should include consideration of other routes that could be downgraded in the same area as well in order to maintain a balance in the percentages of mileage and VMT in each classification within each county or small urban area.

Responsibility: Asset Management Division

2. Perform desktop or a field review of the requested revisions at the beginning of each calendar year when a full five-year statewide review is not to be performed, after all requests have been received from the counties or Department Region Directors. Include representatives from the County and the FHWA Division Office.

3. Review and evaluate the request for conformance with federal guidelines and parameters, as outlined in the FHWA manual Highway Functional Classification - Concepts, Criteria and Procedures, 2013 Edition. Consider the corresponding downgrades that have been proposed or the rationale presented for not including a downgrade proposal.

4. Prepare a list of recommended changes, percentages of mileage and VMT, along with revised pages of the Highway Functional Classification Maps. Advise the Department Region Director and the County Commission of the recommended changes. Compile these recommendations together with any urbanized recommendations that may have been prepared under 07-25.2 above and forward all these to the Asset Management Director for approval.

Responsibility: Asset Management Director

5. Review recommendations submitted by the Asset Management Division and approve for submission to the FHWA Division Office.
Responsibility: Asset Management Director

6. Forward the final list and ArcGIS maps to the FHWA Division Office for concurrence on the proposed functional classifications of the system. Include letters of concurrence from the MPOs on the recommended changes.

7. Update the Highway Functional Classification ArcGIS online Maps.
Functional Classification Changes to Database and Mapping  UDOT 07-25.4

Responsibility: GIS Analyst

Actions

1. Create and maintain the Highway Functional Classification Maps following the general format specified by FHWA Headquarters.

2. Prepare draft changes to the Highway Functional Classification online ArcGIS Maps upon request from Asset Management Director as outlined in 07-25.1, 07-25.2, and 07-25.3.

Responsibility: Asset Management Director

3. Forward the FHWA letter and approved final information and documentation to the Highway Referencing Supervisor, the GIS Analyst, and the HPMS Database Manager upon notice of concurrence from the FHWA District office on proposed revisions.

Responsibility: Highway Referencing Supervisor

4. Assign appropriate route designation to new routes. Provide information to the GIS Analyst and the HPMS Database Manager.

5. Calibrate new routes and install reference posts as needed.

6. Update Reference System.

Responsibility: GIS Analyst

7. Prepare the revised Highway Functional Classification ArcGIS online Maps at five-year review or of the affected map at annual review.

Responsibility: HPMS Database Manager

8. Collect field inventory information as needed.

9. Update mileage and HPMS database.

Responsibility: Asset Management Division

10. Distribute the Highway Functional Classification online ArcGIS Maps to all the Map holders.
Purpose

To define the function of the Federal Bridge Program, and the relationship between the Utah Department of Transportation (Department) and the Local Governments.

Policy

The Department will participate in the Federal Bridge Program as authorized by Federal legislation. The Program will be administered according to Federal law and by the provisions of the United States Department of Transportation as covered in the A Guide to Federal-Aid Highway Programs and Projects. The Federal Bridge Program is administered as part of the Surface Transportation Program (STP) and the National Highway Performance Program (NHPP).

Bridge funds may be used for all bridge related items, traffic control, utilities, and other non-bridge items required as a result of the bridge replacement or preservation. Bridge replacement funds may be used for approach roadway construction sufficient to connect the new bridge to the existing roadway or to return the grade line to an attainable touchdown point according to minimum AASHTO design standards.

There may be cases where the roadway is realigned or reconstructed for reasons not related to the replacement of the bridge. Other funds will be used for roadways, approach fills, or other extensive earth structures, when constructed beyond the designed connection with the existing road in these cases.

It is also the policy of the Department to use the procedures that follow in setting priorities for the utilization of federal bridge funds for Local Public Agency bridges off of the Federal Aid Highway System.

Definitions

Joint Highway Committee (JHC) – A committee composed of representatives from Utah counties and cities. It develops recommendations for the Local Public Agency projects within the Non-Urban, Small Urban, and Bridge programs of the Statewide Transportation Improvement Program (STIP).
Responsibility: Structures, Federal Highway Administration (FHWA), JHC, Local Government Programs Engineer, and Local Public Agencies

Actions

1. **ELIGIBILITY FOR CONSIDERATION**
   All Local Public Agency bridges off of the Federal Aid Highway System are eligible for Federal Funding through the Joint Highway Committee. Eligible activities include replacement and rehabilitation. A bridge will be considered for replacement or preservation in accordance with the Department Bridge Management Manual. Each structure will be assigned a Health Index based on structural condition and ranked based on criticality and vulnerability.

2. **ANNUAL REVIEWS**
   The Local Public Agencies will submit applications, with requested funding amounts, to the Local Government Programs Engineer on an annual basis based on priorities and availability of local match funding from the Local Public Agency. The Local Government Programs Engineer will compile the applications and provide them to the Department Structures Division for review and statewide prioritization.

3. **FINAL SELECTION**
   The Joint Highway Committee reviews the prioritized list of recommended structures projects proposed for both eligibility and a fair and equitable distribution of available funding. The committee reviews the list and recommends projects to the Utah Transportation Commission for approval and inclusion on the STIP. The projects are then processed by the Local Public Agencies using the Department’s standards and plan for Local Public Agency Projects and in accordance with design and detailing criteria set forth in the Department Structures Design and Detailing Manual.
Purpose
To define how Utah Department of Transportation (Department) construction engineering may proceed on Local Government Projects.

Policy
The Department maintains an adequate staff of competent personnel to accomplish its mission in construction engineering. Consultants are used as needed to mitigate peak work loads. Construction engineering for local government federal-aid projects represents work over and above that for which the Construction Division of the Department is staffed. The Department will not perform construction engineering for local government projects unless the local government requests assistance and can show that a hardship exists and that substantial savings can be realized by using the Department for construction engineering. The Construction Division will assign a project engineer in a hardship case only with a written request by the local agency and with written approval by the Department Executive Staff.

The time involved in following the independent estimate process to obtain a consultant is not a valid reason for using Department construction engineering.

Local governments may use their engineer of record or a consultant to perform construction engineering on local federal aid projects when federal funds are used for construction engineering provided they are certified to perform construction engineering. The Department will assign a project manager to monitor the project during construction. The Department project manager will charge appropriate costs to the project.

Department employees are encouraged to continue their traditional coordination and technical assistance to Local governments in both federal-aid and non-federal-aid transportation concerns.
Purpose
To define how design Utah Department of Transportation (Department) engineering may proceed on Local Government Federal Aid Projects.

Policy
The Department will participate in field reviews, concept and scoping meetings, perform environmental reviews, PS&E reviews, and final reviews in order to maintain consistency in plans, estimates, and specifications on local Federal-Aid Projects. Additional services such as providing operational safety reports, foundation analysis, and checking design calculations will be performed upon request and with written approval of the local government representative. Appropriate costs will be charged either to the project or to the design engineer.

The Department will not perform design engineering on local Federal-Aid Projects unless the local government can show that a hardship exists and that substantial savings can be realized by using Department design engineering. The Preconstruction Division will assign a design engineer only with written request by the local agency and with written approval by the Department Executive Staff.

Local governments may use their engineer of record or a consultant to perform design engineering on local Federal-aid Projects for design engineering provided they are certified to perform design engineering.

Department employees are encouraged to continue their traditional coordination and technical assistance to local governments in both Federal-Aid and Non-Federal-Aid transportation issues.
Purpose
This Policy defines the Utah Department of Transportation’s (Department) position on the inclusion of Active Transportation improvements in the funding, planning, design, operations, and maintenance of transportation facilities. Safety is an important driver within the Department and inclusion of Active Transportation improvements will provide opportunity to consider all users when addressing safety on the transportation system.

Policy
It is the policy of the Department that the needs of bicyclists, pedestrians, and other Active Transportation users will be routinely considered as an important aspect in the funding, planning, design, construction, operation, and maintenance of Department transportation facilities. Active Transportation needs for a project will be documented within the Project Definition Document process.

This policy applies statewide, to facilities in urban, suburban, and rural settings. All transportation activities that are funded by or through Department and planned, designed, constructed, or maintained on state facilities will adhere to this policy. These activities will be referred to as Projects for the purposes of this Policy.

Definitions
Active Transportation: Refers to multimodal transportation solutions that connect people to the places and services they need or desire access to. Includes but not limited to work, school, businesses, government facilities, transit, recreation and community centers, health care, and other services that are essential to their livelihood and wellbeing, using “active” or non-motorized modes such as walking or bicycling. Includes multimodal transportation solutions that are used for recreation.
**Responsibility:** Planning, Program Development and Maintenance

**Actions**

1. Consider the need to incorporate Active Transportation into the State Highway system as the Department develops plans for future work.

2. Expand current guidelines for delivering Projects and Programs to facilitate the implementation of this Policy.

3. Adjust maintenance budget allocations to allow implementation of this Policy.

4. Consider and integrate where appropriate into all planning studies and planning documents developed, accepted and promoted by the Department.

**Responsibility:** Project Managers

5. Evaluate and incorporate the needs of Active Transportation to the extent feasible within the Project’s defined budget and purpose for all projects under their control.

6. Begin this consideration in the Concept phase to account for any additional costs and continue through Preconstruction and Construction.

7. Incorporate low-cost, no-cost, and commonsense improvements that address the needs of Active Transportation in all projects where feasible.

8. Carefully review and document project features that would be detrimental to Active Transportation through the Project Definition Document process prior to incorporation into the Project.

**Responsibility:** Preconstruction Staff (In-House and Consultants)

9. Evaluate all Projects during design to account for the safety, convenience, and efficiency of Active Transportation.
Responsibility:  Construction Staff (In-House and Consultant)

10. Construct all Projects in such a way that Active Transportation users are allowed safe access through the Project where feasible.

11. Develop and clearly identity safe, alternative routes for users if this is not feasible.

Responsibility:  Maintenance Staff

12. Maintain all Department facilities to account for the safety, convenience, and efficiency of Active Transportation.

Responsibility:  Operations Staff

13. Operate all Department facilities taking into account the safety, convenience, and efficiency of Active Transportation.
Data Processing Technology Acceptable Use      UDOT 07A-01
Effective: March 1, 1997     Revised: March 1, 1997

Purpose
Productive and efficient use of data processing technology is important to the Department of Transportation. To promote and improve employee productivity and efficient use of data processing hardware and software, the Department permits limited personal use of these resources. The intent of this policy is to provide employee guidelines to encourage the proper use of data processing equipment.

Policy
The Department’s data processing equipment is to be used for work related assignments and duties except an employee’s personal work done on the employee’s personal time (after normal working hours, weekends or holidays) with the permission of the employee’s leader.

Access, use and protection of all information technology assets (including all computer hardware, software and databases) will be according to applicable classification, authorization and security provisions outlined in the Government Records and Management Act (GRAMA) and the Administrative Law R-365-4. Employees will comply with copyright laws and contractual agreements relating to the use of software. It is the responsibility of each employee to use only properly licensed programs.

Use of data processing equipment for the production of income to any entity other than the Department is not permitted.

Installation and downloading of personal software onto hard drives or file servers is permitted only with leader’s approval and with the proviso that the software must be scanned for viruses before being used.

Installation of security hardware and/or software, other than that authorized by the Department, is not permitted.

Any software developed using the Department’s data processing equipment will be the property of the Department.

Payment for the cost of supplies used for personal work, i.e., diskettes, paper, will be the responsibility of the employee.

Personal use of the mainframe system is not permitted.

An employee can only use their assigned PC's local storage drives (e.g. A:, B:, C:, D:) for storage of non-Department data. Network drives can not be used for non-Department data storage. When the employee is finished with personal business, any data entered or files created must be removed any time that it interferes with the storage needs or proper operation of the equipment to complete the Department’s work.
It is the leader’s responsibility to oversee compliance with these guidelines. Leader’s have the option of implementing more restrictive measures if they deem necessary. Violation of these guidelines may result in disciplinary action.

**Background**

This policy and procedure is in compliance with the **STATE OF UTAH Information Technology Resources Acceptable Use Policy**. It is recommended that you review this policy. A copy of this policy is in the library or with your ISS representative.

Your judgment regarding incidental and occasional personal use is important. While this policy does not attempt to articulate all required or proscribed behavior, it does seek to assist in such judgment by providing the above guidelines. If you are unclear about the acceptable personal use of a UDOT or state provided resource, please review your planned usage with your immediate leader.
Employees are responsible for the content of all text, audio or images that are placed or sent over the Internet. The distribution, retrieval, saving or printing of any electronic files that are offensive or include any harassing statements based on race, national origin, sex, sexual orientation, age, disability or political or religious beliefs are prohibited. All communications should be for professional reasons. Personal use must be minimal.

**Responsibility:** Employee

**Actions**

1. The Department shall review complaints or instances of unacceptable use brought to its attention. Violators are subject to corrective and/or disciplinary action under this policy and other such as:

   Administrative Rule R477-9-1, (Department of Human Resource Management, Standards or Conduct).


2. Violations of any guidelines listed above may result in disciplinary action up to and including termination. If necessary, the Department will advise the appropriate legal officials of any illegal violations. Violators may also be prosecuted under state and federal statutes.
Copyright Laws

Software purchased by and licensed to the Department is not to be copied for personal use. Software is not to be removed from the premises without the consent of the employee’s leader.

Responsibility: Employee

Actions

1. The Department shall review complaints or instances of unacceptable use brought to its attention. VIolators are subject to corrective and/or disciplinary action under this policy and others such as:


2. Violations of any guidelines listed above may result in disciplinary action up to and including termination. If necessary, the Department will advise the appropriate legal officials of any illegal violations. Violators may also be prosecuted under state and federal statutes.

Responsibility: Region/Group Leader

3. It is the leader’s responsibility to oversee compliance with these guidelines. Managers have the option of implementing more restrictive measures if they deem necessary.
Purpose
To provide a method for obtaining software for use within the Utah Department of Transportation.

Policy
Information Systems Services (ISS) will maintain a list of Standard Software and what types of applications use the software.

User actions to obtain software and ISS response actions will be followed so that costs are minimized and standardization is maintained to the maximum extent possible.

When an unusual number of requests for specific non-standard software occurs, the Local Area Network (LAN) committee will assign a Team to review a need to include it as Standard Software.
Procedures
Obtaining Software

Responsibility: User

Actions

1. Prepare documentation that justifies the need for the specific software.

2. Review the list from ISS of available Standard Software.

3. Prepare request for the software from the list of Standard Software if it will meet the needs. If the list of Standard Software does not meet the needs then the request will be for non-standard software.

4. Submit the request and justification to ISS.

Responsibility: Information Systems Services

5. If funds are not available, respond back to user.

6. If funds are available and the request is for Standard Software, ISS will purchase the requested software.

7. If funds are available and the request is for non-Standard Software, ISS will review the request for the software. If the justification warrants the purchase of the software, ISS will purchase the software and provide any disclaimers, for level of service, to the user. If the justification does not warrant the purchase of the software, ISS will respond back to the user with documentation as to why the request does not warrant the purchase. Non-standard software can not be the reason for not purchasing software. The user will then have the opportunity to review the request with ISS to work out any differences in the request. If the differences are not resolvable between the customer and ISS, the issue can be brought before the LAN Committee for arbitration.
Purpose
To establish a means for requesting services from Information Systems Services (ISS) or vendors, for developing new systems, enhancing or maintaining existing systems, and assisting/performing system information requirements or feasibility studies. Also, procedures for requests for computer hardware, software less than and/or greater than $1,000.

Policy
UDOT organizations desiring IT services, equipment and software should send a request to ISS to enable the Department to maintain compliance to State code, State policies, standards and utilize IT resources to their maximum potential.

Processes to accomplish the following are initiated by ISS as part of the Department of Transportation’s Tactical and Strategic, Information Technology Planning processes. This applies to all Groups, Divisions and Regions.

Tactical IT Plan
The Annual Tactical Planning Process is conducted, beginning in July of each year when building blocks and requests are submitted for approval by the legislative and the Governor’s analysts, and later submitted for funding approval by the Legislature for the Tactical Plan, for the next fiscal year.

UDOT’s IT Planning process and IT Plan have been designed to be compatible with Utah State Code and State Policies regulating Information Technology. The second phase of the Tactical Plan process begins in January when organizations within the Department prepare plans to their management for funding of Information Technology (Data Processing) needs during the next fiscal year. This phase culminates in review and prioritization by Department Senior Management. Funding is also planned and allocated for maintenance of existing systems as well as allocating internal ISS personnel time for this purpose.

Fall Process Planning Process
ISS initiates processes in July, August, and September. This normally consists of specific building blocks to provide new IT funding for the following fiscal year, and/or submitting an addendum(s) to the current year IT Plan, to the State Chief Information Officer.
**Spring Process**
ISS initiates the plan processes (in January) to identify the Department needs, utilizing appropriated funds for the following fiscal year. Then ISS meets with UDOT organizations and distribute planning materials. In general this process involves meeting with department organizations, soliciting their needs, and gaining management approval for IT purchases and application systems development priorities.

**Strategic Plan**
The Strategic Plan is updated every October and November of each year to extend the time covered by one year and make other necessary revisions as desired by the Department and to prepare the most current year for the coming Tactical processes in January.

**Operational Needs**
Requests should be submitted via e-mail to the Information Systems Services (ISS) person responsible for processing IT acquisitions. The request should describe the needed item, state who it is for, why it is needed and the estimated cost. At any time during the year, requests can be made for acquisitions under $1,000. These requests are not part of the plan and can be submitted anytime.

Each request is evaluated, based on Information Technology (IT) standards set by the department and the State. If these standards are met and there is sufficient funding, the request is generally approved. (Requests exceeding $1,000 in cost should be submitted as part of the department’s annual IT Planning processes).

When the operational need applies to software refer to UDOT 07A-2 (Obtaining Software for Office Use).

**Background**
When funding is approved for software development or enhancement, any employee or consultant who develops a custom software system or program for others to use has a responsibility to document it to a level which allows others to use it effectively, and insures that it can be supported if the author is on leave or otherwise unavailable. Managers are responsible to make sure that custom software developed for their group is documented in accordance with the attached standards.

All computer development and maintenance projects must include time to write documentation and keep it up to date. Performance reviews of software developers must include a review of documentation adequacy. This applies not only to professional programmers, but also to the numerous UDOT personnel who write programs in languages such as dBASE, Paradox, Information Expert, or other “easy to use” languages or report writers.

The new documentation standards apply to all new systems and programs. Old systems and programs should be brought into conformity as much as possible, when programmers have extra time that could be used to update documentation.
Definitions

Tactical IT Plan
Short term planning for the next fiscal year which includes application development or enhancement, existing maintenance through allocation of staff and vendor time, and funding for hardware and software purchases.

Strategic IT Plan
Planning for future years beyond the immediately following fiscal year. Strategic planning will impact the tactical plan where there are large, long term projects, especially if sufficient building block funding hasn’t been identified to support these projects.

Operational IT Needs
This category relates to hardware or software that is purchased as the need arises during the course of each year and should not be requested as part of the IT Plan. Requests should be less than $1,000 in cost. (Requests exceeding $1,000 in cost should be submitted as part of the department’s annual IT Planning processes).
Purpose
To define the policy and procedures that help secure data protections and system access by proper authorization, set-up, and use of a Virtual Private Network (VPN) connection within the Utah Department of Transportation (Department).

Policy
Using the VPN is a privilege and is granted only with an approved VPN Certification Agreement. Department employees, contractors, consultants and third parties may request the use of a VPN connection. The VPN user will be required to sign a certification agreement. VPN users will be reviewed and verified at least annually for security, activity, and validity of use. Unused, misused, or invalid VPN connections will be deleted.

Only Department issued devices will be used for the VPN connection to the State Network by State employees. Contractors, consultants, or any third party users are obligated to meet security protocols and must agree to secure any device being used to the same security standards as are used for Department owned devices.

Individuals using the VPN are responsible to verify no unauthorized devices are used or unauthorized users access the State network through their device. Data copied, transferred, or removed from the State network must be protected and not distributed without authorization from the Department. Employees who violate this policy may be subject to discipline, up to and including termination. Contractors, consultants, or other third party users who violate this policy may be subject to contract termination and legal responsibility.

The Department Point of Contact (POC) conducts at a minimum, a yearly review of the Department’s VPN access users. A list of invalid, inactive, or high risk VPN accounts that need to be deleted, resulting from the review, is sent to the Department of Technology Services (DTS) to administer the deletion of such VPN access or account.

Notification is sent to the Department POC who notifies the VPN user if access is revoked to the VPN by DTS administration for any reason.
**Background**

VPN provides a way for an authorized employee, contractor, consultant, or third party to log into the State computer network and gain access to data and applications securely as if physically at work. VPN accomplishes this by encrypting network traffic to prevent unauthorized interception of data. It requires authorization and authentication via a username and password.

**Definitions**

**Approved Authorizer**
Employee: Their region director or group leader.

Contractor, consultant or third party: Their Department contract administrator's director.

**Authentication**
This is a process that verifies who you are, typically through requiring entry of a valid user name and password.

**Authorization**
This is a process that verifies and controls what you are authorized to do and what information and applications you can access.

**POC**
This is the Department Point of Contact who approves VPN access and validates the requests by the Approved Authorizer. This role is assigned to the Director of Program Development.
Procedures
General Information
The processes and procedures for gaining access to the different aspects of VPN Remote Access Management are specified.

Requesting VPN Access
The VPN request and approval process begins with a user identifying a need for remote access to the State data systems or programs. The user must read the VPN Certification Agreement, sign it, and submit the agreement to their Approved Authorizer for approval and signature.

Upon signature from Approved Authorizer the user requests VPN access as follows:
1. Go to dts.utah.gov
2. Select "Get a Product/Service"
3. Click on "Remote Access VPN"
4. Click on "Order Now"
5. Follow the instruction to complete the VPN Request form
6. Click on the "Order Now" button located in the upper right hand corner
7. Answer the questions shown on the screen.

Authorizing VPN Access:
The DTS system manager sends an approve/deny request to the Department POC.

The POC authorizes VPN access by doing the following:
1. POC reviews the VPN request regarding the types of access desired.
2. POC contacts the Approved Authorizer and requests a copy of the signed VPN Certification Agreement.
3. The POC approves or denies the VPN request using the DTS request system.
4. An email is sent to the requestor by DTS notifying them that the VPN access has been authorized or denied.

Installing the VPN Client
DTS, if approved will send instructions to the new VPN user of how to install the VPN client on their Department issued device or other equally secure device.

There are two steps for the User:
1. Install the VPN client by following the instructions sent with the approval email.
2. Map network drives to the new VPN user’s PC. This step is accomplished by contacting the Department Help Desk for their assistance in completing the drive mapping.
Utah Department of Transportation
VPN CERTIFICATION AGREEMENT
(Virtual Private Network)

Utah Department of Transportation and Department of Technology Services approved devices or clients, as described in the VPN Request and Approval application process, can be used to connect to the State Network. All other devices are obligated to meet the same security standards as are used for State owned devices before connecting to the State Network.

I certify that I understand, agree with and will follow the following stipulations for the use of a VPN connection to the State IT network:

**Department Employees**
I certify that I will only use a Department issued PC device remotely to connect to the Department’s secure network.

**All Others**
I certify that as a contractor, consultant, or third party, using a personal or company device that the PC device I use is configured with an up-to-date firewall, anti-virus protection, and malware protection. Furthermore, if private or restricted data is being accessed or stored, then I certify I will utilize disk encryption software on my device. I understand that I am obligated to secure any PC device being used to the same standards as are used for State owned devices.

I agree that data I remove from the State network must be protected, and not released or distributed to outside parties without authorization from Department. I further understand I am responsible to guarantee no unauthorized users access the State network through my device.

Should private or restricted data be taken by unauthorized entities, I understand that I could be held liable, subject to legal action, or discipline including possible termination of contacts and/or employment.

VPN Applicant (Signature):____________________________ (Date):_____________

Approved Authorizer (Senior Leader):____________________ (Date):_____________
Purpose
The Utah Transportation Research Advisory Council (UTRAC) has been established to provide direction to the research and development program of the Utah Department of Transportation, including, (1) determining areas of greatest need for research and development; (2) recommending priorities, schedules, and agency or division selection for conducting and managing research studies; (3) recommending the desirability of termination or continuation of individual research and development studies to the Department Quality Improvement Council; (4) recommending the best application of research results; (5) recommending research problems of national scope or interest to the American Association of State Highway and Transportation Officials for consideration in the National Cooperative Highway Research Program, and (6) keeping informed on research activities of other agencies in order to exploit implementable outputs and to recognize opportunities for State participation.

Policy
The Utah Transportation Research Advisory Council is composed of thirteen permanent members with the Research and Development Engineer serving as chairperson and the Research Coordinating Engineer as secretary. The members will represent the various disciplines within the Department as follows:

MEMBERSHIP

RESEARCH & DEVELOPMENT (2) CONSTRUCTION
MAINTENANCE ENVIRONMENTAL
MATERIALS PROGRAM DEVELOPMENT
ROADWAY DESIGN PAVEMENT MANAGEMENT
STRUCTURES ADMINISTRATION
TRAFFIC & SAFETY FHWA

GUEST MEMBERS

UNIVERSITY OF UTAH UTAH STATE UNIVERSITY
BRIGHAM YOUNG UNIVERSITY WEBER STATE UNIVERSITY

All members shall be appointed by the respective Division Head or Region Director. The FHWA representative shall be appointed by the Utah Division Administrator, and the university representatives by the respective Dean of the Civil Engineering Department.

Members shall be rotated on a biannual basis except for the Research & Development, FHWA, and university guest members. At any given time each of the four regions shall be represented by at least one member on the Council.
The Research and Development Unit shall provide staff support to the Council. Appointers may themselves fill one of the authorized positions (memberships) or may delegate it, but the appointee shall have full authority to bind the represented division or region to a decision by vote or other action pertaining.

Additional temporary advisory members may be selected by the Council to advise and assist when specialized talents are needed. Temporary members do not have the power to vote.

In the absence of a regular member, appointers are empowered to appoint a substitute. Substitute members shall have full power and authority of the regular member being replaced. Appointers have the responsibility to see that positions are continuously filled by qualified individuals.

Nine members are required to constitute a quorum that is to be present to transact official business. A majority of a quorum of the members present is necessary to pass any measure.

The Department’s Manual of Instruction, Part 9, Research and Development, provides the essential details for planning, conducting, and implementing research.

The Council shall meet quarterly or as needed to accomplish the responsibilities as assigned to it. The agenda for the Council shall be prepared and distributed at least one week prior to the meeting.
Purpose
To ensure The Utah Department of Transportation (Department) compliance with Utah Code 9-7-207(1)(a) and (3) which require all state agencies and state-supported colleges and universities to provide copies of publications to the Utah State Library Division for use in establishing and maintaining depository libraries.

To maintain consistent deposits of Department publications into the Department Lester F. Wire Memorial Library (Library).

Policy
Forward Department publications to the Department Librarian in the following quantities in compliance with the State Government Publications Depository Program and for the needs of the Library:

1. 20 copies of documents that are only available in a physical format.
2. 4 copies (minimum) of documents that are also available online.
3. 3 copies of audio and video publications in physical formats.

The Librarian retains one for the Department Library and forwards the remaining copies to the Utah State Library Division.

Required publications include books, ordinances, compilations, pamphlets, directories, periodicals, documents, proceeding contracts or grant reports, public memoranda, hearing memoranda, resolutions, journals, rules, laws, legislative bills, reports, magazines, statutes, maps, audio-visual materials, monographs, registers, electronic publications, orders, micrographic forms, tapes or discs according to Utah Code UCA 9-7-101(7)(a).

Materials NOT to Send to the State Library
Advertising; court records such as calendars, case files, decrees, dockets, judgments, minutes, orders, proceedings, rulings and transcripts; correspondence and email; drafts of plans; fliers; grant proposals; internal confidential publications; minutes of meetings; office memoranda; posters; press releases; programs; registration forms; university press publications; or publications of the state historical society. Refer to UCA 9-7-101(7)(b).
Background

The Utah State Library Division has been empowered by Utah Code Title 9, Chapter 7 to establish a depository library system. The Utah State Publications Depository Program is designed to systematically collect and make Utah state government publications available through libraries to promote the information published by the state government at a minimum of cost and effort and also to assist state agencies by maintaining and indexing a collection of state publications. Fourteen libraries, located in various areas, now house copies of agency publications. Nine of these depository libraries receive one copy of each publication. Five of them receive two copies. These publications are then available to walk-in patrons and for loan, upon request.

The depository system assists state agencies in two major areas: cost savings by reduced printing and mailing costs and time for preparing mailing lists, labels.
Procedures
Distributing UDOT Publications to the State Library Division and the Transportation Library

Responsibility: Region or District, Division or Section originating a Publication or any written format listed in the “Guidelines for the Deposit of Publications to the Utah State Library Division.”

Actions

1. Send the following number of copies to the Department Librarian:
   - Documents only available in a physical format – 20 copies
   - Documents also available online – 4 hard copies (minimum)
   - Audio and video publications in physical formats – 3 copies

Responsibility: UDOT Librarian

2. Send 19 copies of documents that are only available in a physical format, or 3 copies (minimum) of documents that are also available online, and 2 copies of audio and video publications in physical formats to the Utah State Library Division.

3. Complete and send to the Utah State Library Division, “Monthly Publications List,” which identifies agency publications received for deposit each month. Compile a total list of all publications deposited during the fiscal year and forward.

4. Include all publications received for deposit in the quarterly listing of the “UDOT Documents Location Guide” along with the cost, contact person from whom copies may be obtained, contact phone number, and the date published.

Responsibility: Utah State Publications Depository Librarian

The Utah State Library Division requests that each agency designate a publications contact person to serve as liaison with the Utah State Library Division concerning deposits of publications. Selection of the contact person is generally made by the primary contact person who should be someone in the agency with knowledge of publishing procedures and the kinds of publications produced.

5. Screen all publications received.

6. Advise the Department Librarian if additional copies are required.
7. Distribute publications to the 14 depository libraries around the state for use by patrons.

**Responsibility:** Department Librarian

8. Select agency publication contact person.

**Responsibility:** Agency Contact Person

9. Ensure that the Departent Librarian receives the correct number of copies of publications produced by their division (20 copies of publications which are only available in a physical format, or 4 copies (minimum) of documents which are also available online, and at least 3 copies of materials that are produced in other formats, such as audio-visual, microform or machine-readable published works).
Purpose
This policy has been established to ensure a uniform policy for archiving and maintaining UDOT records in precise observance of state statutes.

Policy
UDOT will assist the State Archives in the care, maintenance, scheduling, designation, classification, disposal and preservation of records in direct compliance with the Government Records and Management Access Act (GRAMA) UCA 63-2-306, UCA 63-2-903 and 63-2-905.

Definitions
GRAMA
The Government Records Access and Management Act is a comprehensive law dealing with management of government records. This Act is an attempt to balance the public’s constitutional rights to access government information, protect the privacy of individuals, and monitor government access restrictions to records.

This act defines the legal responsibilities of all state agencies.

Responsibility
Central Records Management Staff

1. All incoming correspondence will be received, sorted, indexed and filed by the Central Records Management Office.

   A. Central Records will file original letters. If a Division or Section needs the original, it can be requested from Central Records.

   B. Materials sent to Central Records Management are available in a timely manner upon request from any Division. The Records Management Program is set up to administer custodial care for Department information and, when fully utilized, can save space, time and money.
C. Central Records copies or document materials will be released for filing promptly by all Divisions.

1. One white copy of all correspondence (see Policy and Program Correspondence below) generated by any Division should come to Central Records on a daily basis. This copy should be marked “Record File Copy.” (Material held in or on desks can completely disrupt the handling of mail, correspondence and the microfilming of documents for the UDOT Records Management Program). If there are any questions as to exceptions, contact your Division Records Officer for assistance.

POLICY AND PROGRAM CORRESPONDENCE (Item 1-9)

(From State Agency Schedule 1, Administrative Records)

“Business-related correspondence which provides unique information about agency functions, policies, procedures or programs. These records document material discussions and decisions made regarding all agency interests, and may originate on paper, e-mail or other media. This correspondence is filed separately from program case files and project files.”

D. All records removed from Central Records will be charged to the borrower at the current rate (only UDOT employees may check out original documents; the public must receive photocopies). This will enable Central Records Management personnel to keep an accurate record of the location of materials loaned out from the files.

E. If the material is charged to an individual by Central Records and that individual sends it to someone else, Central Records will be advised by a telephone call so that the charge can be changed. Otherwise, the individual is responsible for the borrowed material until it is returned to the file.

F. Personnel will be available to take verbal or written requests from 8:00 a.m. to 5:00 p.m., Monday through Friday.

G. In requesting material from the Central Records Management Section, make your request as definitive as possible, such as project numbers, descriptions, etc. Material located here will be divided into three groups of file sources, as listed below, cross-referenced for speedy and easy retrieval:

1. PROJECTS - All correspondence referencing a specific project. A project number is the most helpful information and must be accurately typed. A title or description is also necessary.
2. **SUBJECT -** This is all material that does not reference any project and adds to the general knowledge and operation of the Department of Transportation. A master category of all Division names exists, and correspondence from those Divisions is filed accordingly.

H. The Department Records Manager should be contacted if you have any questions as to whether correspondence should be retained or destroyed. You may also visit the Archives Web site to obtain information on UDOT records or the General Records Retention Schedule, at [http://archives.utah.gov/recmanag/retcd2.htm](http://archives.utah.gov/recmanag/retcd2.htm).

I. All records of all types must be classified. Records that have information regarding individuals must be classified as Public, Private Controlled, or Protected on the proper forms, in accordance with Utah Code 63-2-301 to 306.

J. Information will be released to the public by the guidelines set forth in the “Government Records Access Management Act.”

K. All Divisions are responsible for the records that are located in their offices. A records officer should be appointed in each Division or Agency Section. It is important that there is an understanding of the classifications (GRAMA) of documents they house and that they maintain only active records. The Records Manager is available to answer questions.

L. Correspondence generated from an electronic medium (such as e-mail) that may reference a project or add to the general knowledge or operation of the Department should be printed and sent to the Central Records Management Section for filing. **NOTE:** This would not include such correspondence as transmittals or interoffice communications.
Procedures
UDOT Archiving & Records Management Practices

Responsibility: Division or Region Heads

Actions

1. The Government Records Access and Management Act (GRAMA) requires the chief administrative officer of each governmental entity to appoint one or more records officers who will be trained to work with State Archives (UCA 63-2-903(2) (1997)).

2. Appoint division records officers who have knowledge about the Office’s records and are able to make prudent decisions concerning them.

3. Make certain the records officer’s duties and responsibilities are listed in their performance plan so that they will receive recognition for their efforts.

Responsibility: Records Officers

4. Develop and provide oversight of records management programs in their area, including assisting/training others to follow established records management guidelines, policies and retention schedules.

5. Serve as the contact person to Central Records and State Archives.

6. Inventory agency records, develop agency retention schedules, and obtain agency approvals (signatures).

7. Implement State Records Committee-approved record retention schedules and document authorized destruction of obsolete records.

8. Maintain information on what record series have been scheduled and conduct periodic reviews to update information as changes occur.


10. Maintain information (RTS) & Box Accession Report on record series that have been transferred to the State Records Center, and provide a copy for Central Records Staff.

11. Transfer records to and from State Records/Central Archives. State Mail Services will pick up (maximum of 10 boxes at a time) from our mail station and deliver to the State Records Center and vice-versa. If more than one box at a time is needed, special arrangement will have to be made with State Mail Services.
Responsibility: Central Records Staff

12. Provide assistance, instruction and training to records officers regarding proper record-keeping protocol, in accordance with GRAMA and the State Archives.

13. Coordinate agency Records Officer training provided by the State Archives Transportation Records Analyst.
Purpose
To ensure that a uniform protocol for mail handling is followed by the Utah Department of Transportation (Department).

Policy
It is the policy of the Department to devise and design methods to process incoming mail and to regulate outgoing mail.

State agencies will subscribe to the mail services of the Division of Purchasing and General Services according to State Statute 63A-2-103.

It is a violation of R477-9 (1) and (2) to use state resources for personal benefit. This includes receiving personal packages and parcels at work through the State Mail Distribution Services (SMDS). SMDS will hold any package or parcel that appears to be personal in nature and contact the recipient. Arrangements will be made for the retrieval of the package at the processing center if the package is determined to be personal.

Definitions
First-Class Mail – Receives expeditious handling and has a delivery standard of 2-4 business days and has a minimum size of 3½ x 5 inch.

Periodicals (Second-Class Mail) – Includes newspapers and magazines.

Standard Mail (Bulk) – This is mail that cannot contain any personal information and must be generic, such as advertising mail. It must be labeled “Standard Mail–U.S. Postage Paid, Salt Lake City, Utah, Permit #4621” and must include a minimum of 200 pieces. Endorsements under return address are not permitted except under certain conditions. State Mail sorts by zip code before delivery to the post office and the post office will not return to sender if items are not deliverable.

State Mail Authorization Card (SMAC) – A State Mail Services form is used to identify charges incurred for mailing United States Postal Service (USPS) mail by state agencies. This form must be attached to all unstamped envelopes or flats that require delivery to the post office via State Mail Services.
Responsibility: UDOT Mail Staff

Actions

1. All first and second-class mail delivered without Post Office (PO) box numbers will be looked up and coded by Department mail staff and returned to State Mail for sorting and delivery.

2. All bulk rate and pre-sorted standard mail such as junk mail without a PO box number will be discarded.
Responsibility: UDOT Mail Staff

Actions

1. The Department Mail staff is required to sign for all incoming certified mail.

2. Mail with a PO box number indicated will be delivered by State Mail. Mail without a PO box number or name will be researched by Department Mail staff. It will be given to State Mail for delivery when properly coded.

3. Overnight and second day delivery packages are received and signed for by Department Mail staff. Department Mail staff will notify recipients and their division contact by e-mail that package needs to be picked up.

4. Large overnight or certified packages will be delivered directly to the Warehouse/Shipping and Receiving.
Responsibility:  All Complex Employees

Actions

Inter-Departmental Mail

1. Inter-departmental mail should be clearly marked with the recipient’s name and PO box number. Region mail should be addressed to UDOT and the region number such as UDOT/Region 2.

United States Postal Service (USPS) Mail

2. Prepare outgoing correspondence, documents, or materials according to U.S. Postal Service regulations.

3. Use division PO box number and four-digit zip code extension on all return addresses on outgoing mailings.

4. Notify senders to delete their name and address if they wish to be removed from a mailing list.

5. Attach a SMAC, available at each mail station when mailing letters, flats, or parcels through USPS.

Overnight/Certified Packages for Delivery

6. FedEx Overnight or Second Day Packages
   a. Use FedEx shipment supplies located at each mailing station.
   b. Fill out FedEx air bill completely and affix to package.
   c. Place package in the FedEx depository located next to the First Floor mail receptacle. Pick-up time is 4:00 p.m., Monday through Friday.

7. FedEx Ground Packages
   a. FedEx ground delivery packages are processed through State Mail Services.
   b. Address package as you would for USPS delivery. Place SMAC on package and write “FedEx Ground” in Special Instruction field.
c. Place package in regular mail station for pick-up by State Mail Services.

8. United Postal Service (UPS)
   a. Contact UPS directly to schedule a pickup for UPS prepaid services.

9. Certified Mail – USPS
   a. Use when proof of delivery is required. This service is available only when sending an item first class within the United States. A record of the delivery is maintained at the addressee’s post office for six months.

   b. Complete certified mail forms. Attach a SMAC and place item in mail station for pick-up by State Mail Services.

10. Express Mail – USPS
   a. This is a guaranteed overnight delivery service offered by USPS to any area listed on the locally designated “Next-Day Network.” Second-day delivery is made to those locations not listed in the Next-Day Network.

   b. Complete Express mailing label. Attach a SMAC and place package in mail station for pick-up by State Mail Services.
Returned Mail

UDOT 07B1-05.4

Responsibility: UDOT Mail Staff

1. Code with the correct PO box number and return the mail item to State Mail for delivery to the originating division or office.
Purpose
The Lester Farnsworth Wire Memorial Library exists primarily for the use of the employees of the Utah Department of Transportation (Department) and the Department of Public Safety (DPS) with limited services to the community. The Wire Library is a specialized library and consists primarily of technical collections with some general works.

Library Hours and Staff Telephone Numbers
Monday through Friday from 8:00 a.m. to 5:00 p.m.
Telephone: (801) 965-4626

Materials and Services
1. A collection of over 19,000 publications, magazines, DVDs and CDs
2. Reference Assistance
3. Study Area
4. Technology Transfer Training Room equipped with a computer, a fixed overhead projector, and a star board
5. Interlibrary Loan (nationwide)
6. Copy Machine
7. P.E. and Civil Engineering exam study references
8. Transportation Standards and Manuals

Policy
Library materials can be checked out through the Library Technology Transfer Technician and should be returned directly to the Library.
Borrowing Privileges

Library materials can be loaned out to current Department or DPS employees and to rotational students. External customers may use library materials within the Library and may make photocopies if needed.

Loan Periods

1. **Government Documents** such as Utah Codes or United States Codes are for reference only. The Library Technology Transfer Technician may make exceptions.

2. **General Collection** unless on reserved status can be checked out for one month, with a four-week renewal option.

3. **Reserve** items are loaned according to the discretion of the Librarian, who will consider the number of patrons waiting for these materials. Reserves will be made according to the order in which they were received by the Library Technology Transfer Technician. Reserve requests may be made by email or telephone. Renewals can be made if item has not been requested.

4. **Magazines** are loaned for one month with a four-week renewal option.

5. **Audio/Visual Media** unless on reserved status are loaned for one month, with a four-week renewal option.

Overdue Materials and Late Fees

1. **Due Date** will be stamped on items being checked out by the Library staff on the top right-hand corner. This will be the official date when the item should be returned.

2. **Grace Period** of 10 days past the due date will be allowed before fines are incurred.

3. **Late Fees** are not charged if the item is returned within 10 working days of the established due date. On the 11th day, a fine of $1 is charged, with an additional ten cent per day charge thereafter. Reserve items are not permitted a grace period and the patron will be charged $1 on the first day overdue with a subsequent charge of twenty cents per day thereafter. The borrower will need to pay for the cost of replacing them if library materials are lost or stolen.
The Library Technology Transfer Technician will submit a statement of replacement costs and processing fees to the Comptrollers Office, who will then send a billing to the borrower for payment if materials are not returned to the Library within 90 days of overdue notification. Failure to satisfy payment could result in collection agency involvement.

**Borrower Responsibilities**

1. All materials borrowed by him or her.
2. All losses or damages to library materials checked out to her or him.
3. Prompt payment of any charges incurred.
4. Immediate notification to the Library Technology Transfer Technician of lost or stolen materials checked out in your name.

**Librarian Responsibilities**

1. Maintain all materials, furnishings, and equipment housed in the Library.
2. Furnish the Library with the essential materials required to meet the needs of both employees and community patrons.
3. Assign call numbers and catalog all materials received into the automated Library database.
4. Provide assistance, when needed, in locating information or in using Library resources.
5. Provide a clean, quiet, and orderly study area for patrons.
6. Publish a monthly list of all new materials received that are available in the Library.
7. Keep an inventory of all materials checked-out and in and issue overdue notifications within one week of overdue date.
8. Keep an inventory of all lost or stolen materials and issue billing statements when applicable.
9. Receive, complete, and notify patrons of interlibrary loan arrangements.
Food and Drink

No food or drinks are allowed in the Library. Spilling food and drink in any library can result in expenses incurred due to damage to furnishings, library materials, or equipment. Food items can also attract pests such as insects and rodents.

Copyright Restrictions

The Lester Wire Library must comply with the copyright law (title 17, U.S. Code) and the accompanying guidelines when receiving requests for photocopied material. The copyright law governs making photocopies or other reproductions of copyrighted material. Libraries and archives are authorized to furnish a photocopy or reproduction under certain conditions specified in this law. One of these specified conditions is that the photocopy or reproduction is not to be used for any purpose other than private study, scholarship, or research. Any user may be liable for copyright infringement if he or she makes a request for or later uses a photocopy or reproduction for purposes in excess of ‘fair use’. The Librarian reserves the right to refuse a copying request if in his or her judgment fulfilling of the request would involve violation of the copyright law.

Interlibrary Loan Requests

1. **When and how is the loan request placed?** You have the option of requesting an interlibrary loan search after determining that a book or journal article is not a part of the “Wire Library” collection. The Librarian will send an ILL electronic request to the State Library after the requestor provides as much information about the material as possible such as Title, Author, or Publisher.

2. **How long will it take to receive the materials requested?** The entire transaction between the initial request of the loan and delivery to the patron generally is about 7 to 15 working days, depending on the location of the lending library. Electronic versions may arrive sooner. The Department Librarian will contact you on the day the loan arrives.

3. **How long may I keep materials?** Loan periods are determined by the lending library, though usually two to four weeks are allowed. Periodicals are rarely available for loan but articles are usually photocopied or sent electronically according to the copyright law and will not need to be returned. A fee may or may not be charged for this service depending on the lending library.

4. **Can I renew Interlibrary Loan materials?** Some lending libraries will not renew Interlibrary Loan books but many will. Any requests for renewing ILL materials must be made through the Librarian before the due date and should be requested only when absolutely necessary.
5. **Who do I return the loaned materials to?** All interlibrary loan materials need to be returned to the Department Librarian at least one week before the due date to allow for mailing time.

6. **What if I return the materials late?** Overdue fees vary from library to library. A fine of 50 cents per day, per item, is typical. There are no grace periods. Overdue charges will be billed directly to the borrower.
Experimental Features and Evaluation of New Products

Purpose
To allow vendors, suppliers, and contractors an avenue to have their products considered for use in UDOT projects. To document product evaluation through research field performance testing as an experimental feature.

Policy
To establish and place responsibility for conducting experimental feature projects and/or the evaluation of new products. This evaluation process includes the establishment of lines of authority, preparing proposals or work plans, evaluation techniques, preparation of necessary reports, documents, and implementation.

The experimental feature or new product may be either a material process, method, equipment item, traffic operation device, etc., that has a potential value to the Utah Department of Transportation.
Responsibility: Engineer or other Interested Individual (Instigator)

Actions

1. Meets with Development Engineer to discuss a proposed experimental feature.

Responsibility: Development Engineer

2. Reviews the proposed experimental feature with the Research Program Manager and Engineer for Research and Development.

3. Reviews the proposed experimental feature with the FHWA Research & Technology Transfer Engineer for:
   (a) Compliance with FHWA procedures,
   (b) Information the FHWA engineer or the engineer’s office may have that would be of assistance in the project, particularly data that may be available from federal or state agencies, and
   (c) Obtaining FHWA concurrence for the project.

4. Informs the instigator as to acceptance or rejection of the proposed study.

5. Upon acceptance of the established need as an experimental feature, categorizes and assigns a Principal Investigator in conjunction with the instigator’s recommendations.

Responsibility: Principal Investigator

6. Prepares and submits work plan to Development Engineer in accordance with guidelines available at the Research Section Development Unit.

Responsibility: Development Engineer

7. Reviews work plan with sponsor for completeness and obtains necessary authorizations.

8. Returns work plan to Principal Investigator and coordinates the steps as outlined in the work plan.
Responsibility: Principal Investigator

9. Prepares other documents as necessary in cooperation with the Conducting Division or Region.

10. Assigns duties to the Secondary Investigator.

Responsibility: Conducting Division or Region

11. Works with the Secondary Investigator for construction procedures, etc.

Responsibility: Secondary Investigator

12. Builds, install, monitors, etc., the feature.

Responsibility: Principal Investigator

13. Evaluates, prepares, and submits the required reports to the Development Engineer for review before interim and/or final reports are published.

Responsibility: Development Engineer

14. Reviews interim and/or final reports and recommendations. Submits copies to Research Program Manager for final review prior to publishing.

Responsibility: Research Program Manager

15. Reviews interim and/or final reports and recommendations prior to publishing. Submits edits to Development Engineer.

Responsibility: Development Engineer

16. Coordinates final edits with Principal Investigator and publishes interim and/or final reports and recommendations.
Responsibility: Product Manufacturer or Representative

Actions

1. Meets with potential users of the product.

Responsibility: Product Manufacturer Representative or Potential User

2. Refers product manufacturer with recommendations to the Development Unit for evaluation.

Responsibility: Product Manufacturer or Representative

3. Meets with Development Unit to discuss product. Representative will be informed that Product Evaluation Form R-52 must be completed and returned to the Development Unit before any action or testing takes place.

Responsibility: Research Specialist

4. Reviews completed Form R-52 to accomplish the following:

   (a) To point out the merits of the product with primary and alternative uses if any.

   (b) To familiarize the Development Unit with the product in general.

   (c) To enable the Development Unit to collect questions and submit them to the manufacturer for consideration prior to a formal meeting or demonstration.

   (d) To aid in the appointment of the best qualified methods, persons, and/or divisions to evaluate the product.

   (e) To make sure vendor has adequate independent test data to substantiate his claim.

   (f) If the product has been used by other states, check with that state concerning the work and performance of the product.
5. Informs the product representative as to the status of the products analysis in regards to acceptance, rejection, or that further analysis is warranted before specified conclusions can be ascertained. If none of the previous apply then the analysis will be filed for informational purposes only for possible review or consideration at a later time.

6. Assigns Principal and Secondary Investigators to be in charge of all engineering analysis for procedures used in product evaluation.

**Responsibility:** Principal Investigator

7. If necessary will meet with the product representatives to discuss the product and its application.

8. Initiates, conducts, and documents product evaluation; then meets with Research Specialist and Development Engineer to discuss results.

9. Completes final reporting for experimental features and provides research recommendation and implementation plan.
Responsibility: Development Engineer

Actions

1. Submits the results of the experimental feature or new product, with recommendations in the proper format, to the New Products Evaluation Panel.

2. Directs the preparation of experimental results in useable form for final implementation as specifications, standards, procedures, etc., and transmits to the Standards Committee.

Responsibility: Standards Committee

3. Approves and adopts results as a standard operating practice, specification, standards, procedures, etc.
Purpose
To establish design guidelines for Utah Department of Transportation (Department) projects.

Policy
The Project Delivery Networks and supporting documentation will be used by all designers of Department projects. All project information will be expressed in inch-pound measurements.
Purpose
To designate acceptable project design standards for the Utah Department of Transportation (Department).

Policy
All projects administered by the Department will be designed to meet the existing and future traffic needs in the most economical manner with emphasis on safety, durability, and maintainability. All applicable Department policies and procedures, standard and supplemental specifications, standard and supplemental drawings, manuals of instruction, and guidelines must be followed as a minimum. The latest accepted edition of the following design standards must be followed unless the Department has formally required an alternative standard.

1. AASHTO Policy on Design Standards – Interstate System
2. AASHTO – A Policy on Geometric Design of Highways and Streets
3. AASHTO Roadside Design Guide
4. AASHTO LRFD Bridge Design Specifications
5. Manual on Uniform Traffic Control Devices for Streets and Highways

Any deviation from these guidelines requires a written approval from the appropriate division.

An additional resource a designer should consider is the NACTO Urban Street Design Guide.
Completing and Archiving As-built Construction Plans

UDOT 08-03

Effective: October 1, 2002 Revised: July 18, 2013

Purpose

To provide guidance for as-build construction plans for the Utah Department of Transportation (Department).

Policy

All As-built drawing must comply with the Department CADD standards.
**Procedures**
As-Built Construction Plans  
UDOT 08-03.1

**Responsibility:** Contractor

**Actions**

1. Return all surveying and design data to the resident engineer after project completion marked “as staked/constructed” drawings clearly showing all final dimensions, lines, grades, tie-ins, and deviations from contract plans.
   
   a. In MicroStation format or
   
   b. A red-lined hard copy plan set

**Responsibility:** Resident Engineer

2. Review red lined drawings or modified CADD files once project is constructed for accuracy and completeness.

**Responsibility:** Project Manager, Resident Engineer, Construction Engineer, Preconstruction Engineer, and Design Engineer

3. Review red lined drawings or modified CADD files once project is constructed.

**Responsibility:** Design Engineer

4. Lessons Learned information submitted to Lessons Learned.

5. Modify CADD files if not already modified.

6. Place As-Built drawings back into the CADD Standard project directory structure.

**Responsibility:** Project Manager

7. Notify the ETS Engineering Support Manager of completion of As-Built construction Plan and the address on the server where they can be retrieved and archived.

**Responsibility:** ETS Engineering Support Manager

Purpose
To establish authority, guidance, and requirements for managing transportation projects and program costs for the Utah Department of Transportation (Department).

Policy
The Utah Transportation Commission (UTC) is designated by State Law to program money to transportation projects and programs. The UTC sets project budgets through Commission action. The Department manages project and program budgets as outlined within UTC 01-01 policy.

Definitions

Commission Approved Amount (CAA)
The UTC sets project budgets through Commission action. The Commission Approved Amount is the dollar amount programmed by the commission for the project.

Construction Estimate
The designer’s expected construction costs to build the project or the estimated summation of unit price bid items and related construction costs.

Total Project Cost (TPC)
The Total Project Costs of a project are all the costs to complete a project. The components of costs are:
- PE (Preconstruction Engineering)
- CE (Construction Engineering)
- Construction Costs
- Utilities work
- Right of way
- Change orders
- Contract modifications
- Incentives
- Other Direct and Indirect costs attributable to a project

Total Project Cost Estimate (TPCE)
The TPCE is the estimated total project costs before bid. This includes the Estimated Total Project Costs plus a project specific contingency to deal with risk, change orders, incentives, and contract modifications.
Procedure
Implementation of Project and Program Cost Control  UDOT 08-04.1

Responsibility: Executive Director and Deputy Director

Actions

1. Manage scope, schedule, budget, and quality for all projects and programs approved by the UTC and administered by the Department.

2. Program projects within the programs funded by the UTC.

Responsibility: Region Director & Region Program Manager

3. Manage the scope, schedule, budget and quality of the program of projects within their Region.

4. Designate a Project Manager for each project.

Responsibility: Project Manager

5. Responsible for scope, schedule, budget, and quality of a project from preconstruction through project closeout.

6. Verify the Construction Estimate is within the amount budgeted for construction costs and that the TPCE does not exceed the CAA before bid.

7. Keep the TPCE up to date in the Electronic Program Management (ePM) system and adjust costs and cost estimates as appropriate to manage the project.

8. Manage Total Project Costs throughout the life of the project to be less than the CAA.

9. Process change orders as appropriate ensuring TPC remains less than CAA.

a. Acquire Region Director approval to execute change orders that cause TPC to exceed CAA or if change order exceeds $100,000.
Responsibility: Region Director

10. Manage the Region program for all Region projects. Use the Region Director Contingency Funds or working with the Director of Program Development, allocate funds from other sources to projects as necessary.

11. Approve any change from approved projects CAA resulting in a cumulative difference of +/- $500,000 or 25 percent, whichever is less.
   a. Any changes beyond these limits must be approved by the UTC.

12. Adjust project scope as appropriate to fit projects within CAA.
   a. Request Commission approval before proceeding when a project scope changes.

Responsibility: Transportation Commission

13. Refer to UTC 01-01.

Responsibility: Executive Director and Deputy Director

16. Review, approve, and award bids as appropriate when bids exceed Construction Estimate by 10 percent.

17. Provide the Utah Transportation Commission with reports on project and program budget, scope, and schedule status.
Purpose
To establish guidance and requirements for addressing safety and mobility impacts of Utah Department of Transportation (Department) work zones.

Policy
Management of work zone safety and mobility impacts for all projects, permits and maintenance activities.

Definitions

Significant Projects
Significant projects are all interstate system projects, permits and maintenance activities within the boundaries of a designated Metropolitan Planning Organization that occupy a location for more than three days with intermittent or continuous lane closures.

Non-Significant Projects
All projects, permits and maintenance activities not meeting the definition of a significant project.

Transportation Management Plan (TMP)
A TMP is comprised of strategies to manage project work zone impacts. The amount of effort required depends on the level of impact anticipated. A TMP must contain a Traffic Control Plan (TCP) and may also consist of:

- Work zone capacity analysis (WZCA)
- Constructability Plan (CP)
- Public Information (PI) plan

Where:
- A TCP describes measures consistent with Utah MUTCD, Standard Drawings or projects plans to be used for facilitating road users through a work zone or an incident area and compares the benefits as well as potential functional faults of work zone alternatives.
- The WZCA determines how traffic will be impacted by the traffic control, and public costs associated with these impacts.
- A CP determines the needed baseline window to complete the work, and costs associated with alternatives to that baseline to balance mobility, safety and constructability.
- The PI component includes communication strategies that seek to inform affected road users, the public, area residents and businesses, and appropriate public entities about the project, the expected work zone impacts, and the changing conditions on the project. More than just informing, PI can be used to reduce traffic demand by alerting motorists of alternative routes. Consider coordination between other projects in the TMP.
Procedure
Follow the procedure outlined in *Transportation Management Plan Guidelines* to develop the TMP.
Use of Corporate Logos or Branding Identification

Purpose
To prohibit the use of corporate logos or branding identification on Utah Department of Transportation (Department) owned structures, facilities, documents, or products for any public purpose.

Policy
Consultant or Contractor logos or branding identification will not be used on any project deliverable or project physical feature within the project limits.

Logos or branding identification other than those permanently attached to vehicles, equipment, and apparel are prohibited.
Purpose
To establish the policy, procedure, and responsibility for the Utah Department of Transportation (Department) for processing errors and omissions on consultant projects found during design, advertising, or construction and to make recommendations for resolution with the consultant design company or recommendations for settlement to the Department’s Deputy Director.

Policy
The Department expects engineering consultants designing transportation projects to exercise an appropriate standard of care and to provide quality services to the Department. The Department will provide or make available in hard copy or through the Department’s Web site all Department manuals, specifications, drawings, and policies and procedures needed in support of the consultant contract. Additionally the Department will develop and maintain a Quality Control/Quality Assurance (QC/QA) program and checklist that provides for the review of plans and specifications throughout the Design Process.

The Department will take steps to address the defective designs, plans, or specifications, identify corrective action, and resolve the consequences. The Project Manager will take appropriate steps once notified of an alleged error or omission to decide if the error or omission is the result of negligence or gross negligence. The Project Manager will partner with the consultant team in order to resolve the issue at the lowest level possible and in the best interests of all concerned parties in the shortest and least costly method possible.

The Department will take action to recover costs for errors and omissions attributed to the negligence or gross negligence of a consultant in accordance with the procedures outlined in this policy.

The Errors and Omissions Claims Review Board made up of the following will convene when required:
   a. Project Development Director as chair
   b. Risk Management Representative
   c. American Council of Engineering Companies (ACEC) representative as determined by Consultant Services Manager (ACEC representative can not be associated with the Consultant Firm involved in this review.)
   d. Engineer for Preconstruction (Secretary, non-voting)
Background
On occasion, errors and omissions are the result of negligence or gross negligence. Errors and omissions are normally identified during construction, but could also be identified during the design and advertising phases.

The discovery of an error or omission triggers the gathering of information on the scope of the problem, actions and responsibilities of the various parties, and the potential validity and extent of any claims that may arise.

“The Federal Highway Administration’s (FHWA) general policy is that each error-and-omissions issue should be considered on its own merits. In general, a consultant should not be held responsible for additional construction costs resulting from such errors, so long as they are not the result of gross negligence or carelessness. Unless the agency-consultant agreement holds otherwise, ‘federal-aid participation may be justified for the type of consultant errors that might occasionally occur despite the exercise of normal diligence’ if: 1) The error is not due to gross negligence or carelessness; and 2) Carelessness, negligence, incompetence, or understaffing by the state agency are not contributing factors.” (Best Practices in the Management of Design Errors and Omission, Chapter 2, Federal Highway Administration Policy and Data, Philosophy and Policy Guidance as prepared by Michael J. Markow, P.E., Consultant, Teaticket, MA, March 2009.)

Title 23 of the Code of Federal Regulations requires State DOTs to have written procedures “in determining the extent to which the consultant, who is responsible for the professional quality, technical accuracy, and coordination of services, may be reasonably liable for costs resulting from errors or deficiencies in design furnished under its contract.” (§23 CFR 172.9(a)(6))

Definitions
Consultant
A professional retained by the Department to provide services.

Error
An incorrect or insufficient design detail; a mistake in judgment.

Gross Negligence
A conscious and voluntary failure to meet the standard of care, which is likely to cause foreseeable grave injury or harm to persons, property, or both.

Negligence
Failure of a professional to meet the standard of care in the performance of professional services.
**Omission**
A failure to include an element, feature, system, or equipment necessary to the complete function of a project; a failure to perform.

**Standard of Care**
The degree of attentiveness, caution, and prudence that a reasonable professional would exercise in the circumstances.
Procedures
Discovery, Mitigation, and Resolution of Errors and Omissions in Consultant Projects

Responsibility: Department, Consultant, or Contractor Personnel

Actions

1. Notify the Department Project Manager (PM) of a design conflict, problem, or alleged error or omission if discovered in the Design Phase or post-construction.

   or

2. Notify Department Resident Engineer (RE) of a design conflict, problem, or alleged error or omission if in the Advertising or Construction Phase.

3. Provide as much supporting information and documentation as appropriate.

Responsibility: PM or RE

4. PM and RE coordinate regarding the design conflict, problem, or alleged error and omission issue taking into account all information and documentation available.

5. Determine the magnitude of the issue and whether engaging the Consultant in the resolution of the issue is required.

Responsibility: PM

6. Notify the Consultant of the issue and provide all information and documentation received in writing.

7. Work with Consultant to resolve design problems.

8. Discuss financial responsibility with the Consultant.
**Responsibility:** Consultant

9. Determine if the issue will be corrected or escalated for resolution and notify the PM that the Consultant will:

   a. Take actions to correct the issue and will negotiate financial responsibility with the PM.

   or

   b. Not accept responsibility for the issue.

**Responsibility:** PM

10. Discuss the issue with Consultant and resolve.

11. Escalate to the Region Director.

**Responsibility:** Region Director

12. Determine urgency of the issue and whether to fix regardless of responsibility.

13. Facilitate resolution of the issue.

14. Send formal notification of claim if resolution unsuccessful.

15. Contact Engineer for Preconstruction and request the Errors and Omissions Claims Review Board be convened.

**Responsibility:** Errors and Omissions Claims Review Board

16. Schedule meeting and invite PM and Consultant and others as appropriate, to attend the informal review.

17. Hear the Department’s claim and the Consultant’s response. Present all supporting documentation regarding the claim to the Board in writing on the day of the hearing.

18. Determine recommendation for resolution of the claim in a separate meeting and submit to the Deputy Director of Transportation within 30 calendar days of the claim hearing.
Responsibility:  Department Deputy Director

19. Notify Consultant of the decision of the Department within 15 calendar days of the Errors and Omissions Claim Review Board decision.

20. Notify internal parties and determine if legal action required if issue not resolved.
Attachment - Errors and Omissions Process

Error & Omissions Policy Flowchart

1. Design Conflict or Problem Identified
   - Advertising or Construction Phase? (Yes/No)
     - Yes: Notify & send supporting documentation of Design Conflict or Problem
     - No: PM reviews Design Conflict or Problem

2. Does magnitude of issue require involving the Consultant? (Yes/No)
   - Yes: PM notifies and sends supporting documentation of Design Conflict or Problem
   - No: PM determines appropriate course of action & resolves

3. PM & Consultant work to resolve Design Conflict or Problem
   - Consultant takes action to correct issue (Yes/No)
     - Yes: End
     - No: Resolution of Financial Responsibility

4. Deputy Dir. determines if legal action is required? (Yes/No)
   - Yes: Deputy Dir. notifies Consultant of Dept decision
   - No: Legal action started

5. CRB submits recommendation to Deputy Director and Consultant
   - Is issue urgent? (Yes/No)
     - Yes: Direct PM & Consultant to address issue
     - No: CRB submits resolution of issue with PM & Consultant

6. Reg Dir. requests Errors & Omissions Claims Review Board be convened.
   - Issue resolved? (Yes/No)
     - Yes: End
Authorizing Training Courses For Department of Transportation Employees  
UDOT 08-08  
Effective: March 14, 1980  
Revised: February 23, 2015

**Purpose**
To provide education and training for the Utah Department of Transportation (Department) employees engaged or to be engaged in federal or state work.

**Policy**
Individual training needs are to be identified through employee-leader evaluations and the Department Training Committee who determinations the training needs to support priority areas to carry out the provisions of this policy.

The Leadership Trainer/Rotational Engineer Program Training Manager is responsible for administering this program and to follow related requirements. These responsibilities include coordinating internal processing, assisting Department with developing training needs, and assuring eligibility of attendees and costs for state participation.

The Department will ensure equal employment opportunity in that no employee will be excluded from participation in, be denied the benefits of, or otherwise be subjected to discrimination on the grounds of race, color, religion, sex, national origin, disability, or age.

**Background**
This policy has been written to support and encourage training within the Department to utilize training funds that are available to the maximum level.

**Definitions**
The following definitions are offered to distinguish sources and types of federal funded and State-only funded training.

1. National Highway Institute (NHI) – Provides training in the engineering and technical areas. A course catalog is available for review.

2. Reimbursement for Employment of Public Employees on Federal-aid projects, FHPM 1-4-5 – Costs are reimbursed as part of construction and are charged to selected construction projects. These funds are referred to as indirect costs in the procedure.

3. State only – Costs are only reimbursable from training budget established by requesting regions or groups.
Procedures
UDOT Training Programs Provide or Reimbursed With State Funds  UDOT 08-08.1

Responsibility:  Originator

Actions
1. Meet with leader to evaluate training need.

Responsibility:  Leadership Trainer/Rotational Engineer Program Training Manager
2. Statewide training: Contact Region or Group Leaders for nominations.
3. Evaluate nominations
4. Determine list of attendees.
5. Meet with the Department Training Committee for funds approval.

Responsibility:  Originator
6. Initiate preparation of checklist form from Training Technician based upon available information with originator or leader evaluation.

Responsibility:  Leadership Trainer/Rotational Engineer Program Training Manager
7. Contact source of training if complete information is not available.
8. Complete statewide training checklist form from Training Technician for requests submitted from originating personnel.
9. Receive completed checklist and evaluation from originator.
10. Determine if training need is valid and type of funding available for use in completing Forms R-708.
11. Review originator’s written justification and determine if Form R-708 is acceptable for processing.
12. Submit training application and necessary documentation to Department Training Committee.
**Responsibility:** UDOT Training Committee

13. Approve or disapprove training.

**Responsibility:** Comptroller

14. Direct approved requests to the Finance Department for financial approval.

15. Distribute Request for State Project Authorization with authority number to Leadership Trainer/Rotational Engineer Program Training Manager.

**Responsibility:** Leadership Trainer/Rotational Engineer Program Training Manager

16. Send copy of approved training application and checklist to originator or Region or Group Leader.

**Responsibility:** Originator

17. Notify payroll clerks of approval and account number.

18. Obtain leader’s signature for attending and completing training course on the training application.

19. Submit training application and checklist to Leadership Trainer/Rotational Engineer Program Training Manager

**Responsibility:** Leadership Trainer/Rotational Engineer Program Training Manager

20. Verify attendance and billing for direct costs.

21. Sign billing

22. Submit to Comptroller.

**Responsibility:** Comptroller

23. Review costs charged and correct where necessary.
Purpose
To establish the policy for the Utah Department of Transportation (Department) for highway geometric standards.

Policy
Approved highway geometric standards will serve as guidelines in the development and maintenance of the State Highway Plan, in the evaluation of existing highway and bridge deficiencies, in preparation of Project Plans in the design, and construction of highway facilities.

Optimum highway geometric standards will be established and maintained for all classes of State highways consistent with available funding and traffic requirements estimated for a normal future period of twenty years. These standards will be established within the framework of the policies of the American Association of State Highway and Transportation Officials.

The results of continuing accident analysis will be considered in the development and subsequent revision of highway geometric standards.
**Purpose**

To establish the policy and procedure for the Utah Department of Transportation (Department) for procuring consultants’ services and the preparation of all consultant contracts, that pertain to planning, development and management of plans and contracts for implementing capital improvements. This Policy provides an outline of basic steps to be followed. Anyone desiring to use consultants should follow the detailed information regarding items such as regulations, rules, proposals, and samples of contracts that can be found in the Consultant Services Manual of Instruction.

**Policy**

The Consultant Services Unit manages the Department’s Consultant Services Program. The Unit provides technical staff support to all agencies and offices for the preparation of contracts, modifications, work task orders, requests for qualifications, and Federal-aid agreements.

For both Federal aid and State aid contracts, the Consultant Services Manual of Instruction defines the methods of selection, proposal review, contract preparation, and monitoring performance of consultants.

The Consultant Services Unit provides training to all consultants through Unit sponsored workshops.

The Consultant Services Unit identifies qualified consultants based on procedures set forth in the Consultant Services Manual of Instruction.

The Consultant Services Unit maintains and provides documentation of all activities involved with selecting and using consultants.

**Background**

The Department of Transportation in the performance of its duties often finds it necessary to use the services of consultants. Accordingly, the Department will develop, publish, and distribute procedures and guidelines, as set forth in the Consultant Services Manual of Instruction, for procuring the services of consultants.
Responsibility: Originating Division, Office, or Region

Actions

1. Determine the need for consultant services.
2. Complete all actions set forth in the Consultant Services Manual of Instruction.
3. Forward all required information to the Consultant Services Unit.

Responsibility: Consultant Services Unit

4. Work closely with the various divisions, offices, and regions in defining the scope of work and in preparing requests for qualifications or proposals in order to obtain specific consultant or design-build services.
6. Complete the following as part of these actions:
   a. Verify all Federal Highway Administration (FHWA) and State rules and regulations are complied with.
   b. Establish consultant overhead rates that meet Federal Acquisition Regulations (FAR).
   c. Receive proposals.
   d. Coordinate the process of determining the selected proposer.
   e. Negotiate fee and contract terms with consultants.
   f. Prepare engineering service contracts.
   g. Administer contracts.
   h. Prepare contract modifications.
   i. Process payment requests.
   j. Coordinate actions with the FHWA as set forth in rules, regulations, and manuals of instruction.
Placement of Monument Features and City Logo Panels on State Highways  
UDOT 08A-02  
Effective: November 5, 2014  
Revised: New

Purpose
To define the requirements for placement of monument features or city logo panels within the Utah Department of Transportation (Department) right-of-way of State highways.

Policy
Monument features may be installed on State highways when all of the following criteria are satisfied:

1. A local governmental agency submits to the Region office a written request to install monument features. Include a list of the locations, a map showing the locations, and a drawing and description of the monument feature with building materials in the request. The design of the feature must follow the “UDOT Monument Feature and City Logo Panel Design Guidelines.”

2. One monument feature may be allowed on each highway in each direction.

3. Sufficient right-of-way must be available for installation of the monument feature while maintaining safety features of the highway. Consult the latest edition of the AASHTO Roadside Design Guide when considering if the monument feature will be allowed.

4. Be in full compliance with the Region’s permitting process.

City logo panels may be installed on interstates and limited access highways when all of the following criteria are satisfied:

1. A local governmental agency submits to the Region office a written request to install city logo panels. Include interchange location, a map showing the locations, and a drawing and description of the city logo panel with building materials in the request. The design of the panel must follow the “UDOT Monument Feature and City Logo Panel Design Guidelines.”

2. One city logo panel may be allowed in each direction of mainline traffic.

3. The interchange must be within city limits. City logo panels are allowed at only one location if there are multiple interchanges within the city limits.

4. Be in full compliance with the Region’s permitting process.
Installation of monument features or city logo panels will be recommended by the Region Traffic Engineer and approved by the Region Director.

An executed cooperative agreement between the local governmental agency and the Department will be in place before a permit is issued for construction of the monument feature or city logo panel if the placement of a monument feature or city logo panel is approved. The agreement will include, but not be limited to:

a. The local governmental agency will maintain the monument feature or city logo panel in an aesthetically pleasing condition and all safety appurtenances will be maintained.

b. Hold the Department harmless and indemnify for any incident or event relating to the placement, design, construction, or operation of the monument feature or city logo panel.

c. Hold the Department harmless for any damages to the monument feature or city logo panel due to routine maintenance, including but not limited to snow removal and vegetation control.

d. Allow for the relocation or removal of the monument feature or city logo panel as directed by the Department at the local governmental agency’s expense.

Definitions

City Logo Panels
Any wall mounted panel, non-integral or non-required highway panel that will communicate the name of a local municipality.

Monument Features
Any freestanding structure or feature, non-integral or non-required highway feature that will communicate the name of a local municipality.
Purpose
To establish the policy and procedure for conducting traffic noise studies, implementing noise abatement measures and coordinating with local municipalities and the public to verify that all feasible and reasonable mitigation measures are incorporated into projects to minimize noise impacts and protect the public health and welfare.

Policy
The Utah Department of Transportation (UDOT, Department) recognizes a commitment to minimize noise impacts generated by highway traffic that may adversely impact human activity and the quality of life of residents located in the vicinity of heavily traveled roads. UDOT will install noise abatement measures according to the guidelines and requirements set forth in the “Procedures” section of this Policy. This Policy was developed by UDOT and reviewed and concurred with by the Federal Highway Administration (FHWA). The highway traffic noise prediction requirements, noise analysis, and noise abatement criteria in this Policy are consistent with federal regulation 23 CFR 772 - Procedures for Abatement of Highway Traffic Noise and Construction Noise and Utah Administrative Code R930-3- Highway Noise Abatement.

Definitions
Abatement
A reduction in noise level resulting from implementation of a mitigation measure.

Approach Criteria
1 decibel (dBA) lower than the appropriate Federal Highway Administration (FHWA) noise abatement criteria.

Auxiliary Lane
Generally a lane between a highway entrance ramp and an exit ramp.

Benefited Receptor
A noise sensitive receptor that receives a noise reduction of at least 5 dBA. The number of benefited receptors will be used in determining if a noise abatement measure has a reasonable cost.

CFR
Date of Public Knowledge
The date of approval of the Categorical Exclusion (CE), the Finding of No Significant Impact (FONSI), or the Record of Decision (ROD), as defined in 23 CFR 771. For State-funded projects, the Date of Public Knowledge is the date of approval of the environmental document.

Decibel (dB)
A unit for measuring sound levels derived from the difference between sound pressure levels.

Decibel, A-weighted Scale (dBA)
Sound levels are typically measured using a statistically weighted scale (dB). The A-weighted scale most closely represents the range of human hearing; highway sound levels are described using the A-weighted scale (dBA).

Design Year
The future year used to estimate the predicted traffic volume for which a highway is designed.

Design Noise Level
The worst hour traffic noise level likely to occur throughout the life of the project. Level of Service (LOS) C traffic volumes will be used to calculate design noise levels unless the Director of Environmental Services approves the use of another LOS for a specific project.

Existing Noise Levels
The worst hourly noise level currently occurring from natural and mechanical sources and human activity in the project area generally occurring around the morning and afternoon peaks.

Feasibility
The combination of acoustical and engineering factors considered in the evaluation of a noise abatement measure.

Front-Row Receptor
A noise-sensitive receptor that is located adjacent or nearest to the transportation facility.

FHWA
Federal Highway Administration

Impacted Receptor
A receptor that has or is predicted to have noise levels approaching or higher than the noise abatement criteria threshold for the appropriate category, or which is predicted to receive a substantial noise increase, defined as 10 dBA or more over existing noise levels.

Leq
The equivalent (energy average) steady-state sound level which in a
stated period of time contains the same acoustic energy as the time-varying sound level during that time period.

**Leq(h)**  
The hourly value of Leq.

**Level Of Service (LOS)**  
The relationship between traffic volume and traffic speed.

**Multifamily Residence**  
A residential structure containing more than one residence. Each residence in a multifamily dwelling is counted as one receptor when determining impacted and benefited receptors.

**Municipality**  
A city, town, county, etc., having its own incorporated government for local affairs.

**Noise Abatement Criteria (NAC)**  
Criteria established by FHWA based on land use type that defines when noise impacts occur.

**Noise Barrier**  
A wall between the highway noise source and the noise sensitive receptor(s) constructed to lower noise.

**Noise Sensitive Receptor**  
Any property where frequent exterior human use occurs and where a lowered noise level would be of benefit. For Activity Category D, in situations where there are no exterior activities to be affected by the traffic noise, the interior of the building will be used to identify a noise-sensitive receptor.

**Permitted**  
A commitment to develop land evidenced by a formal building permit issued to a developer by the local agency of authority.

**Property Owner**  
The current owner of record at the appropriate County Recorder's Office.

**Reasonableness**  
The combination of social, economic, and environmental factors considered in the evaluation of a noise abatement measure.

**Receptor**  
A discrete or representative location of a noise sensitive area(s).

**Receiver**  
An object in the noise model

**Residence**
A single family residence or each dwelling unit in a multifamily dwelling.

**Sensitive Land Uses**
Lands defined as NAC activity categories A, B, C, D or E in Table 1.

**Substantial noise increase**
An increase in noise levels of 10 dBA in the predicted noise level over the existing noise level.

**Statewide Transportation Improvement Program (STIP)**
A five-year plan of highway and transit projects for the State of Utah. The STIP is UDOT’s official work plan for developing projects through design to construction.

**Substantial Horizontal Alteration**
A project that halves the distance between the traffic noise source and the closest receptor, compared between the existing condition and the future build condition.

**Substantial Vertical Alteration**
A project that removes shielding therefore exposing the line-of-sight between the receptor and the traffic noise source by either altering the vertical alignment of the highway or by altering the topography between the highway and the receptor.

**Type I Project**
A project in conjunction with new highway construction or existing highway construction that alters the horizontal or vertical alignment or increases the number of through-traffic lanes, as defined below in Background Section A.1.

**Type II Project**
A project commonly referred to as a “retrofit” project to provide noise abatement along an existing highway. UDOT does not provide a Type II program.

**Type III Project**
A project that is not classified as either a Type I or Type II project.

**UDOT Noise Abatement Criteria (NAC)**
The noise decibel (dBA) value reflecting the approach criteria of 1 dBA below the NAC values listed in 23CFR 772 for each land use category.
Background

A. Applicability

1. Type I Project - Noise abatement will be considered for all Type I Projects where noise impacts are identified. A Type I Project is one that includes any of the following:
   a. The construction of a highway on new location; or a substantial horizontal alteration or substantial vertical alteration of an existing highway; or,
   b. The addition of a through traffic lane, the addition of a through traffic lane that functions as a High Occupancy Vehicle (HOV) lane, High Occupancy/Toll (HOT) lane, bus lane or climbing lane; or,
   c. The addition of an auxiliary lane, except for when the auxiliary lane is a turn lane; or,
   d. The addition or relocation of interchange lanes or ramps added to a quadrant to complete a partial interchange; or,
   e. Restriping existing pavement for the purpose of adding a through-traffic lane or an auxiliary lane; or,
   f. The addition of a new or substantial alteration of a weigh station, rest stop, ride share lot or toll plaza.
   
   If a project is determined to be a Type I Project under this definition, then the entire project area as defined in the environmental document is a Type I Project.

2. Type II Project - A project referred to as a “retrofit” project to provide noise abatement along an existing highway. The Utah Department of Transportation does not provide a Type II program.

3. Type III Project – A Type III project is one that does not meet the classification of a Type I or Type II project. Type III projects do not require a noise analysis.

B. Analysis of Traffic Noise Impacts

1. Noise impact and abatement analyses will include lands within Land Use Activity Categories A, B, C, D and E (Table 1) only when development exists or has been permitted. A development will be defined as being permitted when a formal building permit has been issued prior to the date the final environmental decision document is approved.

2. The traffic noise analysis will include the following:
   a. Identification of existing activities, developed lands, and undeveloped lands for which development is permitted. (See Section B.1)
   b. Determination of existing worst case noise levels. Design noise levels are calculated using the posted speed limit and the Level of Service (LOS) identified in the traffic analysis to determine average worst hourly traffic noise unless the Director of Environmental Services approves the use of another LOS for any specific project.
   c. Determination of future worst case noise levels. Design noise
levels are calculated using the design speed for future year and Level of Service (LOS) C traffic volumes to determine average worst hourly traffic noise unless the Director of Environmental Services approves the use of another LOS for any specific project.  

d. Determination of traffic noise impacts.
Table 1
Noise Abatement Criteria (NAC)
[Hourly A-Weighted Sound Level decibels (dB(A))]

<table>
<thead>
<tr>
<th>Activity Category</th>
<th>FHWA Criteria Leq(h)</th>
<th>UDOT Criteria¹ Leq(h)</th>
<th>Evaluation Location</th>
<th>Activity Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>57</td>
<td>56</td>
<td>Exterior</td>
<td>Lands on which serenity and quiet are of extraordinary significance and serve an important public need and where the preservation of those qualities is essential if the area is to continue to serve its intended purpose.</td>
</tr>
<tr>
<td>B</td>
<td>67</td>
<td>66</td>
<td>Exterior</td>
<td>Residential</td>
</tr>
<tr>
<td>C</td>
<td>67</td>
<td>66</td>
<td>Exterior</td>
<td>Active sports areas, amphitheaters, auditoriums, campgrounds, cemeteries, day care centers, hospitals, libraries, medical facilities, parks, picnic areas, places of worship, playgrounds, public meeting rooms, public or nonprofit institutional structures, radio studios, recording studios, recreation areas, Section 4(f) sites, schools, television studios, trails and trail crossings.</td>
</tr>
<tr>
<td>D</td>
<td>52</td>
<td>51</td>
<td>Interior</td>
<td>Auditoriums, day care centers, hospitals, libraries, medical facilities, places of worship, public meeting rooms, public or nonprofit institutional structures, radio studios, recording studios, schools, and television studios.</td>
</tr>
<tr>
<td>E</td>
<td>72</td>
<td>71</td>
<td>Exterior</td>
<td>Hotels, motels, offices, restaurants/bars, and other developed lands, properties or activities not included in A-D or F.</td>
</tr>
<tr>
<td>F</td>
<td>-</td>
<td>-</td>
<td></td>
<td>Agriculture, airports, bus yards, emergency services, industrial, logging, maintenance facilities, manufacturing, mining, rail yards, retail facilities, shipyards, utilities (water resources, water treatment, electrical), and warehousing</td>
</tr>
<tr>
<td>G</td>
<td>-</td>
<td>-</td>
<td></td>
<td>Undeveloped lands that are not permitted.</td>
</tr>
</tbody>
</table>

¹. Hourly A-weighted sound level in decibels reflecting a 1 dBA “approach” value below 23CFR 772 values
3. Primary consideration will be given to exterior areas where frequent human use occurs, in determining noise impacts. The interior of facilities may be evaluated if, following analysis of any outdoor activity areas, it is determined that exterior abatement measures are not reasonable or feasible or that such sites are far from or physically shielded from traffic noise impacts for Activity Category D.

4. UDOT considers a traffic noise impact to occur when either of the following situations is expected at a sensitive land use:

a. The future worst case noise level is equal to or greater than the UDOT Noise Abatement Criteria (NAC) in Table 1 for each corresponding land use category, or;

b. The future worst case noise level is greater than or equal to an increase of 10 dBA over the existing noise level. This impact criterion takes effect regardless of existing noise levels.

<table>
<thead>
<tr>
<th>Sound Level Change</th>
<th>Relative Loudness</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 dBA</td>
<td>No perceptible change</td>
</tr>
<tr>
<td>3 dBA</td>
<td>Barely perceptible change</td>
</tr>
<tr>
<td>5 dBA</td>
<td>Readily perceptible change</td>
</tr>
<tr>
<td>10 dBA increase</td>
<td>Perceived as twice as loud</td>
</tr>
</tbody>
</table>

5. Activity Categories F and G include lands that are not sensitive to traffic noise. There are no impact criteria for these land use types therefore noise abatement is not required. However, for Activity Category G, an estimate of the distance to the approach criteria must be provided to local governments. This may be accomplished by including a table or a figure displaying contours that show future noise levels. The distance from the edge of the roadway pavement to the where the worst hour $L_{eq}(h)$ levels of 66 dBA and 71 dBA occur must be shown.
C. Analysis of Noise Abatement

The noise analysis will identify traffic noise impacts at sensitive receptors, which will then be considered for noise abatement. The overall goal of abatement is to obtain substantial noise reductions, which may or may not result in noise levels below NAC levels. The two relevant criteria to consider when identifying and evaluating noise abatement measures for mitigation are (1) feasibility and (2) reasonableness. Noise abatement will be provided only if it is determined to be both feasible and reasonable.

1. Feasibility

The feasibility factors outlined below must collectively be achieved for a noise abatement measure to be considered “feasible.” Failure to meet these factors will result in the noise abatement measure being deemed not feasible and therefore not included in the proposed project. It is important to note that even if all feasibility factors are achieved, noise abatement must still meet all reasonableness factors in order to be included in the project.

a. Engineering Considerations – Engineering considerations such as safety, presence of cross streets, sight distance, access to adjacent properties, wall height, topography, drainage, utilities, maintenance access and maintenance of the abatement measure must be taken into account as part of establishing feasibility. Noise abatement measures are not intended to serve as privacy fences or safety barriers. Abatement measures installed on structures will not exceed 10-feet in height measured from the top of deck or roadway to the top of the noise wall. Noise walls will not be installed on structures that require retrofitting to accommodate the noise abatement measure. Noise abatement measures will be considered if the project meets the criteria established in this policy if structure replacement is included as part of the project. Abatement measures shall be consistent with general American Association of State Highway and Transportation Officials (AASHTO) design principles.

b. Safety on Urban Non-Access Controlled Roadways - To avoid a damaged wall from becoming a safety hazard, in the event of a failure, wall height shall be no greater than the distance from the back of curb to the face of proposed wall.

c. Acoustic Feasibility - Noise abatement must be considered acoustically feasible. This is defined as achieving at least a 5 dBA highway traffic noise reduction for at least 50% of front-row receptors.

When noise abatement is determined feasible the Department will determine whether its construction is reasonable by thoroughly considering the wide range of criteria described below. The UDOT Noise Abatement Measure Recommendation Checklist (See Checklist in the Appendix) will be completed and a decision on
mitigation documented in the project file. The decision to recommend or not recommend noise abatement will normally be the responsibility of the Region Environmental Manager. Concurrence will be obtained from the Project Manager and the Region Pre-Construction Engineer.

2. **Reasonableness**

The reasonableness factors outlined below must collectively be achieved for a noise abatement measure to be considered “reasonable.” Failure to achieve any of these factors will result in the noise abatement measure being deemed not reasonable and therefore not included in the project.

a. Noise Abatement Design Goal - Every reasonable effort should be made to obtain substantial noise reductions. UDOT defines the minimum noise reduction (design goal) from proposed abatement measures to be 7 dBA or greater for at least 35% of front-row receptors. In accordance with 23 CFR 772, no abatement measure shall be deemed reasonable if the noise abatement design goal cannot be achieved.

b. Cost Effectiveness – The cost of noise abatement measures must be deemed reasonable in order to be included in the project. Noise abatement costs are based on a fixed unit cost of $20 per square foot, multiplied by the height and length of the wall, in addition to the cost of any other item associated with the abatement measure that is critical to safety. The fixed unit cost is based on the historical average cost of noise walls installed on UDOT projects and is reviewed at regular intervals, not to exceed five years.

The cost effectiveness of abatement is determined by analyzing the cost of a wall that would provide a noise reduction of 5 dBA or more for a benefited receptor. A reasonable cost is considered to be a maximum of $30,000 per benefited receptor (Activity Category B) and $360 per lineal foot for Activity Categories A, C, D or E. If the anticipated cost of the noise abatement measure is less than the allowable cost, then the abatement is deemed reasonable.

c. Viewpoints of Property Owners and Residents - Viewpoints of property owners and residents (non-owners) must be solicited to determine if noise abatement is desired.

1. Balloting – As part of the final design phase of projects, the Department needs to establish whether property owners and residents are in favor of noise abatement measures. This process involves sending ballots to the following groups so they can indicate their preference for or against noise abatement measures:

   a) All benefited receptors (property owners and
A benefited receptor is one that would receive a reduction of 5 dBA or more as a result of noise abatement.

b) Receptors that border or that are directly adjacent, or both, to the end of a proposed noise wall that are not, by definition, benefited by the wall, will be allowed to cast a ballot.

The number of votes is established as follows:

- **Owner occupied residences**: The owner will have 1 vote.
- **Rental homes, multi-family residences and apartments**: The owner will have 1 vote per unit and the resident (non-owner) will have 1 vote for the unit.
- **Day care centers, hospitals, libraries, medical facilities, parks, picnic areas, places of worship, playgrounds, public meeting rooms, public or nonprofit institutional structures**: The owner will have 1 vote.
- **Commercial/industrial businesses**: The owner will have 1 vote per unit and, if applicable, the tenant will have 1 vote for the unit.
- **Mobile home parks**: The mobile home owner will have 1 vote. The lot owner, if different than the home owner, will have 1 vote.

c) **Properties owned by UDOT** – It is the policy of UDOT to abstain from voting as a receptor and these votes will not be calculated in the denominator of total votes described in the Section C(2)(c)(2).

2. **Assessing Ballots** - When the votes are counted, property owners’ votes will receive a multiplier factor of 5 compared to residents (non-owners) factor of 1. Any votes of residents (non-owners) from that property will be calculated as 20% of a vote if the owner votes to abstain.

Noise abatement will only be recommended if 75% of votes counted, favor noise abatement. The denominator used to calculate this percentage will equal the total number of votes. In addition, at least 75% of the total number of completed ballots must be returned to adequately assess if noise abatement measures are desired. Noise abatement measures will be deemed not reasonable if less than 75% of ballots are returned after balloting efforts are completed.

Ballots sent by U.S. Mail are deemed by the Department as “due diligence” in notifying the affected property owners and residents of possible noise mitigation measures in their area. Ballots will be sent by U.S. Mail to each property owner of
record and each residing household or resident. Each ballot will include a deadline for return to the Department. A second ballot with a new deadline will be sent by Registered Mail for ballots sent but not returned by the deadline. There will not be another opportunity to address noise impacts, once a noise wall is deemed to be unfeasible or unreasonable, until such time that another Type I project impacts the same area.

Results of the Balloting will be mailed to the same recipients as described above.

3. Noise Receptor Locations
Noise receptor locations are normally restricted to exterior areas of frequent human use. Interior locations included in Activity Category D are only used when there are no outside activities, such as in churches, hospitals, or libraries. Noise receptor locations, typically, are chosen at areas between the right-of-way line and buildings where frequent human activity occurs, such as a patio, pool, or play area in the yard of a home. The selection of the area of frequent human activity will be made in coordination with the administrator of the Department’s Noise Policy.

d. Noise Abatement Measures
1. The following abatement measures may be considered including a cost/benefit analyses to compare alternatives if a noise impact is identified:

   a. Noise walls.
   b. Noise insulation of Activity Category D land use facilities will be considered as a noise abatement measure when determined reasonable and feasible in accordance with 23 CFR

Instances may arise in which Department right-of-way is not the most prudent location for noise abatement measures, yet such measures can be feasible and reasonable, if built on adjacent property or adjacent public right-of-way. The following applies in these cases:

1) The Department’s cost is limited to the fixed unit cost for abatement on Department right-of-way.

2) Adjacent property owners must allow access and easements as necessary to construct and maintain noise abatement measure(s).

3) Maintenance of noise abatement measures and associated landscaping on the side facing the highway will normally be the Department's
responsibility. The opposite face will be maintained by the Department as well, unless maintenance responsibilities are assigned to other parties.

c. The Department will own and maintain all noise abatement measures for projects on Department facilities. The local government will own and maintain all noise abatement measures for local government facilities.

d. Noise abatement measures analyzed and deemed feasible and reasonable in the environmental study phase are still subject to final design and balloting. This is included in the environmental document as the Statement of Likelihood.

e. Relocation of Existing Noise Walls
There may be circumstances when existing noise walls must be relocated or replaced due to conflicts with new construction projects, and where the walls do not meet the Noise Abatement Criteria in this Policy after performing a Noise Abatement Analysis according to paragraph C of the Background of this Policy. Existing walls will be relocated or replaced in these cases with an “in-kind” wall so long as the replacement wall does not:

- reduce roadway safety
- preclude or conflict with planned roadway projects included on either the State Transportation Improvement Plan, or Phase I of the Long Range Plan, or both
- require acquisition of additional right-of-way
- conflict with utilities, or
- result in unreasonable costs to the Department according to this Policy.

f. Removal or Alteration of Constructed Noise Walls
The Department may consider requests for the removal or alteration of constructed noise walls in certain circumstances. See Appendix B for conditions and requirements associated with this process.

g. Local Municipality Cost Participation
A third party, such as a local municipality, may contribute funds to make functional or aesthetic enhancements to a noise abatement feature in instances where noise abatement has already been deemed feasible and reasonable.

h. Information for Local Officials
The Department will inform local officials of noise compatible planning concepts and an estimate of future noise levels on undeveloped lands or properties within the project limits for Type I Projects.
i. Projects Funded from Other Sources
The Department may construct and maintain noise abatement measures along state highway right-of-way in cases where citizens, adjacent property owners, developers, or local municipalities provide the cost for the noise abatement; and the abatement meets the other feasible and reasonable criteria. The Department will design, build, and maintain the abatement measure, and the local municipality acting for and on behalf of other groups will pay the Department for all preliminary engineering, construction and maintenance costs.

j. Traffic Noise Prediction
Only the current FHWA-approved Traffic Noise Model (TNM) is to be used for any traffic noise analysis unless otherwise agreed upon in advance by the Department and FHWA.
Procedures
Noise Abatement

Responsibility: Environmental Services

Actions

1. Determine if this is a Type I Project.

2. Disclose in the environmental document, ending the process with this step if it is not a Type I Project.

3. Determine types and numbers of sensitive land use activities (receptors) that might be impacted.

4. Disclose in the environmental document, ending the process with this step if none.

5. Measure or calculate existing noise levels.

6. Calculate future worst case noise levels using the posted or planned speed limit and LOS C traffic volumes, unless the Director of Environmental Services approves the use of another level of service, to determine average worst hourly traffic noise.
   a. 23 CFR 772 does not require an analysis of the no build scenario, but it may be valuable if the existing noise levels are greater than the future worst case levels.

7. Compare design noise abatement criterion levels and existing noise levels.

8. Identify impacted receptors.

9. Summarize findings for the environmental document, ending the process with this step if no impacts.

10. Apply a value of $30,000 per residence (dwelling unit) to determine if noise abatement is cost effective for Activity Category B land uses (residential areas).

11. Use a fixed unit cost of $20.00 per square foot to calculate the cost of noise abatement walls.

12. Apply a value of $360.00 per linear foot to determine if noise abatement is cost effective for Activity Category A, C, D, and E land uses.

13. Consider general abatement strategies, consistent with Department Policy, for all impacted receptors, for each alternative.

14. Prepare preliminary noise study as outlined in the Department’s Environmental Process Manual of Instruction (MOI) and direct its review.
15. Submit noise study to the Department's Noise Policy administrator for approval.

16. Include summary of the noise study in the environmental document in accordance with the requirements of 23 CFR 772.13(g).

**Responsibility:** Project Manager

17. Direct the local municipality involvement process, providing information where noise abatement is likely and where it is not likely.

18. Inform local officials about noise compatible planning concepts and provide an estimate of future noise levels on undeveloped lands or properties within the project limits by sending a copy of the Noise Study to the planning division of the appropriate local government(s).

**Responsibility:** Project Manager and Region Communications Manager

20. Conduct the balloting process – This task should take place during the final design phase of the project. The procedure to determine those in favor of noise abatement will be as follows:

   a. Use a standard form posted on the Department’s web site that includes, at a minimum, the Department official logo, the project name, project location, the project sponsor, the Consultant’s name, a brief explanation of the purpose of the balloting, and boxes to indicate a preference for, or against the abatement. Refer to the Noise Wall Ballot at the end of this Policy.

   b. Include a place for written comments on the ballot.

   c. Include the deadline for votes to be received by the Department or Consultant in order to be counted.

   d. Include a self-addressed stamped envelope for returning the ballot.

   e. Make a reasonable effort to send ballots to the correct address of benefited receptors as defined in this Policy.

   f. Make a reasonable effort prior to balloting by telephone, mailer, or in person to explain the process and to determine any special needs of those voting.

   g. Allow only benefited receptors and receptors that border and/or are directly adjacent to the end of a proposed noise wall to cast a ballot.

   h. Coordinate with the Noise Policy Administrator to develop a project-specific voting strategy for balloting situations not described in this Policy.

   i. Place all ballot results in the project files when the ballots for noise abatement are returned.

**Responsibility:** UDOT Director of Environmental Services and/or Noise Policy Administrator

**Responsibility:** Project Manager

22. Incorporate the noise study findings into the Project Design Criteria (PDC).

23. Submit the PDC to the Region Preconstruction Engineer for approval.

24. Incorporate approved abatement measures into design plans and specifications
Appendix A

UTAH DEPARTMENT OF TRANSPORTATION
NOISE ABATEMENT RECOMMENDATION CHECKLIST

Project Location:
Project Concept:
Project Number:
PIN:
Prepared By:
Receptor Name/Description:

Determination of Acoustic Feasibility
Does the noise abatement achieve at least a 5 dBA reduction in highway traffic noise for at least 50 percent of front-row receptors?
Yes_________ No_________

If yes, proceed to Question #1. If no, abatement measures are not feasible and are not recommended at this site; proceed to decision segment of form.

Determination of Feasible and Reasonable Mitigation

1. Does the design noise level equal or exceed the UDOT Noise Abatement Criteria as defined in Table 1 of this Policy?
   Yes_________ No_________

   If yes, proceed to Question #3. If no, proceed to Question #2.

2. Does the receptor, as a result of the design noise level, substantially exceed (10 or more dBA) the existing noise levels prior to construction?
   Yes_________ No_________

   If yes, proceed to Question #3. If no, then noise abatement is not recommended; proceed to decision segment of form.

3. Can effective noise abatement be constructed which would provide a minimum reduction of 7 dBA for at least 35 percent of front-row receptors?
   Yes_________ No_________

   If yes, proceed to Question #4. If no, abatement measures are not reasonable and are not recommended at this site; proceed to decision segment of form.
4. Are there undeveloped lands along the project corridor?
   Yes__________ No__________
   If yes, proceed to Question #5. If no, proceed to Question #6.

5. Were the undeveloped lands permitted (formal building permit issued) for development under Land Use Categories A, B, C, D or E prior to the date the final environmental decision document was approved?
   Yes__________ No__________
   If yes, proceed to Question #6. If no, implementation of abatement is not reasonable. Noise abatement is the responsibility of the property owner/developer. Proceed to decision segment of form.

6. Can noise abatement measures be constructed without creating a safety hazard to users and residents, and not interfere with operations and maintenance of the highway facility?
   Yes__________ No__________
   If yes, proceed to Question #7. If no, abatement measures are not recommended at this site; proceed to decision segment of form.

7. Does the cost per impacted and benefited residence exceed $30,000 for residential areas in Land Use Category B or exceed $360 per linear foot for nonresidential areas in Land Use Category A and/or C or commercial and/or industrial zoned areas in Land Use Category E?
   Yes__________ No__________
   If yes, noise abatement measures are not considered reasonable; proceed to decision segment of form. If no, proceed to Question #8.

8. For urban roadways that are not access-controlled, is the noise wall height less than or equal to the distance from the wall face to the back of curb?
   Yes__________ No__________
   If yes, proceed to Question #9. If no, noise abatement measures are not considered feasible based on safety; proceed to decision section of the form.

9. Does public involvement voting result in at least 75 percent of ballots returned?
   Yes__________ No__________
   If yes, proceed to Question #10. If no, noise abatement measures are not considered reasonable; proceed to decision segment of form.
10. Does the Public Involvement balloting result in at least 75 percent of benefited and end of wall receptors voting in “favor” of the proposed noise abatement measure?
   Yes___________ No____________

   If yes, proceed to Question #11. If no, noise abatement measures are not considered reasonable; proceed to decision segment of form.

11. Are there any environmental impacts that need special attention as a result of the implementation of the noise abatement?
   Yes____________ No____________

   If yes, outline these impacts and discuss with the Environmental Manager or Region Project Manager.

**Decision**

Are Abatement Measures feasible?  Yes________
No________

Are Abatement Measures reasonable?  Yes________
No________
Utah Department of Transportation
Noise Wall Ballot

Project Name: ________________________________

Project Location: ________________________________

Project Sponsor(s): ________________________________

Project Contact: ___________________________ Telephone: ________

Ballot Purpose
Your residence/property has been identified as potentially having highway noise impacts due to the proposed project. As part of the noise study for this project, we would like to get your opinion on whether you would be in favor of noise walls being constructed to reduce expected noise levels.

Your input, along with other information including; the amount of noise reduction achieved, engineering considerations, cost and views will be considered together, to come to a decision on whether or not to construct noise abatement measures. Please check the appropriate line, include any comments you may have and return this ballot in the self-addressed stamped envelope.

Please note that at least 75% of ballots sent, must be completed and returned for UDOT to assess if the public desires noise walls. Your ballot needs to be received by ______ in order to be counted. Thank you for your participation!

___ I support a noise wall.

___ I do not support a noise wall.

___ I choose to abstain from voting, and wish not to be counted in the analysis.

Comments:
________________________________________________________________________
________________________________________________________________________

Name: ________________________________

Address: ________________________________

Signature: ___________________________ Date: ________
Appendix B
Removal or Alteration of Constructed Noise Walls

Purpose
The following guidance provides clarification on the Utah Department of Transportation’s (UDOT) policy regarding changes to constructed noise walls where a request is made by an applicant to UDOT to alter or remove an existing noise wall after project construction begins or after construction is complete.

Policy
UDOT will consider requests for removal of all or part of a noise wall located in locations where the land use activity category is B, C, D or E. This applies to walls that are constructed or are part of projects that are currently in construction. Under either scenario it is assumed that the noise wall was constructed based on it meeting the requirements of UDOT’s noise policy at the time of construction.

The removal request will follow this procedure:

1. A new noise analysis must be performed at the applicant’s expense by a UDOT pre-qualified noise consultant. The applicant will submit two copies of the noise analysis to the Department’s Director of Environmental Services and the Department’s Noise Policy Administrator for review and approval. The approval of the noise analysis will be contingent on if the noise analysis was done correctly based on applicable FHWA and UDOT noise policies.

2. After approval of the noise analysis by the Department’s Director of Environmental Services and the Department’s Noise Policy Administrator, the applicant will provide to all affected receptors: (a) a copy of the noise analysis, (b) a description and map showing the noise wall removal that is being proposed, and (c) a UDOT approved noise ballot that asks the affected receptor whether they are in favor or not in favor of the proposed noise wall removal. The applicant must provide a minimum of 30 days for the affected receptors to respond.

3. The applicant must have approval from all of the affected receptors (as identified in the noise analysis and as defined in this policy) and provide the completed noise ballots to UDOT. If the applicant is unable to obtain approval for the proposed noise wall removal from all affected receptors, UDOT will not allow the noise wall to be removed. If the applicant does obtain approval from all affected receptors, UDOT will allow the applicant to proceed with the proposed noise wall removal.

4. All noise wall removal costs (whether partial or complete) will be at the applicant’s expense. Abandoned concrete posts and foundations must be excavated to 1 foot below the ground elevation, backfilled with clean soil, and seeded.

5. An encroachment permit must be obtained from the appropriate UDOT Region Office to perform the above work in the UDOT right-of-way. The permit will establish any additional provisions required to accommodate removal of other structures, installation of guard rail and maintenance of traffic among other project specific issues.
6. When construction is completed the applicant will provide as-built drawings to UDOT. The wall will undergo inspection by the UDOT Region District Engineer or designee and deficiencies will be corrected at the applicant’s expense. Ownership of any remaining wall remains with UDOT when the project is approved by the UDOT Region District Engineer.
Purpose
To establish a policy for the Utah Department of Transportation (Department) to give the public an opportunity to participate in transportation projects and to meet Federal and State requirements.

Policy
The Department will conduct public hearings or provide opportunities for public hearings in accordance with National Environmental Policy Act and Utah Administrative Code R930-2 in order to promote public involvement on proposed transportation projects.

Uniform public hearing procedures are established to guaranty that:

1. The public is given ample notification of each public hearing and such public hearing will be held at a time and place reasonably convenient to those interested.

2. All interested persons and groups have an opportunity to provide input, comment on a proposed project, and to express their views at various stages of the project.

3. The project team has an opportunity to consider input, comments, and testimony of all interested persons and groups.

4. The Department will prepare and distribute a transcript of the public hearing for the consideration of the project team and other interested individuals, groups, and agencies.
Purpose
   To establish a policy for the Utah Department of Transportation (Department) to establish an orderly process to protect the Department and the Federal Highway Administration from the potential liability occurring from the purchase of contaminated properties.

Policy
   The Department will conduct an investigation for the purpose of determining the existence of hazardous wastes within the proposed right-of-way take in order to reduce or eliminate liability and to minimize contamination.
Responsibility: Chief Environmental Engineer

Actions

1. Provide initial training in Hazardous Waste Awareness, with periodic refresher courses for the Region Preconstruction Engineer, Project Managers, and staff.

Responsibility: Project Manager

2. Perform an initial site assessment of the proposed right-of-way acquisition for signs of hazardous waste.

3. Determine land use history from personal knowledge and from interviews with land owners, neighbors of the land owner, or other sources.

4. Check adjacent properties against the Potential Hazardous Waste Generators list.

5. Provide a statement for inclusion in the Environmental Document that there is apparently no potential for hazardous waste contamination within proposed right-of-way take and adjacent properties after determining with reasonable certainty that hazardous wastes are not present.

6. Retain related documentation in the project file.

7. Provide a preliminary site investigation to the Region Preconstruction Engineer in cases where the presence of hazardous waste of petroleum spills are known or suspected explaining the reasons hazardous wastes are suspected.

8. Include plan sheet or maps detailing the proposed right-of-way take and extent of contamination.

9. Coordinate with the Risk Management Unit to determine the nature and scope of the detailed site investigation to take place.

10. Select a consultant from the Department Consultant Pool.

11. Complete Consultant Services Work Task Order requesting a detailed site investigation of the suspected contamination.
Responsibility: Consultant

12. Perform detailed site investigation.
13. Provide a report detailing findings, and if applicable, recommend remediation plan including estimated costs.
14. Make all notifications and reports required by State and Federal regulations, with copies of all applicable reports and notifications to the Project Manager.

Responsibility: Project Manager

15. Proceed with the project if the report demonstrates no presence of hazardous waste.
17. Retain the report in the project file.
18. Provide a letter, with report attached, outlining recommendations for the continuation or termination of the proposed project, directed to the appropriate decision makers if hazardous wastes are present.
Purpose
To establish a policy for the Utah Department of Transportation (Department) to determine the appropriate environmental process to adequately assess and minimize the environmental impacts of proposed transportation projects.

Policy
Proposed transportation projects receiving federal funding must comply with the National Environmental Policy Act of 1969 (NEPA).

Proposed transportation projects not receiving federal funding will complete a State Environmental Study. The Department will evaluate potential impacts to environmental resources resulting from the proposed actions of projects where NEPA does not apply. The Department will prepare a State Environmental Study to document these impacts and any measures to be implemented to minimize harm to the affected environmental and social resources.

Proposed transportation projects not receiving federal funding but may require a major federal action will require the Department to make a determination on the appropriate environmental process.

Background

Applicability

1. NEPA documentation will be prepared for projects receiving federal funds (either allocated or anticipated).
2. A State Environmental Study will be prepared for projects not receiving federal funds.
3. The Department will make a determination on the appropriate environmental documentation for projects not receiving federal funds but may have a federal nexus or may require federal approvals. Examples of federal nexus or approvals include the following:
   a. A new interchange on an interstate highway;
   b. A project requiring the use of federal lands; or,
   c. A project that would result in impacts to Waters of the U.S., as determined by the U.S. Army Corps of Engineers.
Definitions

**Impact**
Occurs when a project or action harms an element of the natural or built environment. Typically result in negative effects or consequences.

**National Environmental Policy Act of 1969 (NEPA)**
NEPA is a federal law that requires federal agencies to assess the environmental effects of their proposed actions prior to making decisions.
Procedures
NEPA

Responsibility: Region or Central Environmental Services

Actions

1. Reference the Environmental Manual of Instruction (MOI) and applicable Code of Federal Regulations for guidance and requirements necessary to complete the environmental documentation for projects subject to NEPA.

State Environmental Studies

Responsibility: Region Environmental

Actions

1. Prepare a streamlined evaluation to document the impacts if a project is likely to be non-controversial with minor or no impacts to environmental resources.
2. Reference the Environmental Manual of Instruction (MOI) for guidance and requirements necessary to complete the environmental documentation.

Responsibility: Department Director of Environmental Services

3. Provide a determination on the level of documentation required for the State Environmental Study if the project is controversial or there is a potential for substantial impacts.

Responsibility: Region or Central Environmental Services

4. Reference the Environmental Manual of Instruction (MOI) for guidance and requirements necessary to complete the environmental documentation for projects requiring further evaluation.
Purpose
To establish a policy for the Utah Department of Transportation (Department) to define the maintenance responsibility when landscaping or a sprinkler or drip irrigation system is installed on a Department right-of-way.

Policy
The municipality is responsible to maintain landscaping, sprinkler or drip irrigation system, or site amenity items in perpetuity and requires an agreement whenever these items are installed on a Department right-of-way. It is the municipality’s responsibility to maintain landscaping behind the curb and gutter within the city limits according to Utah Code 72-3-109. The project will only receive baseline landscape treatments if the municipality will not agree to maintain landscapes, sprinkler systems, or other site amenities. Refer to UDOT 08C-03.

Definitions
Landscaping
Includes any items such as the following: trees, shrubs, perennials, turf sod, rock or shredded bark mulches, weed barrier fabrics, mow strips, specialty paving, tree grates, planters, boulders, or boulder walls.

Sprinkler or Drip Irrigation System
Any temporary or permanent watering system designed to provide water to plants or turf sod.

Site Amenities
Items such as benches, trash receptacles, kiosks, bollards, decorative lighting, or railings, included on a Department project.
Responsibility: Project Manager

Actions

1. Inform the municipality during early coordination with the municipality on a Department project occurring within their boundaries that landscaping, sprinkler or drip irrigation systems, or site amenities installed with the project will be their responsibility to maintain.

2. Inform the municipality that water and electrical hookups for the sprinkler irrigation system will need to be provided by the municipality and that the power and water usage will need to be paid by them.

3. Verify that irrigation mainlines are not positioned in areas where their failure could jeopardize Department facilities and the system uses flow-sensing emergency shut-off valves on mainlines.

4. Inform the municipality that any funding beyond the aesthetics budget established for the project will need to be provided by the municipality and an agreement will need to be entered into and signed. Refer to UDOT 08C-03.

5. Prepare and sign agreements before landscape or irrigation plans are developed.

   a. Only baseline treatments will be included on the project if agreements cannot be obtained early in the design process.
Bicycle/Pedestrian Trail Maintenance Responsibility

Purpose
To establish a policy for the Utah Department of Transportation (Department) to identify who is responsible for maintaining bicycle and pedestrian trail systems when they are constructed in the Department right-of-way.

Policy
It becomes the local government’s or agency’s responsibility to maintain the trail and any structures in perpetuity and requires an agreement whenever a bicycle or pedestrian trail is constructed in conjunction with a Department project, or when a local government or agency proposes to construct a bicycle or pedestrian structure within state right-of-way. A trail will not be constructed if the local government or agency will not agree to maintain the trail system.

Definitions

Bicycle or Pedestrian Trail
A trail system constructed within the Department’s right-of-way that is physically separated from the roadway pavement by things such as a gravel area, a landscaped area, or curb and gutter.

Bike Lane
A designated lane constructed adjacent to a travel lane where there is a continuous pavement surface between the bike lane and roadway travel lane. Maintenance responsibilities for the bike lane will be determined during the design process. A signed agreement must be in place in order for the bike lane to be constructed if it is determined that the local agency will have a role in maintenance.

Department Maintained Bicycle or Pedestrian Structure
A structure built on state right-of-way where the structure is owned, maintained, and inspected by the Department.

Trail Maintenance
Includes any items such as the following: pavement maintenance, pavement markings, structures, drainage facilities, trail signs, lighting, fencing, gates, bollards, trail amenities, landscaping, weed control, sweeping, snow removal, or trash removal.
Local Government or Agency Maintained Bicycle or Pedestrian Structure
A structure built over or under a Department facility that is sponsored by a local government or agency where the structure is designed and constructed using Standards for Road and Bridge Construction and where the Department will inspect the structure, yet all maintenance is the sole responsibility of the local government or agency. Note: Only bicycle or pedestrian structures owned by the Department will be maintained by the Department.
Responsibility: Project Manager

Actions

1. Coordinate construction costs with the local government or agency when a trail is being proposed in conjunction with a new Department project.

2. Inform the local government or agency during early coordination with the local government or agency on a Department project occurring within their boundaries that trail maintenance will be their responsibility.

3. Prepare and sign agreements with the local government or agency before trail plans are developed. A trail will not be included on the project if an agreement cannot be obtained early in the design process.

4. Design and construct the structure using Department Standard Specifications for Road and Bridge Construction and maintained by the local government or agency when a local government or agency proposes a project to construct a trail crossing of a Department facility. An agreement must be signed before permission will be granted.
Purpose
To establish a policy for the Utah Department of Transportation (Department) so that Native American tribal issues are addressed in planning, designing, constructing, and maintaining transportation projects and to promote efforts to engage in regular and meaningful consultation with Utah’s Indian Tribes.

Policy
The Department recognizes the sovereign status of the federally-recognized Indian Tribes (the “Tribes”) located wholly or partially within the State of Utah. The Department respects each Tribe’s government, people, history, culture, codes, and laws in recognition of tribal sovereignty. The Department encourages mutual understanding of unique cultural and organizational practices among the Tribes and the Department. The Department is committed to developing relationships with the Tribes and appreciates and encourages the Tribes’ contribution to the transportation concerns of the State of Utah. The Department Executive Director of the Department, in his/her official capacity, or through his/her designee, in good faith, will endeavor to implement the terms of this policy.

The Department will provide timely opportunities for communication with the Tribes about decisions that may affect them. The Department will share appropriate technical information and data with the Tribes in accordance with established Department policy. The Department will make every effort to consult with the Tribes as early as possible, is carried out in good faith, and that honesty and integrity are maintained by the Department at all stages of the consultation process. Consultation should occur as part of a meaningful and comprehensive process that promotes effective communication between the Tribes and the Department, including the Tribes sharing appropriate technical data through the established tribal policy with the Department.

Department management, including the Executive Director, Deputy Director, Region Directors, and other designated staff, will maintain appropriate working relationships with the Tribes, including tribal elected officials and staff, while respecting the concerns of the Tribes and their communities.

1. The Executive Director will designate a point of contact in each of the Department’s four regions.

2. The Executive Director will also designate a statewide point of contact for the Tribes who will be responsible for relationships, information sharing, and constructive dialogue with the Tribes and their representatives. The designees will be identified through notification to the Tribes, as well as, identified on the Department’s Web site.
The Department will consult with the Tribes in accordance with State of Utah policies, Federal Highway Administration (FHWA) policies, and this policy during the transportation planning processes and implementation of the Statewide Transportation Improvement Program (STIP); during the environmental study processes; and during the implementation of infrastructure construction and maintenance programs. The Department will accomplish this policy through:

1. Official written notification to tribal chairpersons of individual projects that may be of interest to the Tribes,
2. Informal communication with tribal staff via telephone or email regarding projects of interest to the Tribes,
3. By providing additional information and updates to Tribes as requested,
4. By participating in the Governor’s Native American Summit, and
5. By attending at least one Tribal Leader’s Meeting, held quarterly, to provide updates on projects of interest to the Tribes.

The Department will engage in partnering efforts, when appropriate and as resources allow, to encourage and improve understanding and communication with the Tribes. These efforts may include:

1. Entering into programmatic agreements with those Tribes who are interested
2. Participating in the Utah Division of Indian Affairs’ Native American Remains Review Committee.

The Department will provide training to Department officials and authorized employees to promote awareness on this policy and its intent and to promote effective consultation with the Tribes.

The Department will submit an annual report to the Director of the Utah Division of Indian Affairs outlining all consultation activities conducted during the previous fiscal year. This report will be submitted 30 days prior to the Governor’s Native American Summit.

**Background**

The Department is charged with providing transportation systems that are safe, effective, facilitate the movement of people and goods, and meet present and future mobility needs. The Department is committed to working together with the Tribes for the common purpose of protecting the health, safety, and welfare of the traveling public in Utah through continuously improving relationships. The Utah Governor’s Executive Order 2014/005 (July 30, 2014), “Executive Agency Consultation with Federally-Recognized Indian Tribes,” requires state agencies to establish a tribal consultation policy for regular and meaningful consultation with the Tribes when there is a proposed state action with tribal implications as defined in this policy that affects a tribe as a sovereign or governmental entity.
Definitions
Consultation
The process by which the Department and the Tribes may have the opportunity to exchange views and information, in writing or in person, regarding the implementation of a proposed state action that has, or may have, substantial tribal implications, such as impacts on the following:

1. Tribal cultural practices, tribal lands, tribal resources, or access to traditional areas of tribal cultural or religious importance,

2. The ability of an Indian Tribe to govern or provide services to its members,

3. An Indian Tribe's formal relationship with the State, or

4. The consideration of the State's responsibilities to Indian Tribes.

5. Consultation between the Department and the Tribes does not include matters that are:
   a. Applicable to an individual member of a tribe;
   b. In litigation or settlement negotiations;
   c. Matters for which a court order limits the State's discretion to engage in consultation;
   d. Internal Department administration, operations, processes and personnel matters; or
   e. Agency action that has general applicability to industrial, commercial, agricultural, or other business activity within the State.

Indian Tribe

State Action with Tribal Implications
Refers to regulations, rulemaking, and other policy statements or actions that have substantial direct effect on one or more tribes, on the relationship between the State and a tribe, or on the distribution of power and responsibilities between the State and a tribe, and the status of a tribe as a sovereign or governmental entity.
Project Aesthetics and Landscaping Plan Development and Review

UDOT 08A-03

Effective: May 26, 2009

Revised: February 6, 2014

Purpose
To adhere to Utah Department of Transportation (Department) criteria on all aesthetics plans for Department projects.

Policy
During the preconstruction phase of all projects the Department will:


2. Develop Aesthetics and Landscaping Design in accordance with the Department’s Aesthetics Guidelines.

3. Review all Aesthetics and Landscaping Plans through a Project Aesthetics Committee. The Project Aesthetics Committee consists of members from the regions and Central. The members from Central include representatives of Preconstruction, Structures, and a Landscape Architect. The regions are represented by three members: one Preconstruction Engineer, one Landscape Architect, and one District Engineer.

4. Get approval from the Region Director for exceptions to the budgetary limits established in Department Aesthetics Guidelines.

Definitions

**Betterment (as it refers to aesthetics)**
An improvement that is greater than the baseline treatment as defined in the Department Aesthetics Guidelines.

**Cost to cure**
Costs for improvements required to make a property whole. Generally these are repairs to a property from the Department’s use of construction easements or right-of-way purchases.

**Other definitions**
Refer to Department Aesthetics Guidelines for all other definitions.
Responsibility: Region PM and Region Landscape Architect

Actions

1. Assess project aesthetics and landscaping needs according to the Aesthetics Guidelines, and activity 1A1 (Assess Project Aesthetics and Landscaping) in the 2011 Project Delivery Network to determine if enhancements to baseline treatments will be included.

2. Set budget for aesthetic and landscape enhancements, up to 0.75 percent of construction cost based on the budgetary guidelines in the Aesthetics Guidelines. Betterments paid for by other entities and Costs to Cure are not included in the enhancement budget.

3. Develop treatment criteria to aesthetic and landscape enhancements according to the Aesthetics Guidelines, and activity 1A1, Assess Project Aesthetics and Landscaping in the 2011 Project Delivery Network.

Responsibility: Project Aesthetics Committee Chair

4. Schedule monthly meetings of Project Aesthetics Committee and make schedule available to the Region Landscape Architects.

Responsibility: Region PM

5. Work with the project team to develop conceptual themes following the process outlined in the Aesthetics Guidelines and submit them to the Project Aesthetics Committee Chair at least one week prior to the next monthly meeting.

Responsibility: Project Aesthetics Committee Chair

6. Coordinate meetings of the Project Aesthetics Committee.

7. Issue notification of the Project Aesthetics Committee decisions on conceptual themes.
Responsibility: Region PM and Region Landscape Architect

8. Work with the project team to develop conceptual project aesthetics and landscaping plans and submit them to the Project Aesthetics Committee Chair at least one week prior to the next monthly meeting.

Responsibility: Project Aesthetics Committee

9. Meet once per month to review and provide feedback on all submitted conceptual themes and conceptual project aesthetics and landscaping plans.

10. Evaluate conceptual themes according to the Aesthetics Guidelines. Committee consensus determines if a conceptual theme may be developed further.

11. Evaluate plans for satisfactory aesthetic treatments. Refer to Appendix B (Baseline Aesthetic Treatments) of Aesthetics Guidelines for explanation of acceptable treatments. Committee consensus determines whether treatment options may be included in final plans. The committee’s decision is supported in writing when rejecting a particular treatment option.
Purpose
To establish a policy and procedures for the Utah Department of Transportation (Department) for selecting, studying, and reporting on Value Engineering (VE) projects.

Policy
The Department will establish and maintain a program utilizing the Value Engineering (VE) discipline on selected projects, items, procedures, and processes to reduce cost, improve performance, and increase productivity. VE techniques can be used to improve productivity or the benefit to cost ratio and life-cycle cost savings in nearly every aspect of the state’s transportation program, including Preliminary Engineering, Traffic Operations, Construction, Maintenance, Standard Drawings and Specifications, and Design Criteria and Guidelines. The Federal Highway Administration encourages and supports the State to utilize the VE process throughout highway project development, construction, operation, and maintenance, as evidenced by FHPM No. 6-1-1-9. The American Association of State Highway and Transportation Officials (AASHTO) also endorse the concepts of Value Engineering in its “Guidelines for Value Engineering.”

VE objectives will be achieved by following the guidelines set forth in UDOT 08A4-01.1 through 08A4-01.6 and in the Value Engineering Manual of Instruction.

The associated procedures are set up by phase:

- Preconstruction Phase UDOT 08A4-01.1
- Construction Phase UDOT 08A4-01.2
- Training Phase UDOT 08A4-01.3
- Maintenance Phase UDOT 08A4-01.4
Responsibility: Deputy Preconstruction Engineer, Region Preconstruction Engineer, Region Program Manager, and Project Manager.

Actions

1. Select projects at the Concept phase that appears to be good candidates for a VE Study. The Concept Report should indicate that a VE Study should be considered. A VE Study should be considered for major projects with significant potential for savings or improvements in project effectiveness. Some typical characteristics of potential VE projects are:
   
a. projects that substantially exceed initial cost estimates;

b. items that have questionable function or are complex and provide unique but costly functions;

c. large structures;

d. items using critical or expensive materials;

e. items requiring difficult construction or fabrication procedures;

f. items that are the result of custom, tradition or opinion;

g. items that appear to be too costly to build or maintain;

h. projects having accelerated design times;

i. designs that have grown too complex by being added to over a long period of time;

j. any Federally funded project on the National Highway System (NHS) estimated to cost $50 million requires a VE study.

k. any Federally funded bridge project on the NHS estimated to cost $40 million or more requires a VE study.
Responsibility:  Value Engineer, Deputy Preconstruction Engineer, Project Manager

2. Establish VE Teams. Proper selection of team members is very important to the success of the VE study. The Project Manager should review potential team members and select persons in such a makeup that complies with these requirements and lends to a creative atmosphere. Value Engineering team structure is governed by the following:

   a. Multi-disciplined – a basic concept of value engineering requires that teams be multi-disciplined. Teams should be structured so there is appropriate expertise to evaluate the major areas anticipated within the project. In no case should a majority of the team represent one area of expertise.

   b. Team Size – VE teams normally consist of not less than five nor more than eight members, including the team leader. Project Manager, Project Design Engineer, Consultant Project Manager, or other persons directly responsible for the planning or design generally shouldn't be team members, but are expected to participate as an information source.

   c. Maintenance, Construction and Design representation – Each VE study team should consist of representation from maintenance, construction, and design offices from within the Region where the project resides.

   d. Project Specific – Persons with specific expertise necessary to perform a proficient VE review should be included in the team makeup in the event of specialized projects. The Value Engineer should obtain the services of qualified experts from private consultants or contractors as team members if necessary.

   e. Team Leaders – Each VE study team will have a team leader appointed by the Project Manager. The Team Leader will have the responsibility for conducting the project review in accordance with these procedures. Team Leaders must have served on at least two team studies as a member and have attended a forty-hour VE workshop.

   f. Team Independence – The VE team will be independent of other design review processes.

3. Notify team members and responsible designer of the date selected, location and expected length of study at least one month in advance.
4. Conduct the VE study according to the methods outlined in the Department's Value Engineering Manual of Instruction.

a. The value engineering process has a nine phase value engineering job plan. The phases are:

1. Selection
2. Investigation
3. Analysis
4. Speculation
5. Evaluation
6. Development
7. Presentation
8. Implementation
9. Program Review

b. The Project Manager is responsible for VE job phases 1, 8, and 9 while the VE teams perform tasks in phases 2 through 7.

**Responsibility:** Region Preconstruction Engineer

5. Compile and supply all required project data to Team Leader. This data includes the Concept Report, Plan Sheets including typical sections, environmental documents, cross-sections, profiles, Structure Situation & Lay-out, aerial photographs if available, traffic projections and a detailed estimate.

**Responsibility:** Value Engineer Consultant and VE Team

6. Conduct VE Study.

7. Prepare presentation of VE Team recommendations for those responsible for design of the project.

8. Prepare summary of VE Team recommendations and make presentation to Project Manager, Program Manager, Preconstruction Engineer, District Engineer, and Region Director.
9. Distribute summary to responsible design party and Engineer for Pre-construction.

**Responsibility:** Region Preconstruction Engineer

10. Review the VE Team recommendations and adopt those that benefit the total project.

11. Submit memo within 30 days of study to Deputy Preconstruction Engineer stating which VE recommendations were adopted and why the others were not adopted.

**Responsibility:** Value Engineer Consultant, Deputy Preconstruction Engineer

12. Prepare final report concerning the VE Study results.

Responsibility: Region District Engineer

Actions

1. Evaluate and process all Cost Reduction Proposals according to Department Standard Specifications for Road and Bridge Construction Section 00725.

2. Consult with Deputy Preconstruction Engineer on any questions.

3. Maintain a listing of all approved cost reduction proposals.

4. Report all approved cost reduction proposals to the Deputy Preconstruction Engineer in August of each year.

Responsibility: Deputy Preconstruction Engineer

5. Prepare final and annual VE reports for FHWA.
Responsibility: Deputy Preconstruction Engineer

Actions

1. Schedule and arrange 40 hour FHWA VE workshops for Department employees as funding permits in conjunction with the Training Section.

2. Conduct 1½ day workshops for Department employees using previously completed VE studies.

3. Keep current roster of Department employees that have had formal VE training and the extent of that training.
Responsibility: Region District Engineer or Engineer for Maintenance

Actions

1. Submit item such as a procedure, equipment use, or materials on which a Value Engineering Study is requested to the Deputy Preconstruction Engineer.

Responsibility: Deputy Preconstruction Engineer

2. Select whether a team study, no study, or an individual study by a Consultant Value Engineer is most appropriate.

Responsibility: Consultant Value Engineer

3. Conduct VE team study or individual study as recommended by Deputy Preconstruction Engineer.

4. Prepare summary of VE study recommendations for original proposing party.

Responsibility: Engineer for Maintenance or District Engineer

5. Review VE Study recommendations and adopt those that benefit the Department.

Responsibility: Consultant Value Engineer

6. Prepare final report concerning VE Study results.
Standards Committee
Effective: June 30, 1967

Purpose
To establish a policy and procedures for the Utah Department of Transportation (Department) and place responsibility for the development, revision, and preparation of standard drawings, specifications, and related policies and procedures and for their review, approval, printing, and distribution.

Policy
The Standards Committee reviews and approves all standard drawings, standard specifications, supplemental drawings, supplemental specifications, and related policies and procedures before implementation. The Committee also considers relevant matters presented to it by interested units or individuals, formulating appropriate action within its scope of responsibility.

The Standards Committee will implement a Streamlined Approval Process for all standard drawings, standard specifications, supplemental drawings, and supplemental specifications being presented during the review and development process for a new edition of the Department Standards. This Streamlined Approval Process authorizes approval of items at three levels (full Standards Committee, modified committee, and editorial) according to this Policy, Attachment 4 instead of the normal two levels (full Standards Committee and editorial).

The Standards Committee is composed of eleven permanent voting members and one non-voting member, with the Project Development Engineer serving as chairperson, the Engineer for Standards and Design (Department Preconstruction Engineer) serving as secretary, and the Department Standards Coordinator serving as recorder.

Regular membership representing the offices, divisions, sections, or units as indicated, is as follows:

Members (voting except as indicated)

Director, Project Development (Chairperson)
Department Preconstruction Engineer (Secretary)
Department Standards Coordinator (Recorder) (Non-voting)
Region Director
Region Preconstruction Engineer
Engineer for Preconstruction (Director, Central Preconstruction)
Engineer for Construction
Materials Engineer
Engineer for Maintenance
Engineer for Traffic & Safety
Chief Structural Engineer
Intelligent Transportation Systems (ITS) Engineer

**Advisory Members**

Research Engineer
Federal Highway Administration (FHWA)
Associated General Contractors (AGC)
American Council of Engineering Companies, Utah Branch (ACEC)

Modified Approval Process membership representing the offices, divisions, sections, or units as indicated, is as follows:

**Members (voting except as indicated)**

Department Preconstruction Engineer (Chairperson)
Department Standards Coordinator (Recorder)
Department Standards Communication Coordinator
Region Preconstruction Engineer or Region District Engineer (rotate between positions and regions for each meeting)
Engineer for Construction
Materials Engineer

**Advisory Members**

Federal Highway Administration (FHWA)
Members should appoint a substitute when the member is unable to attend a meeting. The substitute assumes full authority to bind the represented division to a decision by vote or other action in matters pertaining to the Standards Committee. Qualified individuals will continually fill all positions. The person substituting for the Chairperson must be a voting member.

The Deputy Director appoints both region positions on the Standards Committee. The Region Director and Region Preconstruction Engineer members should not be from the same region, if possible. This requirement does not apply for the Modified Approval Process Committee. The Department Preconstruction Engineer selects region members for the Modified Approval Process Committee.

Temporary advisory members may be selected by the Committee to advise and assist when specialized talents are needed. Advisory members do not have the power to vote. FHWA approval is required for all standard drawings, standard specifications, supplemental drawings, and supplemental specifications, where Federal participation is anticipated. This approval is provided in a letter from FHWA according to procedure 08A5-1.3

Robert’s Rules of Order will generally be followed and in matters not provided for or not applicable, the Committee may formulate its own rules of procedure. Six members are required to constitute a quorum for the regular Committee and four for the Modified Approval Process Committee. Items presented at a regularly scheduled meeting or modified process meeting can be approved at that meeting if Attachment 1 has been completed in sufficient detail for either Committee to make an approval decision. Items presented at special meetings will be handled on a case-by-case basis. The Modified Approval Process Committee will defer any item to the regular Committee that they believe exceeds their level of expertise or where the best interests of the Department are better served if presented to the regular Committee for discussion and approval.

Regular meetings are normally scheduled for the last Thursday, every other month, 8:30 a.m. to noon. The chairman may call or cancel a meeting depending on the quantity and urgency of the business at hand. Three or more of the permanent members may also call meetings. Modified Approval Process meetings will be scheduled as needed by the Department Preconstruction Engineer.

The distribution of paper copies is limited to full copies on a select basis. Individuals can make copies as needed, but should limit printing of the entire agenda package to a minimum.

Use digital display of the agenda package during meetings whenever possible.
Members should use laptops and tablets as much as possible during meetings to track meeting progress and take notes.

The Deputy Director has final approval authority of Standards Committee actions.

The Deputy Director approves all Standards Committee membership changes.

Definitions

Sponsor
An individual or task force appointed by the Chairperson of the Standards Committee presenting an item to the Standards Committee. The sponsor should be a member of the Standards Committee or be in contact with a Committee member who is familiar with the subject matter contained in the document.

Technical Staff Support
Support provided by the Standards Section to the sponsor identifying the need for a new or revised document. This person works closely with the sponsor or with a task force in the actual preparation of draft or final documents, including supporting documentation.

Support provided by the Standards Section to take actions related to meeting minutes and agenda.

Draft Document
Document prepared for review by the Standards or Modified Committee and conforming to specified guidelines.

Final Document
Documents prepared from approved drafts for final review and approval by the Standards or Modified Committee and conforming to specified guidelines.

Priority 1
Upon posting, this impacts all projects in construction and design with a Change Order, Addenda, and immediate change to projects being advertised.

Priority 2
Upon posting, this impacts projects being advertised.
Priority 3
Upon posting, the approved standard takes effect four weeks later for projects being advertised.

Priority 4
Applicable to a new edition of the Standards only.
Responsibility: Sponsor

Actions

1. Determine need to develop new or revised Standard Drawings or Standard Specifications or the need to present information of interest to the Committee. Refer to Attachment 3 for the Standards Committee Update Process Flow Chart, Attachment 4 for the Modified Approval Process, or the Standards Committee Web site at http://www.udot.utah.gov/go/standardscommittee, “Standards Committee Schedule and Submittals” for these items as well as the “Clarification on Standards Committee Submittal Process.”

Responsibility: Sponsor (with assistance from the Standards Section)

2. Prepare draft of new or revised Standard Specifications, Standard Drawings, general information, and Submittal Sheet as specified below.

   a. Specifications and Supplemental Specifications. Prepare the draft with the “MS Word Track Changes” option turned on in the case of a revised document.

   b. Standard and Supplemental Drawings. Prepare the draft. Use cloud highlighting or something similar to annotate changes to current Standards. Highlighting is not needed for new Drawings.

   c. General Information. Prepare the draft in a format suitable for the information.

   d. Submittal Sheet. Prepare draft with all applicable information.

      1) Determine Priority of Change. Refer to Procedure 08A5-01.5.

      2) Required information: Why and Benefit. Remaining information as needed for the change.

      3) Use a bold font setting for all information added in the Submittal Sheet for the particular item being presented.
4) Maintain other default font settings in the Submittal Sheet for any information being added for the particular item being presented.

3. Provide all draft Specification, Drawing, Submittal Sheet, and supporting documentation files to the Standards Section at least one week before sending out for Stakeholder review.

**Responsibility:** Standards Section

4. Review all draft files.

5. Provide comments to and work with Sponsor as needed to get items ready for coordination.

**Responsibility:** Sponsor (with assistance from the Standards Section)

6. Update files as needed based on the Standards Section’s comments.

7. Complete all Submittal Sheet and Review Comments Requirements
   a. Allow all Stakeholders a two-week response time to process and respond to coordination requests. All areas should try to complete review and comment as soon as possible but within two weeks.
   b. Complete Procedure 08A5-01.4, Stakeholder Notification and return to the next step on completion of Procedure 08A5-01.4.

8. Submit all pertinent information including a completed attachment 1 and 2 and specifications or drawings to the Standards Section by the Agenda Item due date as listed on the Standards Committee Web site. Refer to the Standards Committee Web site [http://www.udot.utah.gov/go/standardscommittee](http://www.udot.utah.gov/go/standardscommittee) for meeting dates, deadlines, submittal sheet, and review comments form. Include all electronic files where possible.
   a. Supplemental Specifications. Update the draft with the “**MS Word Track Changes**” option turned on so the Standards Section can see all changes including those made as a result of the Coordination Process.
   b. Supplemental Drawings. Update the draft. Use cloud highlighting or something similar to annotate changes made as a result of the Coordination Process. Use a red line color for the cloud line style so changes can quickly be found.
Responsibility: Standards Section

9. Review related documents and make any changes that may be required as a result of the draft of new or revised Standard Drawings, Standard Specifications, or information.

10. Work with the Sponsor to correct any issues as needed.

Responsibility: Sponsor (with assistance from the Standards Section)

11. Update and return files as needed.

Responsibility: Standards Section

12. Complete review.

13. Finalize files.

14. Provide Sponsor with finalized Comment Form and advise that the Form is final and to send that Form to all Stakeholders by the time frame specified in this Procedure, step 15c.

Responsibility: Sponsor

15. Send email to all Stakeholders.
   a. Attach finalized Comment Form
   b. Include in the e-mail text that indicates that
      1) The form is being provided to keep all reviewers in the loop on all suggestions.
      2) The Form lists all comments and which ones were incorporated and which ones were not and that the reason for not incorporating a particular suggestion is included.
   c. Complete no later than one working day after the Standards Committee Agenda Package is published.

Responsibility: Standards Section

16. Prepare the agenda according to UDOT procedure 08A5-01.2.
17. Publish the entire package to the Standards Committee Web site and send out email notice of publication according to UDOT procedure 08A5-01.2.

**Responsibility:** Standards Committee or Modified Approval Process Committee Members

18. Review the agenda with attachments before the Committee meeting.

**Responsibility:** Sponsor/Presenter

19. Present the draft of new or revised Standard Drawings, Standard Specifications, or general information with supporting documentation and explanation to the appropriate Committee. Refer to Attachment 3 for the Standards Committee Update Process.

**Responsibility:** Standards Committee or Modified Approval Process Committee

20. Take one of the following actions:

a. Discuss the Standard Drawing, Standard Specification, or information as presented. Approve the item as presented.

b. Discuss the Standard Drawing, Standard Specification, or information as presented. Approve the item with changes.

c. Refer the Standard Drawing, Standard Specification, or information back to the Sponsor so that the Sponsor can make required changes before bringing the item back to the Committee for approval.

d. Reject or defer the Standard Drawing, Standard Specification, or information.

e. Refer the item back to the Sponsor for required formatting and use in testing or review.

f. Defer the item to the full Standards Committee for action for Modified Approval Process items.
Responsibility: Sponsor and Standards Section

21. Prepare the final copy of the Standard Drawing, Standard Specification, or information as required and as specified below when either step 20a or 20b applies.

   a. Specifications and Supplemental Specifications. Remove all markings made according to step 2a. Place the effective date of the change on the document. The effective date is the approval date (regular meeting date) unless the full Committee approves a future date. Make any approved or editorial changes according to step 237. The date is the date of the next regular Committee meeting or the new Standards implementation date for Modified Process approvals. January 1, of the edition year will be used for a new Standards edition approved by either committee.

   b. Standard and Supplemental Drawings. Remove all markings made according to step 2b above. Make any approved or editorial changes according to step 23. Place the approval date in both “Recommended for Approval” and “Approved” date lines on the final drawing. The dates are the date that Standards Committee approves the drawing or the next regular Committee meeting or the new Standards implementation date for Modified Process approvals. Refer to step 15a for date clarification. Complete the “Revisions” section. Add a block indicating “Supplemental Drawing” on Supplemental Drawings if not already included from an earlier approved change. The “Revisions” section and the “Supplemental Drawing” box do not apply for a new edition.

   c. General Information. Prepare the final copy in a format suitable for the information. Make any approved or editorial changes according to step 23.

22. Make the necessary changes and go back through steps 2 through 21 when step 20c applies.

Responsibility: Sponsor

23. Make the editorial changes to an approved item and send electronic files to the Standards Section within five working days or earlier from the date of the meeting. Check with the Standards Section to make sure they have all needed files if approved with no changes.
Responsibility: Standards Section


Preparation and Distribution of Minutes and Approved Items  UDOT 08A5-01.2

Responsibility: Standards Section

Actions

1. Attend Standards Committee meeting and gather information needed to prepare meeting minutes.

2. Prepare the minutes as soon as possible after the meeting.

Responsibility: Standards Committee Secretary

3. Review meeting minutes or a specific item as needed to answer questions or help in minutes preparation.

Responsibility: Standards Section

4. Gather information needed to prepare agenda for the next meeting.

5. Send an email, subject “Mandatory Standards Committee Agenda Item Prep for (insert meeting date) Meeting” to all Standards owners, those with current Action Items, and any other required parties at least two weeks prior to the “Projected No Later Than Coordination Start Date.”

   a. List known and possible agenda items

   b. Request other agenda items

   c. Advise the Sponsors of the Start Date for the coordination.

   d. Use a prior email for a starting draft and update accordingly.

6. Make required changes to the meeting minutes as needed.

7. Update the agenda section of the minutes as needed and complete the Agenda Check Sheet and Status Update Sheet.

8. Review all submitted files and information.

9. Create PDF files of submitted items, compile into one PDF file package, add document page numbering in the PDF file, and digitally certify the file to lock the file and reflect the accuracy of the information.
10. Publish the agenda package to the Standards Committee Web site at least 14 calendar days before the next regularly scheduled meeting.

11. Send an e-mail to the “Standards Committee Issues” group advising them that the agenda package has been published to the Standards Committee Web site.
   
a. Attach minutes file to the email.

b. Include a link to the agenda package in the e-mail.

c. Include the following text in the email including the bold font:

   **Print specific pages or entire package only as needed.**

   **Standards Committee members and those attending the meeting:** No need to print unless selected parts needed. PDF file will be displayed on conference room screens. Save attached file to individual laptops or tablets if you bring them to the meeting.

12. Make and distribute hard copies of the package to the Department Standards Coordinator and the Department Standards Communication Coordinator.

13. Set up the Conference Room computer approximately 15 to 30 minutes before the scheduled meeting to electronically display the agenda.

**Responsibility:** Standards Committee

14. Approve with or without modifications the minutes of the previous meeting.

15. Take action on agenda items according to UDOT procedure 08A5-01.1.

**Responsibility:** Standards Section

16. Make any required changes to the meeting minutes.

17. File the minutes as required.

18. Publish all appropriate changes within 14 calendar days from the last Standards Committee meeting.
Approval By FHWA

Responsibility: Standards Section

Actions

1. Notify FHWA according to 08A5-01.2, Step 11.

Responsibility: FHWA

2. Distribute the agenda package within the FHWA Division Office for review and comment as appropriate.

3. Provide comments during the regularly scheduled Standards Committee meeting.

4. Complete an approval letter as soon as possible after the meeting.

5. Provide an electronic copy of the approval letter by e-mail to the Director, Project Development (Standards Committee Chairperson), Engineer for Preconstruction (Secretary), and Standards Coordinator (Recorder).

Responsibility: Standards Section and Standards Committee

6. Complete UDOT 08A5-01.1, Step 20 to discuss FHWA comments.

7. Complete remaining procedural steps for approved items beginning at UDOT 08A5-01.1, Step 15.
Responsibility: Sponsor

Actions

1. Contact the Department Standards Coordinator if access to the Google Drive “CoordinationSharedData” file is needed.

Responsibility: Department Standards Coordinator

2. Coordinate with Sponsor on “CoordinationSharedData” file procedures and follow-up requirements.

Responsibility: Sponsor


4. Include any other Stakeholders not on the “CoordinationSharedData” file that may have an interest in the change.

5. Indicate that a reply is required in any email sent out for coordination even if there are no comments and that phone or email follow up or both will be conducted with any stakeholder not replying.

Responsibility: AGC/ACEC Committee Member

6. Select at least two AGC or ACEC members each from respective membership to review and comment on the proposed change.

7. Provide comments to the Sponsor by return e-mail within 14 calendar days.

Responsibility: Stakeholders

8. Review and comment on the proposed change.

9. Provide comments to the Sponsor by return e-mail within 14 calendar days.
**Responsibility:** Sponsor

10. Complete the Review Comments Form available on the Standards Committee Web site at [http://www.udot.utah.gov/go/standardscommittee](http://www.udot.utah.gov/go/standardscommittee) to “Standards Committee Schedule and Submittals” or a suitable substitute. Include contacting stakeholders who did not provide a reply with comments or indicated no comment.

   a. Contact all Stakeholders by e-mail whose suggestions were not incorporated in the change.

      1) Explain why the change was not incorporated and that the person can provide additional information in rebuttal.

   b. Contact all Stakeholders by e-mail whose suggestions were incorporated to thank them.

   c. Contact all Stakeholders by e-mail who replied with a “No Comment” or similar reply to thank them for their review.

   d. Contact all Stakeholders by e-mail or phone who did not reply to the review request. Refer to this Procedure, step 5.

11. Return to Procedure 08A5-01, step 8 and continue the process.
Responsibility: Sponsor

Actions

1. Determine importance of the change.
   a. Priority 1
   b. Priority 2
   c. Priority 3
   d. Priority 4

2. Use a Special Provision or Plan Sheet instead of a Priority 1 or 2 and therefore mark this change as a Priority 3 on the Submittal Sheet.
   a. Applies if the change is important and needs to get out without waiting for the Standards Committee coordination, approval, and publication processes to run their course from several weeks to months.
   b. Provide a justification as to why a Priority 1 and 2 must be used instead of a Priority 3 and the Special Provision or Plan Sheet option.

Responsibility: Standards Section

3. Provide assistance as needed.

Responsibility: Sponsor

4. Update the Submittal Sheet based on the determination from the previous steps in this Procedure.

5. Return to Procedure 08A5-01.1, step 3.

6. Prepare Special Provision or Plan Sheet if this Procedure step 2a applies.

7. Coordinate with the Standards Section so that all requirements and formatting are met.
Responsibility: Standards Section

8. Provide assistance as needed.

Responsibility: Sponsor

9. Obtain approval to publish the Special Provision or Plan Sheet from the Division leader

Responsibility: Standards Section

10. Process and publish Special Provision or Plan Sheet update as required.

11. Send e-mail to the Standards Listserver of publication of approved items.
Attachment 1 - Standards Committee Submittal Sheet

Standards Committee Submittal Sheet

Name of Preparer:__________________________________________________________

Title/Position of Preparer:_________________________________________________

Specification/Drawing/Item Title:____________________________________________

Specification/Drawing Number:______________________________________________

Priority Level (see last page for explanation)_________________________________

This sheet is not required on editorial changes but is required for all other submittals
whether to the regular Committee or the Modified Approval Process Committee. Check
with Standards Section.

NOTES:
1. All Submittal Sheets must be completed and sent to the Standards Section by
the Standards Committee suspense date as shown on the Web.
(http://www.udot.utah.gov/go/standardscommittee)
2. The Preparer of the Submittal Sheet or the Standards Committee member (or
authorized substitute) responsible for the submittal must be present at the
Standards Committee or Modified Process meeting and capable of discussing
and answering all questions related to the submittal. The item will be postponed
to a later meeting if one of these people is not present.
3. Notify the Standards Section immediately of any changes that impact the
presentation to include absence of sponsor or delay in presentation.

Complete the following: (Use additional pages as needed.)

A. Why? Detail the reason for changing the Standard (Specification or Drawing),
what has initiated a new Standard or what has caused a new or changed item of
interest.

B. Measurement, Payment, Acceptance, and Documentation:

1. How is Measurement and Payment handled? Existing (from the
measurement and payment document), modified, or new measurement
and payment to be included with all Standard Specifications or
Supplemental Specifications.
2. How is Acceptance and Documentation handled? Existing (from the acceptance and documentation document), modified, or new acceptance and documentation to be included with all Standard Specifications or Supplemental Specifications. Include Contractor Submittals, Inspection Elements, and Documentation.

C. Stakeholder Notification for AGC and ACEC:

Provide by e-mail, the AGC and ACEC Standards Committee member a copy of all pertinent information relating to the specification or drawing. Detail all responses on the Standards Committee Review Comments Form.

Note: There is a two-week response time set for this item.

Refer to the Standards Committee Web site, http://www.udot.utah.gov/go/standardscommittee to “Standards Committee Members” for the respective e-mail addresses.

AGC: (Document comments on the Comment Form)

ACEC: (Document comments on the Comment Form)

D. Stakeholders:

Document the stakeholders contacted on the Standards Committee Review Comments Form, detailing: the company, name of contact, how contacted (by phone, email, hard copy, or in person), concerns, and comments of the change.

Stakeholders:

Note: There is a two-week response time set for this item to allow Stakeholders time to process and respond to coordination requests. All areas should try to complete review and comment as soon as possible but within two weeks. Advise Stakeholder if less time is given the Stakeholder to complete this requirement.

Contact all applicable UDOT personnel, FHWA representative for the type item being reviewed, contractors and consultants contacted in addition to those contacted in paragraph “C” above, suppliers, manufacturers and any others as deemed appropriate. Include all those contacted on the Standards Committee Review Comments Form.

FHWA (Accomplished as part of the two-week process before submitting to the Standards section for inclusion on the Standards Committee agenda.) This is in addition to the requirements of UDOT Policy 08A5-01, procedure 08A5-01.3.
E. Other impacted areas, systems, or personnel. Consider all impacts and possible changes to these areas during the preparation process. Coordinate with all appropriate areas for the respective item. List all impacts and action taken.

1. Minimum Sampling and Testing Requirements


3. Implementation Plan (Provide detailed instructions on how the subject item will be implemented to include notification of all interested parties and training requirements.) *E-mail notice will be sent as part of the Standards Section’s publishing process.*

F. Costs? (Estimates are acceptable.)

1. Additional costs to average bid item price.

2. Operational (For example, maintenance, materials, equipment, labor, administrative, programming).

3. Life cycle cost.

G. Benefits? Provide details that can be used to complete a Cost – Benefit Analysis. Estimates are acceptable. What is the benefit of making this change if no cost is involved? *Completion of this paragraph is mandatory. Lack of information or insufficient information will result in rejection of draft document.*

H. Safety Impacts?

I. History? Address issues relating to the current usage of the item and past reviews, approvals, and/or disapprovals.
Priority Explanation

Enter the appropriate priority in the box on the first page of the document.

Review Standards Committee Policy 08A-05 and related Procedure 08A5-01.5 prior to determining the Priority.

Priority 1  Upon posting, this impacts all projects in construction and design with a Change Order, Addenda, and immediate change to projects being advertised.

Priority 2  Upon posting, this impacts projects being advertised.

Priority 3  Upon posting, the approved standard takes effect **four weeks** later for projects being advertised.

Priority 4  Applicable to a new edition of the Standards only.
<table>
<thead>
<tr>
<th>Item No.</th>
<th>Reviewer</th>
<th>Sheet/Section No.</th>
<th>Comment</th>
<th>Review Mtg. Action</th>
<th>Final Action</th>
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<td>No reply. Follow up made by phone or email. Modify this text as appropriate for the situation.</td>
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Attachment 3 - Standards Committee Update Process

IDEAS
Point of acquisition:
- UDOT Employees
- Vendors
- Conferences
- Manufacturers
- Contractors
- Web sites
- Other DOTS
- Miscellaneous sources

ASSESS IDEA FOR FEASIBILITY
Include input from:
- UDOT Employees
- External experiences with idea
- Vendor Suggestions
- Manufacturer Suggestions

Move forward with process?
NO → Terminate process
YES

Draft specification or drawing

Evaluate on Projects: Test for appropriate amount of time to allow for dynamic revisions (May require one or more construction seasons)

Format as Special Provision or Plan Sheet

Format as Supplemental Specification or Drawing

TEST
- Test
- Standards Review only
- Standards Approval

APPROVAL

REVIEWS
Format as Special Provision or Plan Sheet

Complete Submittal Process*

Annex

Standards Committee*

Review or Approval?
YES → Standards Committee Review or Approval?
NO → Document results/Revise

Continue Evaluation?
YES → Continue to Evaluate on Projects: Test for appropriate amount of time to allow for dynamic revisions (May require one or more construction seasons)

Update submittal process as needed

Document Results In Meeting Minutes

Update/revise & resubmit for approval

Approved?
YES

PUBLISH*
Attachment 4 – Streamlined Approval Process for Standards Committee

Team Members for Modified Approval Process (* - Editorial Changes)
1: Preconstruction Engineer*
2: Standards Coordinator*
3: Standards Communication Coordinator*
4: State Engineer for Construction
5: State Engineer for Materials
6: Region Preconstruction Engineer or Region District Engineer (rotate between positions and regions)
7: FHWA (as assigned)
8: Sponsor*

Key: SS – Submittal Sheet process and coordination required. Comment form must be completed.

<table>
<thead>
<tr>
<th>ITEM</th>
<th>FULL STANDARDS COMMITTEE APPROVAL (SS)</th>
<th>MODIFIED APPROVAL (SS)</th>
<th>EDITORIAL</th>
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<td>Incorrect or missing information that does not impact design or bidding. Everyone knows the correct way to handle the item. Being done this way, but not reflected correctly in the Standard.</td>
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<td>Clarification. Information rewritten or expanded to clear up a confusing item</td>
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<td>Drawing details not drawn correctly but all call outs and dimensions are correct</td>
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<td>Drawing details not drawn correctly and some call outs or dimensions are not correct</td>
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<td>Technology change</td>
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<td>Business or process no longer done as specified or drawn that does not impact design or bidding.</td>
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<td>Drawing details split into multiple drawings for clarity only</td>
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<td>New Standard Specification or Standard Drawing (not related to splitting drawings for clarity only)</td>
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<tr>
<td>Deletion of Standard Specification or Standard Drawing</td>
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Purpose

To establish a policy and procedures for the Utah Department of Transportation (Department) to plan, design, construct and maintain its drainage systems and to regulate offsite drainage connections.

Policy

A. EXISTING DEPARTMENT DRAINAGE SYSTEMS

The Department enforces its prescriptive rights to drain stormwater runoff.

B. NEW DEPARTMENT DRAINAGE SYSTEMS

The Department should provide drainage systems to collect and convey stormwater runoff where runoff cannot dissipate into natural ground and where no other drainage system is available. The Department should coordinate with the local government entities so that proposed drainage systems are compatible with basin-wide drainage plans and local master plans.

The Department will convey flows through the Department Right of Way when a project intersects an existing watercourse. Drainage systems should be designed to convey the expected flows while maintaining natural drainage patterns to the greatest extent possible. The Department is not responsible for storm water or sediment from offsite areas conveyed through the Right of Way to adjacent properties.

A drainage report should be prepared for new drainage systems and include a hydrologic and hydraulic analysis with recommendations for the new system. The report is to describe features of the drainage system and conformance to local drainage master plans.

C. OFFSITE DRAINAGE CONNECTION TO DEPARTMENT’S SYSTEM

Entities proposing to connect into the Department’s drainage system must file a permit application and enter into an Agreement with the Department.

The following conditions apply for proposed drainage connections:

1. The Department must have a drainage system that can accept additional stormwater runoff.
2. No connection will be allowed if the Department’s drainage system depends entirely on subsurface infiltration such as infiltration trenches, infiltration basins, dry wells, sumps or similar features.
3. Flows from offsite areas must not exceed the capacity of the drainage system or interfere with the Department’s ability to use its drainage system.
4. The quantity of stormwater discharged into the Department’s drainage system for the 10 year storm event must not exceed 0.2 cubic feet per second per acre of developed area.
5. Size the storage facility and outlet structure to contain the 100-year storm event while providing 1 foot of freeboard from the water surface elevation to the top of the facility.
6. Pollutants and contaminants must be removed prior to entering the Department’s drainage system using water quality controls.
7. Offsite drainage is not allowed to pond within the Department’s Right of Way unless authorized by the Department in writing.
8. The requesting entity pays the cost of connecting to the Department’s drainage system.

D. OFFSITE DRAINAGE NOT CONNECTING TO DEPARTMENT’S SYSTEM

Entities proposing to place a drainage system in the Department’s Right of Way without a connection to the Department’s drainage system must enter into a Statewide Utility License Agreement and file a Permit application with the Region Permits office.

E. DESIGN AND CONSTRUCTION STANDARDS

Drainage systems within the Department Right of Way are to be designed and constructed according to the current Department Drainage Manual of Instruction and Department Standard Specifications and Drawings for Road and Bridge Construction.

Definitions

Connection
A location where offsite drainage is discharged into the Department’s drainage system.

Drainage System
A closed conduit or open waterway that collects and or conveys runoff. System features may include culverts, bridges, storm drains, catch basins, manholes, ditches, detention or retention basins, and other similar features.
Offsite Drainage
Stormwater runoff or groundwater originating from any areas outside the Department's Right of Way.

Pollutant
Any substance that degrades the beneficial use classification established by the Utah Division of Water Quality of the receiving waters or, if there is no classification, any substance which degrades the existing uses of the receiving waters.
Procedures
Offsite Drainage Connections to the Department’s Drainage System
UDOT 08A-06.1

Responsibility: Permit applicant

Actions

1. Contact the appropriate Region Permits office to initiate the Permit process.

2. Prepare the drainage report, site plans and supporting documentation. These documents are included in the drainage submittal which must be stamped by a Professional Engineer (Civil, registered in the State of Utah) containing the following:

   a. Drainage Report
      1) Hydrology and Hydraulic calculations

   b. Site Plans
      1) Location map of site
      2) Location of connection to the Department’s drainage system.
      3) One foot contour lines of pre and post development conditions
      4) Drainage System features
         a) Pipes, catch basins and access locations
         b) Pipe diameters and slope
         c) Stormwater velocity and hydraulic grade lines for the design event
      5) Stormwater storage areas
         a) Storage capacity
         b) Stormwater control details
         c) Water surface elevations
      6) Temporary and permanent water quality controls

   c. Supporting documentation showing that the Department’s drainage system has sufficient capacity to convey the offsite stormwater runoff.
3. Enter into an Agreement with the Department.
   a. Single parcel development
      1) Fill out the Department’s Drainage Agreement. Refer to Attachment 1.
         a) Property owner must sign, date, and notarize.
   b. Multiple parcel development
      1) Initiate a Cooperative Agreement between the applicable local government entity and the Department.
         a) The local government entity must sign, date, and notarize.

4. Submit the drainage submittal and Agreement to the Region Permits Office for review and countersignature.

**Responsibility:** Region Permits Officer

5. Facilitate the review of the drainage submittal and Agreement in consultation with the Region Preconstruction Engineer or designee, resulting in one of the three outcomes below:
   a. Approved – The submittal adheres to policy requirements
      1) Countersign the Agreement on behalf of the Department.
      2) Single parcel developments
         a) Retain a copy of the countersigned Drainage Agreement and drainage submittal.
         b) Notify the Permit applicant to record the countersigned Drainage Agreement and drainage submittals and return the recorded document to continue the Permit process. Proceed to step 6.
      3) Multiple parcel developments
         a) Submit the executed Cooperative Agreement to the Comptroller’s office
         b) Retain the executed and recorded Cooperative Agreement in the Department’s document management system. Proceed to step 10.
   b. Incomplete - Additional information required
      1) Provide written notification to the Permit applicant describing the additional information required for the drainage submittal to be in conformity with this policy.
      2) Indicate the process will not move forward until the drainage submittal is in conformity with this policy.
c. Denied – The submittal does not adhere to policy requirements
   1) Consult with the Statewide Permits Office before notifying the Permit Applicant of a denied submittal.
   2) Provide written notification to the Permit applicant describing the reasons for denial.
   3) Retain an electronic copy of the denial within the Departments document archiving system.

**Responsibility:** Permit applicant

6. Single parcel developments
   a. Record the Drainage Agreement and drainage submittal with the appropriate County once countersigned by the Department.
   b. Return the executed and recorded Drainage Agreement and drainage submittal to the Region Permits Officer to continue the Permit process.

**Responsibility:** Region Permits Officer

7. Verify the Drainage Agreement was properly recorded against the Permit applicant’s property in the appropriate county recorder’s office and that there are no changes to the recorded Drainage Agreement and drainage submittal.

8. Retain a copy of the executed and recorded Drainage Agreement.

9. Notify the Permit Applicant to file a Permit application using the Department’s online permits system to complete the permitting process.

**Responsibility:** Permit applicant

10. File a Permit application using the Department’s online permits system to complete the permitting process.

**Responsibility:** Region Permits Officer

11. Verify all other Permit requirements are met before issuing the Permit.
Purpose
To establish a policy for existing and new mailboxes and newspaper boxes on State highways.

Policy
All new mailboxes and newspaper boxes placed by owners on State highways will be constructed in conformance with Utah Department of Transportation (UDOT) Standard Drawing GW 8 and regulations of UDOT and the U.S. Postal Service. Existing boxes relocated by highway construction will also meet current standards and regulations.

Existing boxes, that constitute a traffic hazard, will be removed or altered by the owner to conform to current standards and regulations. Such removal or alteration will be at the expense of the owner.

Newspaper box installations will meet the same requirements as mailbox installations.

Box supports that do not comply with Standard Drawing GW 8 will be considered nonconforming and will be reconstructed or replaced at the owner’s expense to conform with UDOT Standard Drawing GW 8 for mailboxes. The owner will be given notice of nonconformance that requires that owner to correct any deficiencies within thirty days of receipt of the notice.
Responsibility: Region/District Permits and Encroachments Officer

Actions

1. Conduct field checks of box installations to verify compliance with standards and regulations.

2. Notify owner in writing of nonconforming mailbox installation.

3. Send copy of notice to local postmaster for mailboxes.

4. Remove the box and deliver it onto the property of the owner if owner fails to comply with the notice.
Purpose
To establish a policy for the Utah Department of Transportation (Department) for the proper construction and maintenance of right-of-way fence.

Policy
1. Fully Controlled Access Highways:

Continuously fence all fully controlled access highways (Freeways) unless it can be definitely established that a fence is not necessary, such as in areas of precipitous slopes, other natural barriers or sound walls placed adjacent to the right-of-way line. The Department owns and maintains all fencing installed on this type of roadway.

Use six foot chain link fencing within Department recognized urban areas of the State, both large and small for all fencing.

Use the lowest cost of the types shown on Department Fence and Gates (FG) Series Standard Drawings or in the Plan Set in other areas of development within the State that fulfill the following purposes:

a) Prevent animals from entering upon the highway right-of-way.

b) Keep children and pedestrians off the highway.

c) Prevent vehicles from entering or leaving the right-of-way at unauthorized locations. Compute the lowest cost considering the cost of installation, future maintenance, and the likelihood of future changes in the use of the adjacent property.

Generally, use Type A or Type B, metal post fencing in rural areas of the State. Type B is preferable when necessary to control domestic animals. Use a special fence type as requested by or with the concurrence of the Utah Division of Wildlife Resources (UDWR) in wildlife areas. Refer to Note 1. Provide such type of fencing unless the adjacent landowner objects in writing and can prove that the fencing type proposed will not provide a satisfactory barrier for the property in question.
Provide cattle guards within the rural area of the State at all freeway access points; either on the cross roads or entrance ramps, as necessary to meet the requirements of the particular locations. Do not use painted cattle guards in lieu of actual cattle guards without written authorization from the Department Deputy Director.

All fencing installed on fully controlled access highways will be placed within the highway right-of-way, one foot from the right-of-way line and maintained by the Department, with the following exceptions:

a) Frontage Roads: Since it is the general policy of the Department to transfer ownership and maintenance of frontage roads to the local governmental agency after completion of the freeway, place and maintain the fencing on the private property side of the frontage road in accordance with the policy of the local agency.

b) Stock Drives: The fences on both sides of the drive will be maintained by the Department where stock drives are constructed adjacent to highways for protection of the traveling public. The fence not adjacent to the freeway will be maintained by the owner and placed on the right-of-way line where constructed for the convenience of the property owner.

2. Partially Controlled Access Highways

A four foot chain link fence, ornamental fencing, or curbing without a fence can be used to control vehicular access on highways with this type of access control in the recognized urban areas or other developed areas of the State, where vehicular access points are close and pedestrian access to adjacent walkways is not a factor. Use a six foot chain link fence where pedestrian control is desired or necessary, such as adjacent to or near schools, parks, or other areas with high pedestrian traffic.

Fence partially controlled access highways in rural areas except where natural barriers or type of terrain prohibit animal or vehicular access. Generally, use Type B right-of-way fence, as shown on Department FG Series Standard Drawings or in the Plan Set unless one of the other types shown on these drawings is requested by the adjacent property owner. Special purpose wildlife fencing is to be placed when requested or concurred with by the UDWR and no objection is raised by the adjacent property owner.
Provide as a minimum a 20 foot wide gate at all authorized property access points. Proper gate operation is the responsibility of the property owner. A cattle guard may be substituted for the gate when requested in writing by the adjacent property owner and that owner is willing to pay any additional costs for installation over that of a gate.

All fencing installed on partially controlled access highway is owned and maintained by the Department, with the fence placed one foot inside the right-of-way line. An exception to this rule can be made when the adjacent property owner specifically requests ownership of the fence and agrees to full responsibility for maintenance of the fencing. Place the fence directly on the highway right-of-way line in this case.

Designate this type of access control highway, fence ownership and maintenance responsibilities in the individual right-of-way agreement and shown on the as-constructed plans.

The Department, when fencing that is the maintenance responsibility of the property owner is damaged by an errant vehicle that has left the pavement of a State Highway and livestock is present is authorized to give notice to the property owner; notify the Utah Highway Patrol (UHP); complete a temporary repair while the owner is responding; and repair the fence if the situation seems too dangerous. The property owner or damaging party will be billed for the repairs. Repairs made to non-Department fence will meet the minimum Department standards. The Department will notify the property owner of damage and repairs.

3. Uncontrolled Access Highways

Fencing will not be provided on new construction through or adjacent to unfenced public or private property, except under at least one of the following terms:

a) The adjacent property owner will participate in 50 percent of the construction costs of the fence and appropriate Department funds are available and the owner agrees to maintain the fence. Refer to Note 2.

b) The Department determines that fencing is essential to the safety of the traveling public.

Provide a fence in conformance with the Standard Drawing or Plan Set type designated on the right-of-way contract where additional right of way is required for construction or improvement of uncontrolled access highways, stock trails, frontage or side roads, through an area previously fenced, or developed property with the following exceptions:
a) Provide the same type of fence, as closely as possible, on the new construction, if there is an existing ornamental or similar type fence on a property that is to be disturbed and if requested by the owner.

b) Provide a six foot chain link fence for protection of children in the area if the additional right-of-way is adjacent or in close proximity to a school, park, or playground.

c) One of the special wildlife fence types may be provided at the request or concurrence of the UDWR subject to the approval of the adjacent property owner. All special fencing provided in this case will be maintained by the UDWR, the Department or UDWR programs, such as Dedicated Hunter under Department supervision.

All fencing provided on uncontrolled access highways, except special fencing, becomes the property of the adjacent landowner and is maintained by that owner. Provide as a minimum, 20 foot wide gates at existing or agreed upon opening locations when fencing is provided. Proper gate operation is the responsibility of the adjacent property owner.

Place fences that are to be maintained by someone other than the Department directly on the right-of-way line. Place this fencing one foot inside the right-of-way line if for some reason the Department agrees to the maintenance of fencing in uncontrolled access areas. Place the fencing in accordance with the policy of the local authority on local governmental agency projects.

The Department, when fencing, regardless of specific ownership, is damaged by an errant vehicle that has left the pavement of a State Highway and livestock is present, is authorized to give notice to the property owner; notify UHP; complete a temporary repair while the owner is responding; and repair the fence if the situation seems too dangerous. The property owner or damaging party will be billed for the repairs. Repairs made to non-Department fence will meet the minimum Department standards.
4. Fencing Replacement:

The condition of the right-of-way fencing on each section of State highway should be specifically noted in the report of the annual Region Director’s inspection of the roadways in their administrative area. These reports should then be examined at the time of any scoping or conceptual meeting for all Federal-aid, State, or State Maintenance rehabilitation or maintenance projects. Complete replacement of the fencing should be considered as part of the project when the reports indicate that the fencing has reached a state of deterioration where it can no longer be adequately maintained. Consider changes in this fencing policy, urban boundaries, or use of the adjacent properties when deciding what type of fence to be provided in the project when the approval of including fence replacement is in the project.

5. Variance of Policy:

Obtain Deputy Director approval for any deviation from this policy.

Notes

1: UDWR, before fence installation, reviews and approves the requests or recommendations of other federal, state, local, or private agencies for special fencing.

2: Fifty percent participation consists of either the landowner paying half the cost of the contract bid item for the type of fence to be installed, or by Department furnishing all materials necessary for construction of the agreed on fence type and delivering these materials to the nearest Department maintenance shed. The landowner is responsible to pick up and install the fencing on the appropriate right-of-way line. The owner may be allowed to use materials other than that shown in the Standard Drawings or in the Plan Set should the landowner desire, but only at owner expense and responsibility.
Purpose
To establish a policy and procedure for advertising and awarding Design-Build projects that provides uniformity and consistency throughout the Utah Department of Transportation (Department).

Policy
The Department determines the suitability and approves projects using Design-Build delivery. Advertise RFQs for Design-Build projects in newspapers with statewide and local county distribution. Post Request for Qualifications (RFQ), Request for Proposal (RFP), short-lists, and contract awards on the Department Web site.
Responsibility:  Project Manager

Actions

1. Determine the suitability of project for Design-Build contracting.

2. Make recommendation regarding contracting method to Executive Director or Designee through Region Director.

Responsibility:  Executive Director or Designee

3. Approve contracting method.

Responsibility:  Project Manager

4. Develop Request for Qualification and Request for Proposal.

5. Recommend teams to evaluate Qualifications and Proposals to the Executive Director or Designee through Region Director.

Responsibility:  Executive Director or Designee

6. Approve Qualification Evaluation Team and Proposal Evaluation Team

Responsibility:  Project Manager

7. Submit RFQ to Contracts, Estimates, and Agreements Manager.

Responsibility:  Contracts, Estimates, and Agreements Manager

8. Advertise RFQ in newspapers with statewide distribution and the local newspaper for the county in which the project is to be constructed.

9. Prepare and e-mail Notice to Contractors to suppliers and contractors in according to approved distribution lists and make files available on the Department Web site.

10. Receive and timestamp the Qualification Statements received.

11. Hold Qualification Statements until picked up by the project manager.
Responsibility: Qualification Evaluation Team

12. Develop a recommended short list of Qualified Proposers as specified in the RFQ.

Responsibility: Project Manager

13. Recommend short-list of proposers to Executive Director or Designee.
14. Submit the short-list to the Contracts, Estimates, and Agreements Manager.
15. Prepare Request for Proposals.
16. Submit Request for Proposals to Contracts, Estimates, and Agreements Manager.

Responsibility: Contracts, Estimates, and Agreements Manager

17. Post short-listed firms on the Department Web site.
18. Submit Request for Proposals to short-listed firms.
19. Places Request for Proposals on Department Web site.
20. Receive and timestamp Proposals.
21. Hold unopened Proposals until picked up by the project manager.

Responsibility: Qualification Evaluation Team

22. Recommend to the project manager a best value proposer based on the criteria in the RFP.

Responsibility: Project Manager

23. Recommend Best Value Proposer to Executive Director or Designee through the Region Director.

Responsibility: Executive Director or Designee

24. Give approval to award contract to selected best value Proposer.
Responsibility: Contracts, Estimates, and Agreements Manager

25. Prepare letter for Director of Construction and Materials signature notifying successful Proposer of award.


27. Post award information on the Department Web site.


29. Issue Notice to Proceed.

Responsibility: Project Manager

30. Debrief unsuccessful proposers.
Purpose
To establish a policy for determining when project authorization occurs for the Utah Department of Transportation (Department) Design/Build projects.

Policy
A Design/Build Request for Proposals (RFP) will not be issued until the Final Environmental Impact Statement is issued, a Finding of “No Significant Impact” is issued if the project environmental process was an Environmental Assessment, or the Categorical Exclusion document is approved.

Project Authorization occurs when the latest of the following applies for projects evaluated under an Environmental Impact Statement:

A. RFP is issued.

B. Record of Decision (ROD) commitments are incorporation into the Design/Build RPF by addendum.

Project Authorization occurs upon issuance of the RFP and Approval of the Environment Document for all other projects.

Background
Project authorization occurs at PS&E approval which is part of the Department’s Design Process Activity 85P, Prepare Advertising Plan Set under the more typical project delivery system of Design-Bid-Build. Signing the R-709 constitutes project authorization for Federal funded projects. Signing the T-725 constitutes project authorization for State funded projects.
Purpose
To establish a policy for the Utah Department of Transportation (Department) to determine the time component for Price + Time bidding or to determine contract time for projects that do not incorporate Price + Time. To identify a procedure that captures the full cost of a project; including user costs for construction projects. The practical application of this policy is to balance societal costs with construction costs.

Policy
Contract time (T), also known as construction duration time (T) will be established to aid the Department to better manage the construction of projects. During the Project Development phase of projects the Department will:

1. Establish T to aid the Department to better manage the construction of projects.
2. Establish non-work windows and address these windows in a Contract Special Provision.
3. Assess potential user costs based on the anticipated amount of delay given standard construction techniques.
4. Develop a strategy to mitigate user costs.
5. Develop project costs required to implement the mitigation strategy.
6. Balance user costs with actual construction costs.

The Department will bid time using Price + Time on construction projects with the exception of bidding time on CMGC projects.

Background
Department projects impact the traveling public in a variety of ways. One of these impacts is costs to the user in the form of delay. Identifying these associated user costs during the Project Development design phase will allow the Department to make decisions that better encompass the full range of project costs. The Department recognizes the need to balance user costs with all other project related costs. The Department recognizes the faster projects are completed, the less impacts to the traveling public, and therefore the greatest benefit.
Definitions

Non-work windows
Periods of time when the contractor will not be allowed to work, periods of time that are not included in incentive/disincentive amounts, or both.

Time (T)
Contract time (T), also known as construction duration time (T).
Procedures
Contract Time and Price + Time (P+T) Bidding

Concept Development Phase

Responsibility: Project Manager

Actions
1. Include estimated Time incentive costs in concept estimate.

Project Development Phase

Responsibility: Traffic Operations Center (TOC)

2. Develop and maintain a standard process for determining project user costs on projects.
3. Calculate and deliver costs to projects as requested.

Responsibility: Design Engineer

4. Determine Time (T) components with the project manager and the resident engineer and include in project.
5. Establish non-work windows.
6. Provide this information to the project manager and resident engineer for incorporation in the Contract Special Provision.
7. Obtain information critical to determining T such as traffic volumes, public impacts, political implications, and where incentive and disincentive considerations are involved.
8. Provide this information to the project manager and resident engineer.

Responsibility: Project Manager

9. Contact the TOC during project development design for expected user costs on project.
10. Obtain input into the calculated T figure from participants on the project team.
11. Develop strategies with the project team for minimizing user costs on the project.

12. Develop project costs required to implement the mitigation strategy.

13. Balance user costs with actual construction costs.

14. Review and consider the project team input to determine if recalculating of T is necessary.

15. Coordinate with the project team to agree on T before assembling the final bid package.

16. Discuss benefits and issues associated with P+T bidding with local governments.

17. Document the decision process and final T value for each local government project.

18. Submit written justification to the Region Program Manager with reasons to waive P+T bidding for projects that are not appropriate for P+T bidding.

   a) There may be rare exceptions to using P+T on projects.
   b) Obtain final written approval from the Region Director for the project file.

19. Include Price + Time (P+T) bidding on the Project; using amount as determined above.

20. Determine Incentive/Disincentive amount to be used as part of Price + Time (P+T) bidding.

21. Include all non-work windows using T as determined above and incorporate final requirements in the Contract Special Provision.

22. Document the decisions that determine the final T value and maximum incentive used on each project in the project file.

**Responsibility:** Innovative Contracting Engineer

23. Maintain the Price + Time Statewide Special Provision and documentation.

24. Provide set of guidelines for projects that do not use P + T, when appropriate.
Purpose
To establish a policy for the Utah Department of Transportation (Department) to establish a Prequalification Board (Board) to direct the prequalification of contractors, review and analyze prequalifications, and establish the amount and type of prequalification to be granted to contractors.

Policy
Contractors desiring to submit bid proposals for construction contracts will be prequalified by the Department to ensure they have the resources and capability to successfully complete awarded contracts. Contractors wishing to bid on projects advertised for less than $3,000,000 will not be required to prequalify.

Qualification ratings will establish the type of construction a contractor will be permitted to perform and the maximum dollar value of contracts they will be allowed to undertake at any one time.

Contractors who attain a prequalification of $50,000,000 represented by a total of their Financial, Experience, and Performance Ratings will be classified as Unlimited.

Ratings will be based on an evaluation of the contractor's experience, past performance, and analysis of certified Financial Statements, including Balance Sheet, Income Statement, and Changes in Financial Condition. Contractor ratings will be reviewed at least once yearly, as application is made and more often if the circumstances warrant.

Board membership:

Director of Construction and Materials - Chair
State Construction Engineer
Comptroller
Prequalification Specialist

Any of the board members may designate a substitute. The Contracts, Compliance and Certification Manager will serve in an advisory capacity to the Board.
The Contractor’s application for prequalification will be received by the Specialist, who will be responsible to acquire any omitted information from the contractor, assure prompt action on properly executed applications, and maintain appropriate confidential files and lists. The Specialist will arrange for a meeting of the Board when conditions warrant.

The Specialist will keep a current qualification file for three years on each contractor eligible to bid Department projects.

The dollar amount of prequalification a contractor may be granted will be calculated by the following formula:

Prequalification Amount:
Adjusted Equity \times A \times (B+C+D)

Where: Adjusted equity is determined from financial information submitted by the contractor.

A = Contractor Performance Factor from Resident Engineer, Form C119.

B = Experience Rating Factor from Contracts, Compliance and Certification Manager.

C = Financial Rating Factor from Comptroller.

D = Additional Experience Factor from Contracts, Compliance and Certification Manager

Unlimited prequalification will be granted if the calculated amount is $50,000,000 or greater.

The requirements listed in the following procedure does not exclude the Board’s right with cause to reduce the calculated Prequalification Amount obtained using the formula or deny the application.

**Background**

This procedure was prepared to establish the formula for determining the total dollar amount of contracts for which a contractor may be prequalified and to establish the procedure for processing contractor applications for prequalification.
Procedures
Prequalification of Contractors

Responsibility: Prequalification Board

Actions

1. Meet when necessary to review contractor request for prequalification, consider contractor experience and performance ratings, consider changes in policies and procedures, and hear appeals from contractors on their application for prequalification.

Responsibility: Resident Engineer

2. Complete the Contractor Rating Form C119 at the completion of the contract work and prior to December 31 of each year for on-going projects.

3. Submits completed Form C119, Contractor Rating, to the Prime contractor for signature at the post construction meeting.

4. Submit a signed copy to Contracts, Compliance and Certification Manager.

5. Include a signed copy with final estimate documents.

Responsibility: Contracts, Compliance and Certification Manager

6. Average the last three year’s ratings (a minimum of 3 ratings) to determine the contractor’s performance rating.

7. Determine the Contractor Performance Factor (A in formula) from the equation: \( A = \frac{(X-45)^2}{100} \) where \( X \) is the average Contractor Rating.

   a) A contractor with an average performance rating below 70 percent will fail to obtain prequalification.

   b) The contractor may appeal at a hearing before the Board.

   c) A Rating of 85 percent or a Contractor Performance Factor of 1 will be given when a contractor has fewer than three ratings or they have no experience working in the State of Utah.
8. Submit the Contractor Performance Factor (A in formula) to the Comptroller’s Office for use in computing a contractor's amount of prequalification.

a) This factor will vary from 0.62 to 1.37.

9. Compute and submit the Contractor's Experience Rating (B in formula) to the Comptroller’s Office for use in computing the contractor’s amount of prequalification.

a) This factor will vary from 0 to 3.7.

b) Contractors with no Department experience but whose experience justifies some value for the type of work they wish to perform, will be given an experience rating (Factor B) of 2.5.

10. Use the A Factor Average Rating for an Additional Experience Factor (D in formula), using only the current year ratings applied to the following information:

\[
\begin{align*}
100-95 &= 1.3 \\
94-85 &= 1.0 \\
84-0 &= 0
\end{align*}
\]

a) Contractors with no performance ratings in the current year or no experience working as a prime contractor on Department projects will receive a factor of 0.

b) The Additional Experience Factor will vary from 0 to 1.3 and will be added to the Experience Rating Factor (B in formula) provided by the Contracts, Compliance and Certification Manager.

c) The two factors combined will not exceed 5.

Responsibility: Prequalification Specialist

11. Send a renewal notification to the contractor two months and one month prior to the prequalification expiration date.

12. Send the renewal notification to any contractor immediately following the expiration date if they have not renewed.
13. Review application forms and supporting documents for completeness after the contractor has submitted application forms.

   a) The Board Prequalification Specialist may grant an extension of up to sixty days if it is necessary for the contractor to request an extension of their prequalification.

   b) The Director of Construction and Materials may approve an extension if a ninety-day extension is requested.

   c) Derive work classification from Contractor’s submitted Work History.

14. Obtain information from the contractor if omissions are noted.

15. Transmit the application and documents to the Comptroller’s Office.

   a) The prequalification period cannot extend more than eighteen months beyond the end of the contractor’s fiscal year to which the financial statements apply.

**Responsibility:** Comptroller’s Office

16. Compute the contractor’s Adjusted Equity (See Formula) and Financial Rating Factor (C in Formula) from information abstracted from the contractor’s financial statement.

   a) The Financial Rating Factor may be based on either audited or reviewed financial statements.

   b) Reviewed statements, which must include a copy of the corresponding Corporate Federal Income Tax Return, will reduce the computed Financial Rating Factor by 50 percent.

   c) The Financial Rating Factor will vary 0 to 5.

17. Combine Experience Rating Factor (B in Formula), Financial Rating Factor (C in Formula), and Additional Experience Factor (D in Formula).

   a) This combined rating will vary from 0 to 10.

18. Use formula, compute Prequalification Amount, and give completed schedule to the Prequalification Specialist.
Responsibility: Prequalification Specialist

19. Tabulate action of the Board to show the contractor’s name, type and value of work, and expiration date for which they are prequalified.

20. Route completed applications and financials to the Deputy Construction Engineer in behalf of the Director of Construction and Materials for review of work classifications and signature of approval.

21. Notify each applicant contractor requesting prequalification of the Board’s action on their behalf.

22. Coordinate Board meetings when necessary.

23. Prepare minutes of Board meetings.

24. Transmits board meeting minutes to Board members for approval.

25. Make available to the Board via the Project Development Business System a list of all prequalified contractors, indicating the type of work and amount for which each contractor is prequalified.

26. Post to the Department Web site a list of prequalified contractors, type of work, and expiration date.
Purpose
To establish a policy and procedure for the Utah Department of Transportation (Department) and place responsibility for conducting Equal Employment Opportunity (EEO) compliance reviews of contractors and subcontractors.

Policy
Pursuant to the provisions of Section 22(a) of the Federal-Aid Highway Act of 1968, as amended (23 U.S.C. 140 (a)), the Department desiring to avail itself of the benefits of Chapter 1, Title 23, United States Code, and as a condition to obtaining the approval of the Secretary of Transportation of any programs for projects as provided for in Title 23, United States Code, Section 105(a), hereby gives its assurance that employment in connection with all proposed projects approved on or after August 23, 1968, will be provided without regard to race, color, creed, sex, or national origin.

The Department’s Central Civil Rights Office will administer the Department’s external Equal Employment Opportunity Program. More specifically, and without limiting the above general assurance, the Civil Rights Office will comply with the steps listed in the procedure included with this policy.
Responsibility: Central Civil Rights Office

Actions

1. Establish an Equal Opportunity Program that includes a system to determine that contractors and subcontractors comply with equal employment opportunity contract obligations.

2. Establish procedures to guarantee that discrimination in employment on the grounds of race, color, creed, sex, or national origin is not permitted on any projects.

3. Establish affirmative action procedures, including the imposition of contract sanctions and the initiation of appropriate legal proceedings under any applicable Federal or State law to achieve equal employment opportunity on Federal-Aid highway projects.

4. Establish and maintain liaison with public and private sector agencies and organizations that are involved in equal opportunity programs.
   a) The agencies and organizations include, but are not limited to labor unions, contractor associations, minority group organizations, the U.S. and State Employment Service, and the U.S. and State Department of Labor.

5. Conduct EEO compliance reviews with contractors and subcontractors that are actively working on Department construction projects.

6. Seek the cooperation of labor unions, contractors, appropriate State agencies, and other related organizations in the establishment of skill training programs so that all potential attendees have an equal opportunity to participate in training programs without regard to race, creed, sex, color, or national origin.

7. Include in advertised notifications the equal employment opportunity responsibilities as required by the Federal Highway Administration (FHWA).

8. Furnish reports and information as may be required by the FHWA.

9. Cooperate in all investigations and enforcement actions undertaken by the FHWA.
Purpose

To provide Utah Department of Transportation (Department) guidelines for compliance to the Title VI program of the Civil Rights Act of 1964 and related civil rights laws and regulations, and conduct compliance reviews relative to the Federal-aid highway program.

Policy

Federal Highway Administration (FHWA) policy is to ensure compliance with Title VI of the Civil Rights Act of 1964; 49 CFR part 21; and related statutes and regulations.

Prohibition against exclusion from participation in, denial of benefits of, and discrimination under federally assisted programs on grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.

The Department’s Central Civil Rights Office will administer the Department’s external Title VI Program. More specifically, and without limiting the above general FHWA assurance, the Civil Rights Office will comply with the steps listed in the procedure included with this policy.
Responsibility: Department Central Civil Rights Office

Actions

1. Establish a Title VI Program where nondiscrimination provisions apply to all federally and non-federally assisted programs and activities of Federal-aid recipients, sub-recipients, and contractors, regardless of tier.

2. Establish procedures to assure that discrimination on the grounds of race, color, or national origin is not permitted on any transportation project.
   a) The Title VI Program extends to other protected classes to include sex, age, disability or income status.
   b) Discrimination for Federal Transit would include race, color or national origin and does not extend to other protected classes in the way of grants, loans or contract, other than contract of insurance or guaranty.

3. Establish affirmative action procedures, including the imposition of contract sanctions and the initiation of appropriate legal proceedings under any applicable Federal or State law to achieve Title VI compliance on Federal-Aid highway projects.

4. Establish and maintain liaison with Department internal areas, public and private agencies, and organizations that are involved in Title VI programs.
   a) The agencies and organizations include, but are not limited to state and local government entities, colleges, universities, the U.S. and State Employment Service, and the U.S. and State Department of Labor.

5. Receive and investigate complaints.

6. Accomplish Title VI compliance reviews of cities, counties, consultant contractors, suppliers, universities, colleges, planning agencies, and other recipients of Federal-aid highway funds.

7. Conduct training programs on Title VI to recipients, sub-recipients, appropriate State agencies, and other related organizations in the establishment of skill training programs so that all potential attendees have an opportunity to participate in training programs without regard to race, color, national origin, sex, age, disability or income status.
8. Prepare a yearly report of Title VI accomplishments for the past year and goals for the next year.

9. Prepare and submit annual updated Title VI implementation plan to Regional Federal Highway Administrator for approval or disapproval. Prepare and submit a separate annual updated Title VI implementation plan to Region 8, Denver Office for Federal Transit Administration.

10. Appendix A, Non-Discrimination Notice is included in the advertised and awarded contracts in accordance with Title VI of the Civil Rights Act of 1964 as required by the Federal Highway Administration.

11. Develop procedures and furnish statistical data for reports and information as may be required by the Federal Highway Administration.

12. Cooperate in all investigations and enforcement actions undertaken by the Federal Highway Administration.
Purpose
To establish policy, procedure, and responsibility for developing and approving construction contract Change Orders for the Utah Department of Transportation (Department).

Policy
Change Orders are a necessary tool to change the conditions of construction contracts as it is not possible to anticipate every condition that may be encountered during the contract. In no instance will extra work be started without a Change Order or Authorization to Proceed being first prepared and executed in accordance with the following procedure. Authority to approve Change Orders on projects is assigned as designated herein.

Procedures in this policy require an understanding of the applicable articles of Sections 00555, 00725, 00777 and 01282 of the Utah Standard Specifications for Road and Bridge Construction and the Construction Manual of Instruction. Persons with responsibilities assigned in this policy should review these requirements and those of policy and procedure 08-4, Project and Program Cost Control.
Procedure
Change Orders

Responsibility: Resident Engineer (RE)

Actions

Resident Engineer Contingency

1. Negotiate with the project manager prior to advertising the amount that will be held as RE contingency on the project.
   a. This amount will be a minimum of $5,000 and a maximum of $25,000 per project, and will be included as a non-bid item in the contract.
   b. Use RE contingency during construction to make minor adjustments to the contract for items that do not require a change order.
      1) These adjustments will not change the project scope beyond the project definition document, change specifications, add contract days, or exceed the RE contingency amount.

2. Document all RE contingency spent on an RE Contingency Documentation Form.

Change Orders

3. Recommend approval of all Change Orders to the approving authority.

4. Review the proposed Change Order with the District Engineer and Project Manager prior to negotiations with the Contractor.

5. Identify potential project issues that may result in contract change orders as early as possible. Discuss proposed contract changes with the Project Manager and District Engineer.

6. Include the Department technical area representatives and Local Government’s representative in this discussion when applicable.

7. Define the scope of proposed changes to the contract; including a preliminary estimate of quantities, costs, and additional time required before negotiating changes with the Contractor.
8. Prepare the change order after completing negotiations with the Contractor.

9. Prepare a Potential Change Order - Authorization to Proceed for a contract change when the time necessary to prepare, submit, and obtain approval of a Change Order would delay the orderly progress of work.

10. Finalize a Change Order within thirty days of executing an Potential Change Order - Authorization to Proceed for the work delineated in this document.

Responsibility: District Engineer

11. Approve all Change Orders for Federal participation and specification changes, according to the Federal Highway Administration – Department Stewardship and Oversight Agreement.

12. Review all adjustments on the RE Contingency Documentation form periodically to determine federal eligibility of these items.

Responsibility: Project Manager

13. Approve budget for Change Orders valued up to $100,000, provided the Change Order doesn’t increase the Total Project Cost Estimate (TPCE) above the Project Value (PV).

14. Approve change orders that change the scope or impact the duration of the contract.

15. Recommend for approval Change Orders that exceed the approval limit.

16. Consult with the Region Director, Program Manager, District Engineer, and others as necessary.

17. Obtain additional project funding before final approval of change orders that increase the TPCE above the PV.

Responsibility: Program Manager

18. Coordinate with the Region Director and Program Finance to obtain additional funding for the project or help adjust the revised project scope to stay within the PV when the TPCE with the addition of the Change order exceeds the PV.
19. Help the Region Director and Program Finance prepare the presentation to the Commission or Joint Highway Commission (JHC), when Commission or JHC approval is required for additional funding.

**Responsibility:** Region Director

20. Approve Change Orders exceeding $100,000 up to an amount that increases the TPC by 25 percent or $500,000 over the Commission Approved Amount (CAA), whichever is less, when the Region Director has available funds to cover the increased TPCE.

   a. The Region Director’s approval authority is limited to $250,000 on projects where funding is administered by Metropolitan Planning Organizations (MPOs) or the JHC.

   b. The funding categories affected by the $250,000 limit include STP – Urban, CMAQ, STP – Rural, STP – Small Urban, and Bridge Off System.

21. Obtain approval for additional funding from the Transportation Commission or JHC or both in the case the change order causes the TPCE to exceed the CAA by 25 percent or $500,000 for Commission approved projects or $250,000 for JHC or MPO administered projects.
Advertising and Awarding Construction Contracts  UDOT 08B-12

Effective: October 6, 1967          Revised: September 26, 2013

Purpose
To establish policy and procedure for the Utah Department of Transportation (Department) for assembling contract plans and proposals, advertisements for bid, and award of construction contracts.

Policy
Highway construction projects will be advertised for bid in sufficient time and detail and in a sufficient variety of media including the Department’s Web site to allow all interested qualified contractors the opportunity to bid. Projects will be advertised for bid on the Department Web site a minimum of 14 days for State funded projects and 21 days for Federal funded projects, unless shortened by approval of the Director of Construction and Materials, FHWA, or both.

Advertisements and approved plans and specifications will be made available a minimum of 10 days prior to the pre-bid conference when a mandatory pre-bid conference is indicated.

The Total Project Cost Estimate (TPCE) for the project will be compared with the Commission Approved Amount (CAA) prior to advertising. The project will be referred to the Commission for its consideration and decision for an increase in programmed funds whenever the TPCE exceeds the CAA by more than 25 percent or $500,000, whichever is less. The project will be referred to Metropolitan Planning Organizations (MPO) or the Joint Highway Committee (JHC) on projects whose funding is administered by these bodies when the TPC exceeds the CAA by $250,000. The funding categories affected by the $250,000 limit include STP – Urban, CMAQ, STP – Rural, STP – Small Urban, and Bridge Off System.

Addenda to bid proposals will be kept to a minimum, and must be e-mailed, and transmitted by facsimile (FAX) to project’s plan holders at least 11 calendar days preceding the scheduled bid opening date. The only exceptions will be addenda for bid postponement, wage rate changes, and those approved by the Region Project Manager and the Director of Construction and Materials. Addenda will also be posted on the Department Web site.

Bid proposals will be opened publicly and results published on the Department Web site. Award of contract, if awarded, will be to the lowest responsive bidder or best value bidder on Design Build, CMGC or any other method of Innovative contracting projects.
The following process for abstract and funding approval is required when the apparent low bid on a project more than 10 percent over the engineer’s estimate.

1. At bid opening the abstract is limited by Central.
2. Ten percent viewer flag posted on Department Web site, “Unofficial Bid Results” by Central.
3. A funding e-mail is sent from Central to the Project Manager (PM) and Resident Engineer (RE) for funding approval and copied (cc'd) to internal key divisions only, including Program Finance. This e-mail excludes any contractor company names and provides totals for P +T and any additives.
4. A detail abstract excluding name of bidding contractors is sent to Department’s Estimating Support for cost index review.
5. Funding approval is required by e-mail from the PM and Program Finance. Funding approval by Program Finance is based on the Base, Additive Items and the Non-Bid Details on the project.
6. Civil Rights approval is required on Federal projects, once funding approval is received.
7. The detail abstract is sent directly to the PM for detail abstract approval once Civil Rights gives approval.
8. The abstract in the EBS System is marked unlimited, Unofficial Bid Results are posted to the Department Web site, and bidders are e-mailed or notified by Central once the detail abstract is approved by the PM.
9. Central Construction can award the project.

The project can be canceled or re-advertised without a re-scope of work if the funding or the detail abstract is not approved because the unit bid prices of the apparent low bidder were not disclosed.

The Executive Director may accept or reject the low bid when bids exceed the Engineer’s Estimate by more than 10 percent. The Executive Director will consult with the Transportation Commission (Commission) before accepting or rejecting the bid when the low bid is in excess of $500,000 or 25 percent of the project Commission Approved Amount (CAA). The Executive Director will provide a quarterly report to the Commission on projects that have exceeded the original CAA by $500,000 or 25 percent of the project CAA previously acted upon by the Commission.

The successful bidder will furnish performance and payment bonds, each in the total amount of the bid, to guarantee the full and faithful performance of the contract and the payment of suppliers and subcontractors.
Responsibility: Region Project Manager

Actions

1. Verify the Construction Estimate is within the amount budgeted for construction costs and that the TPCE does not exceed the CAA prior to bid.

2. Prepare justification for increasing programmed amount.

3. Submit request to increase the programmed amount through Region Director to Systems Planning and Programming Director for recommended action.

4. Check with appropriate authorities for status and appropriate documentation of right-of-way, utility, funding clearances, and appropriate certifications.

5. Obtain approval from the Project Development Director to proceed with project advertising.

6. Assemble plans, specifications, estimates, and authorizations in accordance with established agreements and transmits to the Federal Highway Administration (FHWA) for review, comment, and approval.

7. Obtain FHWA’s authorization to advertise for bids in accordance with established agreements on Federal-aid projects.

8. Assemble plans and proposal for advertising.

9. Submit final plans, specifications, and estimate to the Contracts, Estimates, and Agreements Manager.

10. Coordinate, obtain approvals, and prepare addenda when necessary

Responsibility: Systems Planning and Programming Director

11. Examine the effect of recommended increase on the construction program.

12. Prepare report on the status of the currently approved program.
13. Recommend action to the Executive Director or Deputy Director and Commission.

**Responsibility:** Contracts, Compliance and Certification Manager

14. Receive plans, estimates, and special provisions for advertising from the PM, including all authorizations and certifications.

15. Prepare advertisement for bids.


17. Post on the Department Electronic Bidding Web page.

18. Prepare and publish “Notice to Contractors” on the Department Electronic Bidding Web page.

19. Prepare and post bidding plans and proposals on the Department Web page.

20. Place hard copies at the Central Construction Front Desk for public inspection and review.


22. Make list available on the Department Electronic Bidding Web page.

**Responsibility:** Contracts, Compliance and Certification Manager

23. The Department will post a copy of addenda on the Department Web page, fax addenda to the prime bidders, and e-mail addenda to each contractor on the planholders list if it is necessary to issue an addendum during the advertising period.


25. Open bids and check for responsiveness at bid opening.

26. Retain all bid packages at the close of bid opening.
27. Formulate “Results of Bid Opening” document for distribution, to include posting to the Department Web page.

a) Irregular bid determinations are made by the Director of Construction and Materials.

b) Bids over 10 percent are held until notification of final determination of action from the Region PM.

28. Retain cash, certified check, or cashier’s check when submitted in lieu of the bid bond from the two lowest contractor bids until contracts are executed.

29. Prepare letter for Director of Construction and Material’s signature on any non-responsive bid.

30. Prepare abstracts of bids and requests concurrence to award from Region PM.

31. Post abstracts to the Department Web page.

Responsibility: Region Project Manager

32. Consult with Region Director, Systems Planning and Programming Director, and Local Government Engineer (local government projects only) as to funding and Program effects if the low bid exceeds the Engineer’s Estimate by more than 10 percent.

33. Prepare written concurrence to award or reject the low bid.

34. Submit concurrence and recommendation for award to the Contracts, Compliance and Certification Manager.

Responsibility: Contracts, Estimates, and Agreements Manager

35. Prepare letter for Director of Construction and Material’s signature notifying bidder of award.

36. Prepare, print and mail contract to low bidder upon abstract approval.

37. Post awarded copy of contract provisions and plan-set to Department’s Innerweb for internal use.

38. Facilitate printing of contracts for signature.
39. Receive signed contracts, to include properly documented contract Payment and Performance Bonds, certificates of insurance, Qualified Health Insurance when applicable OCIP Enrollment form when applicable, and Previous Contract and Compliance Report (Federal-Aid projects only).

40. Obtain Deputy Director’s signature on the contract documents.

41. Issue the Notice to Proceed letter.

42. Date the contracts to reflect the date of Notice to Proceed letter.

43. Forward to the Comptroller’s office.

**Responsibility:** Comptroller

44. Obtain signatures of Attorney General and the Division of Finance.

45. Deliver executed contracts to Contracts, Estimates, and Agreements Manager.
Purpose
To establish policy for the Utah Department of Transportation (Department) and place responsibility for the transmission of contractor and subcontractor labor payrolls, when required, for Federal Aid projects.

Policy
The Department’s Resident Engineer will regularly review contractor and subcontractor payrolls on Federal Aid projects to verify the contractor and subcontractors are following the wage rates set by the Department of Labor regulations.
Responsibility: Resident Engineer

Actions

1. Verify that the contractor or subcontractor or both post the wage rate decision applicable to the contract on a bulletin board located in a prominent place where it can readily be seen by all the employees on the project and is accessible to the public at all times.

2. Verify that the electronic copy of the contractor’s and working subcontractor’s certified payroll are entered into electronic payroll program every seven days.

3. Review the payrolls for completeness and certification according to FHWA 1273, V2 and for compliance with proper classification and wage rates set forth in the wage determination decision that is posted at the work site bulletin board and included in the contract.

4. Verify that the Electronic Statement of Compliance and other attached documentation indicate fringe benefits are being paid into an established fund or are paid in cash to the employee. Check that the total hourly rates paid are adequate to cover the minimum established wage rates plus the fringe benefits whether fringe benefits are paid in cash or into an established, approved fund.

Responsibility: Region Contracts Specialist

5. Review the Resident Engineer’s procedure on each project to verify that the review at the project level is consistent with the requirements of this policy and in the Department’s Construction Manual of Instruction.

6. Review the contractor’s electronic payrolls when the final estimate is received.

7. Verify all electronic payrolls and supplemental payrolls have been entered into the Project Development Business System (PDBS) for all periods worked on the project by either the prime contractor or subcontractors.
Responsibility: Central Civil Rights Office Personnel

8. Provide guidance and instruction to Regions and Project offices so that FHWA 1273 Section IV, Davis Bacon requirements are being complied with and compliance can be verified.
Purpose
To place the responsibility for effecting the lease of additional office space for Project Engineers and for leasing property for stockpile sites.

Policy
The Project/Resident Engineer and the Region Construction Engineer determines the need for additional Project Engineer office space.

The Project/Resident Engineer and the Region Construction Engineer determines a suitable site for stockpile materials.
Procedures
Leasing Office Space for Construction Projects and Leasing of Stockpile Sites

UDOT 08B-23.1

Responsibility: Project/Resident Engineer, Region Construction Engineer

**Actions**

1. For Office Space and Lease Space for Materials Lab Trailers: Determines the need for additional Project Engineer office space; finds suitable accommodations and obtains competitive bids for leasing the space. Obtains the information from the vendor which includes the vendor’s name, federal ID number, type of ownership, (e.g. Corp., partnership, owner), along with the vendor’s quote of cost per month for lease of their property and what utilities will be provided and the length of time the lease will be required.

   For Stockpile Sites: Determines suitable site for stockpile material; negotiates with owner to lease property

2. Submits complete vendor information and requested terms of the lease to the Region Administrative Manager for processing.

Responsibility: Region Administrative Manager

3. Makes contact with the property manager at DFCM with details of the required leasing.

Responsibility: Property Manager DFCM

4. Notifies the Region Administration Manager if an inspection is required to assure the property meets DFCM standards as to ADA requirements, asbestos abatement, and other DFCM requirements. If an inspection is required, an agreement must be signed by the owner saying they will pay for the inspection. If an inspection is not required, the property manager will initiate the lease agreement and submit it to the property owner for signatures. After receiving the approved lease agreement from the owner, the property manager will secure all required approval signatures and send a final approved copy to the Region Administrative Manager for distribution to the Project Engineer. All lease payments will be made by the Regions upon submittal of monthly invoices by the property owners.
Purpose
To establish the policy for the Utah Department of Transportation (Department) and to place responsibility for orderly and proper processing of final project records for retention.

Policy
Each Resident Engineer will set up and maintain a file for each assigned project until that project is complete. All project records will then be sent to the Region Contract Specialist.
Procedures
Retention of Construction Project Records Issued by the Office of Construction

UDOT 08B-25.1

Responsibility: Resident Engineer

Actions

1. Set up immediately the filing system as outlined in the Department Construction Manual of Instruction (MOI) upon assignment to project.

2. Keep project records current and complete as project progresses.

3. Place all project records including field books, final plans, tickets and final estimates into transfer boxes or an electronic filing system or both upon completion of project.

4. Submit information in Step 3 above with Final Estimate.

5. Deliver transfer boxes, if applicable, to Region Contract Specialist with Form C197, Final Estimate Checklist.

Responsibility: Region Contract Specialist

6. Review Final Estimate and supporting records to the extent necessary to verify its accuracy and completeness.

7. Submit final estimate documents as indicated on Form C128 to Contracts, Compliance and Certification Manager in Central Construction.

8. Create and maintain a log of archived projects

9. Store project records in the Region for three years after the final voucher date.

10. Obtain approval from Central Construction before destroying records.

Responsibility: Contracts, Compliance and Certification Manager

11. Review Final Estimate documents for accuracy and completeness and compares with PDBS.

13. Forward records to the Department Central Library after the Final Estimate has been paid.

14. Hold records when the claim is submitted pending settlement of that claim.

15. Return records after the claim is settled.
Bid Bond Forfeiture of Surety Bond, Cash or Other Security Instrument

UDOT 08B-27

Effective: August 26, 1983 Revised: June 11, 2013

Purpose
To establish a policy for the Utah Department of Transportation (Department) to recognize there are certain instances when it would be inequitable to require prospective bidders to forfeit amounts posted as security to guarantee a bid. Such security is usually posted in the form of a surety bond but may be in cash or other security instrument. This policy is for the purpose of defining the conditions that will justify relieving a bidder from the requirement to forfeit a bid security deposit.

Policy
The Department will provide a procedure where a prospective bidder can be relieved of the requirement to forfeit the bid security posted to guarantee a highway contract bid with the Department.

Definitions

Materially Different
Anything exceeding three percent of the intended total contract bid.
Procedures
Bid Bond Forfeiture of Surety Bond, Cash, or Other Security Instrument

Responsibility:  Prospective Bidder

Actions

1. Apply to the Department in writing and specify in detail the reason for seeking relief from bid security forfeiture.

2. Submit a written request to the Department no later than 24 hours from the date bids were opened to establish the following items as a minimum:
   a. The proposed bid contains a significant mistake. The mistake must be administrative or procedural in preparing or in filling out the proposed bid and not due to an error in judgment or to carelessness in inspecting the site of the work, or in reading the plans or specifications.
   b. The mistake made the bid materially different than it was intended to be.

Responsibility:  Director of Construction and Materials

3. Review the written request for relief

4. Verify the information provided.

5. Decide to accept the request or forfeit the bid security based on the information provided by the Prospective Bidder.

6. Notify in writing the Prospective Bidder, the Department Deputy Director, and the Attorney General’s Office of the decision.


8. Return bid security, if appropriate.

Responsibility:  Prospective Bidder

9. Accept the decision of the Engineer of Construction and Materials or
10. Appeal the decision, in writing, to the Deputy Director.

**Responsibility:** Deputy Director

11. Assign hearing officer to hear case.

12. Schedule a hearing with the Prospective Bidder

13. Make a ruling based on the information provided by the Prospective Bidder and the Engineer of Construction and Materials.

14. Provide written notice of the ruling to the Prospective Bidder.
Purpose

To establish a policy for the Utah Department of Transportation (Department) to provide a process for standardized reviews of the work performed by each Resident Engineer and their assigned staff to guarantee compliance with established construction practices and procedures and to facilitate the successful construction of Department projects.

Policy

The Department performs regular process reviews to guarantee projects are being administered and built in substantial compliance with approved contract plans and specifications, the Department’s Construction Manual of Instruction, Minimum Sampling and Testing Requirements, policies and procedures, and other Department defined processes as applicable. These reviews are intended to promote effective construction practices and construction engineering management techniques, identify training needs, and emphasize efficient construction contract administration methods for the delivery of quality transportation construction projects.
Procedures
Review of Construction Practices and Procedures UDOT 08B-28.1

Responsibility: Deputy Construction Engineer

Actions

1. Schedule regular process reviews with each Resident Engineer.

2. Notify the District Engineer, Region Materials Engineer, and Region Contracts Specialist two weeks in advance of the time and place of the reviews to invite them to participate in the review session.

3. Review project documentation to verify that the documentation conforms with the approved plans and specifications, Construction Manual of Instruction, Minimum Sampling and Testing Requirements, and applicable Department policies and procedures.

4. Conduct field reviews, if necessary.

5. Discuss review findings with the Resident Engineer and their staff; highlighting effective practices being used plus outlining deficiencies and needed crew improvements.

6. Prepare a report using form C-120 explaining the finding and recommendations for distribution to the Resident Engineer, District Engineer, Region Materials Engineer, Region Contracts Specialist, State Construction Engineer, Engineer for Materials, and others upon request.

7. Schedule a follow up process review to verify that problems are rectified if there are any deficiencies noted in the report.

8. Recommend improvements to specifications, policies and procedures, documentation requirements, training, construction manuals and other Department guidance governing construction and contract administration procedures based on results of the reviews.

Responsibility: Region Contracts Specialist

9. Help review project documentation for compliance with the approved plans and specifications, Construction Manual of Instruction, Minimum Sampling and Testing Requirements, and applicable Department policies and procedures at the request of the Deputy Construction Engineer.
Responsibility: Resident Engineer

10. Evaluate process review findings, prepare a corrective action plan to correct deficiencies, and make necessary corrections to crew practices to comply with established Department construction engineering procedures.

11. Resolve material documentation deficiencies with the Region Materials Engineer.

Responsibility: District Engineer

12. Evaluate review findings with the Deputy Construction Engineer and coordinate all necessary corrective actions with the Resident Engineer; verifying that positive steps are taken to improve the construction crew’s efficiency.

Responsibility: State Construction Engineer

13. Review process review reports for Department-wide programmatic issues and implements Deputy Construction Engineer’s recommendations for improvements to practices and procedures.
Purpose
To establish a policy for the Utah Department of Transportation (Department) for
the preparation and administration of Agreements with utility and railroad
companies for the relocation, reconstruction, or protection of their facilities in
connection with highway work and the reimbursement of their costs, exclusive of
betterment and salvage credits.

Policy
The Department will prepare agreements for relocation of utility facilities and the
protection or reconstruction of railroad facilities required in connection with
highway work. Reimbursement of their costs, exclusive of betterment and
salvage credits, will be made as required by State Law and Federal regulations.

Definitions
Utility
The word “Utility” is synonymous with railroad companies in all cases
where the word “utility” is used in this policy and procedure.
Procedures
Accomplishment of and Payment for Utility Relocations Required in Connection with Highway Work

UDOT 08B-29.1

Responsibility: Region Utility and Railroad Coordinator

Actions

1. Determine the need for relocation, reconstruction, or protection of utility facilities in coordination with the Project Design Engineer.

2. Negotiate, prepare and execute necessary agreements, including descriptions, estimates of cost, and drawings for the completion and reimbursement of costs associated with the required work.

3. Submit Form R-709, through Program Finance, for Federal Highway Administration (FHWA) approval for expenditure of funds necessary to accomplish utility relocation.

4. Distribute proposed utility agreements to Program Finance, Comptroller’s Office, and Central Construction. Forward three copies to Utility Company and Region Director for signatures.

5. Send the signed utility agreements to the Comptroller for execution.

6. Retain a copy of executed agreement from Comptrollers for reference and audit purposes.

7. Distribute executed copies to Project Manager (PM), Resident Engineer (RE), Central Construction and ProjectWise.

Responsibility: Contracts, Compliance and Certification Manager (Is responsible for monitoring administration of work under utility agreements.)

8. Monitor administration of work under utility agreements.

9. Enter Executed Agreement/Invoice information into PDBS.

10. Receive and review billing, partial and final, from utility company for work accomplished.

11. Forward to appropriate Resident Engineer for verification of work performed and approval to pay.
12. Upon completion of work, obtain a complete copy of the Utility Fiscal Review Report (Form C193) and Salvage Credit Report for Utilities and Railroads, (Form C193A) for all utility agreements from the Resident Engineer where payment is to be made to the utility under the terms of an actual cost agreement upon closing.

**Responsibility:** Resident Engineer

13. Complete and maintain the file for each utility agreement with daily force account records.

14. Accomplish a physical inspection for all work accomplished by utility company forces.

15. Record salvage value of material removed and not incorporated into the new work.

16. Obtain FHWA approval of salvage value.

17. Verify the completion of work being billed, based on the daily records, and with original agreement upon receipt of billing reflecting a partial payment of the work required.

18. Return verified billing to the Contracts, Compliance and Certification Manager.

19. Prepare a Supplemental Agreement or Utility Change Order to obtain approval from FHWA for the additional items of work in those instances where additional work not covered by the original agreement is found necessary to complete the relocation as planned.

20. Prepare Utility Contract Overrun Funding Need (UCOFN, Form C-118U) for additional utility work or overrun of planned work.

21. Complete Form C-193 and C-193A on actual cost agreements upon receipt of billing reflecting final payment.

22. Verify all documentation to support the payment is complete.

23. Forward the complete package, including Daily Force Account Records (C-104), C-193, C-193A, Utility Change Orders, and pertinent notes to the Region Contracts Specialist.

**Responsibility:** Region Contracts Specialist

24. Complete review of the final billing against the original agreement.
25. Verify adequacy of documentation to support the final payment requested.

26. Obtain District Engineer signature of approval on Form C-193 and C-193A.

27. Forward the complete package to the Contracts, Compliance and Certification Manager.

**Responsibility:** Contracts, Compliance and Certification Manager.

28. Process billing for payment as follows:

   a. Partial billings

      1) Determine that all work is verified as billed upon receipt of verified and approved partial billing from the Resident Engineer.

      2) Forward to the Comptroller for payment.

   b. Final Billing

      1) Review Form C193 and C193A and related documentation against the billing.

      2) Verify documentation will meet FHWA requirements for federal participation, when applicable

      3) Meet the Construction Manual of Instruction requirements.

   c. Forward the final billing and related documentation to the Internal Auditor with a letter of transmittal setting out those differences that cannot be reconciled where differences between the billing and the documentation appear to exist, other than costs that were incurred off the site of the work, such as engineering overhead, that cannot be corrected by the Resident Engineer or verified by the utility.

   d. Request that the Internal Auditor review the utility company’s documents that support the billing.

   e. Forward the billing to Comptroller for payment where the Resident Engineer’s documentation supports the billing.
f. Forward a copy of billing and related documentation at the same time as step 28e above to the Internal Auditor requesting an audit of the utility company records to support the final payment.

**NOTE:** Route final billings and related documentation through the Internal Auditor prior to payment in those instances where the agreement between the Department and the utility company does not provide for the return of overpayment disclosed as a result of an audit.

g. Forward the final billings approved by the Resident Engineer directly to the Contracts, Compliance and Certification Manager for payment for those agreements where the amount to be paid to the utility is a lump sum amount set forth in the executed agreement. A request for audit will not be required.

**NOTE:** The audit package sent to the Internal Auditor by the Contracts, Compliance and Certification Manager will contain the following items: Copies of the approved billing, the completed Forms C-104, Form C-193 and C-193A, copy of the executed Agreement, copy of the Authorization to Proceed, signed copies of any Utility Change Orders or Supplemental Agreements including all exhibits and any pertinent correspondence. FHWA approval will be reflected on all applicable Agreements and Utility Change Orders.

**Responsibility:** Internal Auditor

29. Review the final billing as necessary to verify the Certificate of Audit where a final billing has previously been paid.

30. Review the utility company records to support charges listed on billing when necessary.

31. Request the review be made by an auditing agency of the State where the records are located when review of an out-of-state company records is required.

32. Recommend action be taken by the Comptroller to adjust the final payment amount where advance payment has resulted in either an overpayment or underpayment.

33. Review the final billing as necessary to issue Certificate of Audit where the final payment has not yet been made.

34. Forward to the Comptroller for payment.
Responsibility: Comptroller

35. Process the billing to FHWA for Federal reimbursement when applicable where the Certificate of Audit supports amounts previously paid and no added payment is necessary.

36. Prepare Road Cost Distribution to effect payment to the utility company when the Certificate of Audit indicates additional payment is due the utility.

37. Process billing the FHWA for federal reimbursement when applicable.

38. Bill the utility for the amount of the overpayment and maintain follow-up until the amount of the overpayment is received when the Certificate of Audit indicates the advance payment made to the utility resulted in an overpayment.
Purpose
To establish a policy for the Utah Department of Transportation (Department) to monitor compliance and adherence to established construction safety and health standards. The common objective and goal is to provide a safe and healthful work environment for Contractor and Department employees engaged in construction activities for the Department. Additionally, to help prevent accidents within the industry through increased training and implementation of enhanced safety and health programs.

Policy
The Department will implement a construction site safety inspection program that identifies areas for safety and health improvements on construction projects. The Department inspection team will partner with and provide the Contractor with an inspection report that identifies areas of needed improvements during the inspection process.

The Resident Engineer is the Department’s authorized representative charged with the responsibility and authority to administer all project related issues. All non-compliant safety and risk management issues will be reviewed by the Resident Engineer (RE) or the RE’s project designee for interpretation and subsequent enforcement. The RE or designee will perform OSHA and Department related standard reviews on a frequent basis to enforce Contractor/Sub-Contractor compliance.

Background
This policy has been developed as a result of the Departments commitment to become 100 percent safety compliant.
Responsibility: Department Risk Management Committee

Actions

1. Verify that the Construction Site Safety Inspection Program meets the objectives of the Department in creating a workplace environment that is free from recognized hazards.

2. Develop program requirements that will serve as the measure for Contractor safety performance.

3. Provide training to appropriate Division personal concerning the administration and execution of the inspection program.

4. Meet on an as-needed basis to enhance and update program requirements to comply with new Department Standards and policies.

Responsibility: Department Risk Manager

5. Administer and oversee the program for compliance to all applicable laws and Department Standards and policies.

6. Meet with Department Leadership as needed and present program policy/procedure changes for approval.
Responsibility: Department Risk Management Committee

Actions

1. Develop Policy and Procedure and reporting forms necessary for the inspection program.

2. Prepare and implement an inspection form to meet the following conditions:
   a. Work zone traffic control compliance with established Department Standards and other accepted plans submitted by the Contractor.
   b. Standards for compliance as outline in OSHA 29 CFR and other applicable Department, Federal, State & Local laws as they pertain to the construction project.

3. Develop and maintain a database for tracking Contractor’s safety performance.

4. Review forms and make changes that may be required as a result of new or revised Standards applicable to the Department Safety Program.

Responsibility: Department Risk Manager

5. Submit the proposed forms with recommendations to the appropriate Divisions within the Department for approval.
Responsibility: Region Safety/Loss Coordinator

Actions

1. Conduct on-site safety inspections on projects within respective Region on an as-needed or as-requested basis, using the following steps:
   
a. Contact the appropriate project personnel on arrival at the project and inform them of the inspection with an invitation to accompany the inspection team.

b. Contact the Contractor's appointed Project Superintendent and inform them of the inspection and offer an invitation to accompany the inspection team.

c. Review systematically the project with inspection team in place and note any safety violations on the inspection form.

d. Provide both the Department and Contractor personnel a verbal list of safety violations that require attention at the conclusion of the inspection.

e. Determine the point assessment for each noted safety violation and documents item with a photograph to help eliminate any differences in opinion regarding the violation or who is responsible for the correction of the violation.

f. Provide the Resident Engineer and District Engineer with a completed copy of the inspection within four working days of original inspection.

g. Provide Department Risk Management with a copy of all completed inspections within 10 working days of the original inspection.

2. Provide technical assistance and consultation for site specific problems when requested by the Region.

3. Provide the Region Director, District Engineer and Risk Manager, with trends related to compliance to facilitate a uniform approach in the administration of the inspection process.
4. Report to the Department Risk Manager the trends identified in the field during the inspection process that need to be addressed on a Statewide level.

5. Schedule and provide annual OSHA construction training for each Region and coordinate training through the District Engineer.

**Responsibility:** Resident Engineer (RE)

6. Forward report within two working days to applicable Contractor with a cover letter outlining time frame requirement to correct safety violations identified during the inspection after receiving inspection report.

7. Request that the Contractor respond in writing when the safety violations have been abated.

8. Provide the Safety/Loss Control Coordinator with a copy of Contractor correspondence. The Contractor will not be required to respond in writing if all safety violations were corrected during the field inspection.

9. Monitor the Contractor’s safety performance on a daily basis with support from Construction field personnel.

10. Request support from the Safety/Loss Control Coordinator or Risk Manager as needed for safety compliance.

**Responsibility:** Central Construction Division

11. Assist and support the Resident Engineer in obtaining compliance to safety violations from the Contractor.
Purpose
To establish the Utah Department of Transportation (Department) policy, procedure, and responsibility for acceptance of construction work and materials, and certification according to 23 CFR Part 637. Refer to 23 CFR 637 subpart B and appendix A.

Policy
The Department will monitor and verify compliance with approved plans and specifications for the work and materials incorporated into construction projects. The Resident Engineer is the authorized Department representative responsible for collecting and documenting the information necessary to accept and certify the work and materials. The Region Materials Engineer and the District Engineer are responsible for reviewing work and materials acceptance documentation on a periodic basis for consistency with applicable standards, policies, and procedures.

Definitions

Quality Assurance Program
The Department’s Quality Assurance Program that includes the materials acceptance program as outlined in the Department’s Minimum Sampling and Testing Requirements and Materials Manual of Instruction.
Responsibility: Resident Engineer

Actions

1. Verify all required materials tests and acceptance procedures are completed as required by the Quality Assurance Program and contract specifications.

2. Accept or reject the work and materials based on the Quality Assurance Program and contract specifications.

3. Determine that all required acceptance documentation is in the project file before processing payment for the contract items incorporating the materials.

4. Notify immediately the Contractor, District Engineer, and Region Materials Engineer of work or material that does not comply with plans and specifications.

5. Document unacceptable work or material on form C106 - Notice of Unacceptable Work or Material.

6. Coordinate with the Region Materials Engineer and District Engineer in determining the disposition of work or material that does not comply with plans and specifications.

7. Coordinate and obtain agreement from the Region Materials Engineer and District Engineer at the time of acceptance for all exceptions to the plans, specifications, and Quality Assurance Program.

8. Document exceptions to the plans, specifications, and Quality Assurance Program on Form C196 - Project Materials Certification.

9. Make all tests and acceptance reports readily available for inspection and periodic review by the District Engineer, Region Materials Engineer, and others.

10. Certify project work and materials by signing and completing Form C196.

11. Forward form C196 to the District Engineer for review, along with all original project records and source documentation.
Responsibility: District Engineer

12. Check conditions on the project upon receiving notification from the Resident Engineer that specified work or material does not meet contract requirements.

13. Coordinate with the Region Materials Engineer in determining the disposition of work or material that does not comply with plans and specifications.

14. Review Form C196 and attachments to verify all required action has been completed.

15. Sign and forward Form C196 with all original project records and source documentation to Central Construction.

Responsibility: Region Materials Engineer

16. Spot check periodically materials acceptance documentation to verify that acceptance decisions comply with the Quality Assurance Program and contract specifications.

17. Notify the District Engineer and other staff as appropriate when discovering non-compliance with the Quality Assurance Program.

18. Review and approve Form C106 when any unacceptable work or materials are allowed to remain in place at a reduced price.

19. Review and sign Form C196 when exceptions to the plans, specifications, and Quality Assurance Program are indicated.

Responsibility: Contracts, Compliance and Certification Manager

20. Maintain original Form C196, Project Materials Certification, in the Central Construction project files to be archived. A copy of this form, along with all project materials records is placed in the Region project files.

21. Forward a copy of Form C196 to FHWA as required.
Purpose
To establish a Utah Department of Transportation (Department) Authorized Products Panel (APP) that will review products submitted by a Manufacturer or their representative and determine if those products meet the applicable Department Standard Specification. This policy outlines the responsibilities of members of the APP and conditions governing products placement on the Authorized Products List (APL).

Policy
List products authorized by the APP on an Authorized Products List maintained in a Department database.

Section 01455 of the Department's Standard Specifications and the Materials Manual of Instruction Part 8 Section 1011 govern the requirements for use of products placed on the APL. Note the following:

• The APP reports to the Department's State Materials Engineer.
• The standard listing period is five years. Changes to the product’s ingredients, performance or UDOT Standard Specification, require renewal.
• It is the responsibility of the product manufacturer or their representative to initiate the process of product review or renewal.
• The product renewal is the same process as the original product review.

The APL Coordinator, along with the Implementation Engineer and the State Materials Engineer, will review disputes and will either uphold the APP decision or escalate to an Oversight Committee if the manufacturer or representative disputes the APP decision. The Oversight Committee will then make a final determination as to whether the submitted product will be placed on the APL.

Oversight Committee
Chair: Director of Materials and Pavements.

Members: Two members selected by the oversight committee chairman, one member is the director of the division of the APP member who originally reviewed the product.
The APP consists of members from the following groups:

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<tr>
<th>Central Materials</th>
<th>Maintenance</th>
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<tr>
<td>Preconstruction</td>
<td>Pavement</td>
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<td>Traffic and Safety</td>
<td>Research</td>
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<tr>
<td>Structures</td>
<td>FHWA Representative</td>
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<tr>
<td>Environmental</td>
<td>Region Materials Engineer</td>
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<tr>
<td>Construction</td>
<td>Hydraulics</td>
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<tr>
<td>Geotechnical</td>
<td>APL Coordinator</td>
</tr>
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</table>
Responsibility: APL Coordinator

Actions

1. Organize, schedule and chair APP meetings.

2. Manage electronic data storage systems.

3. Receive and review Product Evaluation Form R-52 and all supporting information from the product manufacturer or their representative. Verify all the required documents were received and send the package to the assigned APP member to review.

4. Email the product manufacturer or their representative of the review decision and for affirmative authorizations, and include that the authorization will remain for five years, if there are no changes made to the manufacturing, labeling, or other changes that alter the original product information that the authorization decision was based on.

5. Receive from the product manufacturer or their representative, the APL dispute form on the Department’s APL Web page, when they formally register a dispute with the APP decision.

6. File all application documentation in the departmental electronic system.

Responsibility: Panel Member

7. Review the application to determine if the product meets the Department Standard Specification within 30 days. Notify the APL Coordinator of the resulting recommendation.

8. Attend APP meetings.

9. Review products on APL affected by their division owned specification change and notify the APL coordinator of the reviewing result.
Responsibility: Oversight Committee

10. Conduct a review of any appealed material or product submittal packages.

11. Make a final decision when required.

12. Notify the APL Coordinator of the decision.
Purpose
To establish a policy for the Utah Department of Transportation (Department) for the Claims Review Board. The Claims Review Board hears unresolved claims and make recommendations for settlement to the Department’s Deputy Director.

Policy
The Department’s construction contracts allow contractors to pursue Administrative resolution of any claim that cannot be resolved through the Partnering Escalation Ladder. The contracts also provide that if no agreement is reached the Contractor may submit a written request to the Resident Engineer and Director of Construction and Materials, or designee, who will schedule a meeting before the Department Claims Review Board. The Claims Review Board makes recommendations to the Deputy Director. Determinations made by the Deputy Director are administratively final.

The Deputy Director makes offers of settlement in compliance with Utah Code Section 63G-10-402. Any offer of settlement is subject to Rule 408 of the Utah Rules of Civil Procedure and records of the offer of settlement are considered protected pursuant to Utah Code Section 63G-2-305(32), except for the final settlements, that are public records.

The Claims Review Board is composed of:

- The Project Development Director (chairman)
- Director of Construction and Materials
- A representative selected by the Utah Chapter of the Associated General Contractors (AGC)

The Board will meet as needed to review claims. The Department will furnish a secretary who will prepare notes or minutes if desired by the Board.

The review of the claim is an informal process. The claim may be presented with or without legal counsel. A written claim must be submitted by the contractor as required by Standard Specification 00727, Control of Work, before a meeting will be scheduled.

The Board will make its recommendations and outline its reasoning to the Deputy Director within 30 days after the completion of the claim meeting.
The Deputy Director, as the official designee of the Department’s Executive Director, will consider the recommendations of the Claims Review Board, the Board findings, the claim documentation, and other materials needed to make an informed decision. A written decision is issued by the Deputy Director. The Deputy Director’s decision outlines, in general terms, the reasons for the decision. If the claim is rejected, or if the sum tendered by way of settlement is not acceptable to the contractor, the contractor may elect to file a complaint in district court.

The Deputy Director will issue a written decision within 45 days after the claim meeting, if the amount does not require approval as outlined in Utah Code 63G-10-402, unless the parties involved agree in writing to a time extension. Failure to issue a written decision within the specified time will be considered a denial of the claim.
Procedures
Claims Review Board

Responsibility: Resident Engineer

Actions

1. Notify the District Engineer, the Region Director, and the Project Controls Engineer of actual or potential claims.

2. Establish and maintain a separate file documenting all facts and information relating to actual or potential claims until the dispute or claim is resolved.

3. Determine whether or not the written claim meets the requirements for a claim submission as defined in Standard Specification Section 00727, Article 1.23, paragraph D. Instruct the contractor to make changes as necessary.

4. Review the claim and prepare a reply that responds to each item for which the Contractor has claimed additional payment or time.

5. Forward Contractor's original claim and letter requesting a meeting with the Claims Review Board 5 calendar days after receiving the request to the Project Controls Engineer.

6. Provide a claim analysis response to the contractors claim letter to the Project Controls Engineer.

7. Arrange to have statements from other personnel involved in the project related to the claim available at the meeting.

8. Prepare a Change Order to cover the agreed settlement if the Claims Review Board provides a decision that includes an offer of settlement that is accepted by the contractor.

9. Prepare and present a written or visual presentation at the Claims Review Meeting.

Responsibility: Director of Construction and Materials or designee

10. Set a date, time, and location for the Claims Review Board meeting and immediately notify all parties involved.
11. Contact the AGC and request that they select a panel member not directly involved with the Claim to serve on the Board.

12. Coordinate with this panel member to verify that the selected panel member is available to participate on the Claims Review Board.

**Responsibility:**  Project Controls Engineer or Designee

13. Assist the Resident Engineer with the presentation to the Claims Review Board.

14. Help the Department prepare for whatever legal action the Contractor pursues if the Contractor rejects the Department’s decision.

15. Review Contractor’s claim for compliance with the Standard Specifications for completeness of information necessary to determine validity of the claim.

16. Return claims to Contractor or Resident Engineer for additional information where data furnished is not complete.

17. Provide the Contractor with a copy of documentation and information that will be presented at the meeting a minimum of 14 calendar days before the Claims Review Board meeting.

18. Provide the Claims Review Board with a copy of the Contractor's and Resident Engineer's documentation and information that will be presented at the meeting a minimum of 14 calendar days before the Claims Review Board meeting.

**Responsibility:**  Claims Review Board

19. Hear the Contractor’s claim and the Department’s response. Do not allow new claims to be discussed in the meeting.

20. Review the Claim documentation provided by the Project Controls Engineer prior to the meeting.

21. Determine a recommendation for settlement in a separate meeting.

22. Submit a written recommendation to the Department’s Deputy Director within 30 days after the claim meeting.
Responsibility: Deputy Director of Transportation

23. Notify the Contractor in writing of the decision of the Department within 45 calendar days after the claim meeting if the settlement offer is for less than the amount required to be approved by the Transportation Commission identified in Utah Code 63G-10-402. This decision is administratively final.

24. Schedule a time within 5 calendar days after the claim meeting to present the claim to the Transportation Commission, governor, or Legislative Management Committee when the claim exceeds the amount described in Utah Code 63G-10-402.

25. Notify the Contractor in writing of the meeting date and time within 5 calendar days after the date and time for the presentation to the applicable party are set.

26. Provide the Contractor with the applicable party’s decision in writing within 5 calendar days after the decision is received by the Department.
Disadvantaged Business Enterprise (DBE) Program

UDOT 08B-110

Effective: October 17, 1980 Revised: February 6, 2014

Purpose
To establish a policy for the Utah Department of Transportation (Department) Disadvantaged Business Enterprise (DBE) program.

Policy

Policy Statement from the Executive Director
The Department will take all necessary and reasonable actions to ensure DBEs as defined in this policy reasonable opportunity to participate in the performance of contracts financed in whole or in part with U.S. Department of Transportation (DOT) funds under this agreement as modified by this policy.

Objectives (49 CFR 26.1)
The objectives of this policy are to:

1. Ensure nondiscrimination in the award and administration of DOT assisted contracts;
2. Create a level playing field on which DBEs can compete fairly for DOT assisted contracts;
3. Ensure that the DBE program is narrowly tailored in accordance with applicable law;
4. Ensure that only firms that fully meet eligibility standards are permitted to participate as DBEs;
5. Remove barriers to the participation of DBEs in Federal aid contracts;
6. Assist the development of firms that can compete successfully in the marketplace outside the DBE program; and
7. Provide appropriate flexibility in establishing and providing opportunities for DBEs.

Implementation of the DBE Program is given the same priority as compliance with all other legal obligations incurred by the Department in financial assistance agreements with DOT.

The Department Civil Rights Office is the DBE Liaison and is responsible for implementing all aspects of the DBE program.
The Resident Engineer or Consultant Resident Engineer is responsible for supervision of the DBE participation covered by the Contract.

Background
The Department receives Federal-aid highway funds, Federal transit funds, and Airport funds under the authorizations listed in The Code of Federal Regulations, 49 CFR Part 26.3, subparts (a) (1), (2), and (3). The Department has the important responsibility of ensuring that firms competing for DOT-assisted contracts are not disadvantaged by unlawful discrimination. The Department’s most important tool for meeting this responsibility is its DBE program.
Responsibility: Department Central Civil Rights Office

Actions

1. Ensure DBEs have a maximum opportunity to compete for and perform on contracts that are financed completely or in part by Federal funds.

2. Encourage the Department and contractors to use banks owned and controlled by socially and economically disadvantaged individuals.

3. Publish a DBE Directory and make available on the Department’s Web site.

4. Ensure the DBE program benefits only firms that are owned and controlled by women or socially and economically disadvantaged individuals.
   a. 49 CFR 26 mandates that all obligations of DBE certification are performed by the Utah Unified Certification Program (UUCP).
   b. The UUCP is a collaborative program between the Department, Utah Transit Authority (UTA), and the Salt Lake City Department of Airports (SLCDA).

5. Establish an overall annual DBE goal calculated in terms of a percentage of Federal-aid highway and Federal Transit Administration funds expended in DOT assisted contracts.

6. Establish individual project goals to ensure that the overall annual DBE goal is met.

7. Establish bidding, award, and contract administrative procedures that will ensure the DBE goals are met.

8. Provide training and technical Supportive Services assistance to DBEs, contract compliance (Labor/EEO/DBE) and electronic bidding procedures for example.

Responsibility: Resident Engineer or Consultant Resident Engineer

9. Cooperate fully with the Civil Rights office to ensure the objectives of the DBE program are met.
10. Monitor the DBE’s commercially useful function (CUF) performance while the DBE works on DOT assisted projects.
Purpose
To define the Utah Department of Transportation (Department) design standards for structural engineering.

Policy
All structures will be designed according to the current edition of the AASHTO LRFD Bridge Design Specifications, the current edition of the AASHTO Guide Specifications for LRFD Seismic Bridge Design, the Structures Design and Detailing Manual, and the Bridge Management Manual.
Purpose
To provide guidance for Utah Department of Transportation (Department) evaluation of the structural capacity of existing state and local government structures not designed to current standards or of structures that are deteriorated.

Policy
The Department follows the current edition of the AASHTO Manual for Bridge Evaluation to determine the structural capacity of bridges and posting requirements.
Purpose
To define the Utah Department of Transportation (Department) design standards for geotechnical and geological engineering.

Policy
All geotechnical and geological design will be done in accordance with the current edition of the AASHTO LRFD Bridge Design Specifications, the AASHTO Guide Specifications for LRFD Seismic Bridge Design, and the Department Geotechnical Manual of Instruction.
Purpose
To provide agreements between the Utah Department of Transportation (Department) and railroad companies that are in compliance with current applicable Federal and State regulations with respect to railroad participation and maintenance responsibilities

Policy
Federal regulation 23 CFR 646 requires that written agreements between the Department and railroad companies include a provision for the railroad's share of the project cost and maintenance responsibility. Following are the references to be used to determine terms and conditions to be included in agreements.

A. RAILROAD PARTICIPATION IN PROJECT COSTS
Railroad company participation in project costs will be determined in accordance with the provisions of 23 CFR 646.210, Classification of Projects and Railroad Share of the Cost.

1. Grade Crossing Elimination:
   a. On projects for the elimination of existing grade crossings at which active warning devices are in place or ordered to be installed by a State regulatory agency, the railroad share of the project costs shall be 5 percent.

   1) The required railroad share of the cost will be based on the costs for preliminary engineering, right-of-way, and construction within the limits described below:

   a) Where a grade crossing is eliminated by grade separation, the structure and approaches are required to transition to a theoretical highway profile which would have been constructed if there were no railroad present, for the number of lanes on the existing highway, and in accordance with the current design standards of the State highway.
b) Where another facility, such as a highway or waterway, requiring a bridge structure is located within the limits of a grade separation project, the estimated cost of a theoretical structure and approaches as described in § 646.210(c) (1) to eliminate the railroad-highway grade crossing without considering the presence of the waterway or other highway.

c) Where a grade crossing is eliminated by railroad or highway relocation, the actual cost of the relocation project, the estimated cost of the relocation project, or the estimated cost of a structure and approaches as described in § 646.210(c)(1), whichever is.

b. On projects for the elimination of existing grade crossings at which active warning devices are not in place and have not been ordered installed by a State regulatory agency, or on projects which do not eliminate an existing crossing, there will be no required railroad share of the project

2. Grade Crossing Improvements

Projects for grade crossing improvements, including crossing rehabilitation and surfacing improvements, are deemed to be of no ascertainable benefit to the railroads, and there will be no required railroad share of the costs. However, nothing in this policy will preclude a railroad from participating in the cost of a project if they so desire. Also, other parties such as local agencies or private entities may voluntarily participate in the cost of crossing improvement projects.

3. Reconstruction of Existing Railroad-Highway Grade Separation Structures and Other Railroad-Highway Projects

Projects for the reconstruction of existing grade separations and other projects which use railroad properties or involve adjustment to railroad facilities required by highway construction but do not involve the elimination of hazards to railroad –highway crossings are deemed to generally be of no ascertainable net benefit to the railroad and there will be no required railroad share of the costs.
4. New Railroad Highway Crossings

The Department oversees all public Railroad-Highway crossings in the state. The Department evaluates and approves the location of new Crossings, prescribes the type of improvements at Crossings, and defines maintenance responsibility for Crossings in accordance with Utah Code Title 54-4-15, Establishment and Regulation of Grade Crossings, and Administrative Code R930-5, Establishment and Regulation of At Grade Railroad Crossings.

a. New crossing due to new Highway over existing Railroad

1) Construction of a grade separation structure or the installation of at grade crossing surface and signal devices are not considered a benefit to the railroad and consequently, railroad participation is not required, unless a separate agreement applies.

b. New crossing due to new Railroad over existing Highway

1) Construction of a grade separation structure or the installation of at grade crossing surface and signal devices are not considered a benefit to the highway user and 100 percent railroad participation is required, unless a separate agreement applies.

B. MAINTENANCE RESPONSIBILITIES

Responsibility for maintenance of Railroad-Highway crossings and Grade Separation Structures is assigned by Utah Administrative Code R-930-5-8; Maintenance.

1. The Railroad is responsible for the maintenance of all Railroad Passive Warning Devices and Active Warning Devices within the Railroad right-of-way.

2. If the Railroad has a property interest in the right-of-way, the Railroad is responsible for the maintenance of the pavement area between rails including space between multiple tracks, and two feet beyond each outside rail for Crossings without concrete crossing panels or edge of concrete crossing panel.
3. On a temporary Highway Detour Crossing, the Railroad will be responsible for the maintenance of pavement, Active Warning Devices and Passive Warning Devices within the Railroad right-of-way at the expense of the Department.

4. When the Department changes the highway profile through construction or maintenance activities, the Department will coordinate their work with the Railroad so the tracks can be adjusted to provide as smooth and level a Crossing surface as possible at the expense of the Department.

5. Where a highway structure overpasses a Railroad, the Department is responsible for the maintenance of the entire structure and its approaches.

6. Where a highway underpasses a Railroad and the Railroad owns the right-of-way in fee title, the Department is responsible for the maintenance of the highway and the entire structure below and including the deck plate, girders, handrail, and parapets. The Railroad is responsible for the maintenance of the ballast, ties, rails and any portion of the supporting structure above the top of the ballast deck plate between parapets.

Exceptions may exist for UTA structures over highways. Refer to the original structure agreement for maintenance responsibility details.

7. If the Department owns the right-of-way in fee title, the Railroad is responsible for the maintenance of the entire structure.

8. Cost of repairing damages to a Highway or a Highway structure, occasioned by collision, equipment failure, or derailment of the Railroad's equipment will be borne by the Railroad.

9. Utah Administrative Code R930-5 contains additional guidance for the maintenance of private industrial crossings not owned by a railroad. Refer to the Rule if this condition exists on a highway project.
Accommodation of Utilities on Highway Right of Way

Purpose

To outline federal regulations, state statutes, and rules for accommodating utilities within highway rights of way for permitted installations and activities, and for the design and construction of Utah Department of Transportation (Department) federal aid and state funded projects.

To assist Department staff in applying the appropriate regulations when accommodating or relocating utilities on highway rights of way.

Policy

The Department permits utility installations on federal-aid and non-federal-aid highway rights of way only to the extent that these facilities can be accommodated without compromising the safety or integrity of the highway facility, and without interfering with normal highway operation and maintenance activities.

FEDERAL REGULATION


23 CFR 645 requires each state transportation department to submit a statement to the FHWA on the authority of utilities to use and occupy the right-of-way of state highways; the department’s power to regulate such use; and the policies the department employs for accommodating utilities within the right-of-way of Federal-aid highways under its jurisdiction. Furthermore, each department must submit an accommodation plan which addresses how the department will consider applications for longitudinal utility installations within the access control lines of a freeway. This policy together with Administrative Rules R930-7, Utility Accommodation R907-64, Longitudinal and Wireless Access to Interstate Highway Rights-of-Way for Installation of Telecommunications Facilities, and R907-65 Compensation Schedule for Longitudinal Access to Interstate Highway Rights-of-Way for Installation of Telecommunications Facilities, fulfill this federal requirement.
On Federal-aid highway projects where the Department does not have legal authority to regulate highway use by utilities and private lines, the Department enters into formal agreements with local officials who have such authority. The agreements provide for a degree of protection to the highway at least equal to the protection provided by Rule R930-7, Utility Accommodation.

STATE REGULATION AND RULES

The Department allows utility installations and maintenance of existing utilities on highway right of way in compliance with the current version of:

- Utah Code 72-7-102. Excavations, structures, or objects prohibited within right-of-way except in accordance with law -- Permit and fee requirements -- Rulemaking -- Penalty for violation.

- Utah Code 72-7-104. Installations constructed in violation of rules -- Rights of highway authorities to remove or require removal.

- Administrative Rule R930-7, Utility Accommodation

- Utah Code 72-7-108, Longitudinal Telecommunication Access in the Interstate Highway System


Purpose

The purpose of the policy is to establish the procedure for preparation of plans, specifications and estimates for roadway work in conjunction with railroad agreements for railway-highway projects.

Policy

The Department will develop plans, specifications and estimates and railroad agreements for railway/highway crossing projects, as authorized by the 1973 Federal-Aid highway Act, Section 203 and 230.

This policy and procedure has been prepared by the Preconstruction Division and approved by the Engineer for Preconstruction, Engineer for Safety, Assistant Director of Transportation, and the Director of Transportation.
Procedures
Plans, Specifications & Estimates, and Railroad Agreements for
Railway-Highway Crossing Projects as Authorized by the 1973
Federal-Aid highway Act (Sections 203 and 230)  UDOT 08E-03.1

Responsibility:  Division of Safety

Actions

1.  Makes arrangement for surveillance team review of existing railroad crossings.
   (a)  Prepares priority listing for railroad crossing projects.
   (b)  Makes distribution of priority listing showing crossing number and
distinction between crossings on nonfederal-aid highways and crossings
on Federal-Aid highways (show Federal-Aid highway numbers and AAR
numbers).  Distribution to be made to Engineer for Planning &
Programming, Engineering Coordinator, Federal Highway Administration,
railroad company involved through the Engineering Coordinator.

Responsibility:  Surveillance Team

2.  Through cooperation with the railroad company involved, identifies railroad
crossing improvements to be included in a railroad agreement.

Responsibility:  Chief, Roadway Design

3.  Makes project assignment to Project Design Engineer who will be responsible to
obtain design approval, then prepares plans, specifications and estimates for the
roadway portion of railroad crossing improvement project.

Responsibility:  Project Design Engineer

4.  Prepares Design Study Report and through Location and Environmental Studies
Section, submits to FHWA for preliminary engineering authorization.

Responsibility:  Engineering Coordinator

5.  Coordinates with the railroad company involved and the Project Design Engineer
for compilation of preliminary plans and estimates from which a recommended
railway-highway crossing project can be prepared.
Responsibility: Office of Policy and Systems Planning

6. Receives R-709 approved by FHWA for preparation of PS&E and for Railroad Preliminary Engineering and makes notification to Chief, Roadway Design and the Division of Safety.

Responsibility: Engineering Coordinator

7. Upon receiving Federal Highway Administration Form R-709, approving preliminary engineering, authorized the railroad company to proceed with preliminary engineering as necessary for preparation of detailed plans and estimates for railroad force account work. Receives plans and estimates from the railroad company involved and prepares railroad agreement.

Responsibility: Transportation Engineer (Local Aid)

8. Receives copy of proposed agreement for the railway-highway project and coordinates with local authority as necessary to complete a cooperative agreement for deposit of matching funds from local authority to the UDOT.

Responsibility: Engineering Coordinator

9. Submits proposed railroad agreement to Federal Highway Administration with request for approval to authorize the railroad force account work.

(a) Upon receiving Federal Highway Administration approval, authorizes the railroad company to proceed with railroad force account work. (At this point, Federal-Aid funds for the railway-highway project become obligated.)

(b) Processes agreement with railroad company and UDOT officials for execution.

(c) Makes distribution of the agreement, providing the railroad company with an original fully executed counterpart and forwards the UDOT’s original fully executed counterpart (with Federal Highway Administration’s stamp of approval) to the Comptroller; provides the Division of Safety with a certified copy.

Responsibility: Project Design Engineer

10. After obtaining design approval through Engineer for Location & Environmental Studies, completes the PS&E for the roadway portion of the railroad crossing improvements.
Responsibility: Engineer for Construction

11. Assigns Project Engineer after coordination with application District Construction Engineer.

Responsibility: Chief, Roadway Design Engineer for Construction

12. Advertises for bids and awards a contract for the roadway work when work will not be accomplished by railroad forces or State forces.

Responsibility: Division of Safety

13. Assigns a Traffic Engineer to evaluate the work performed by railroad forces, State forces and by contract.

   (a) Division of Safety will, in cooperation with the railroad company involved, evaluate and report to Federal Highway Administration the effectiveness of the railroad crossing improvements in conformance with the requirements of the Federal-Aid Highway Program Manual.

Responsibility: District Engineer

14. Receives copy of railroad agreement from Engineering Coordinator and forwards to Project Engineer responsible for inspection of work and for keeping records of work performed by railroad forces, State forces or contractor.

Responsibility: Project Engineer

15. Notifies Construction Division when work begins.

   (a) Submits monthly Progress Report Form R-704 to Construction Division (2 copies) with copy to District Construction Engineer.

   (b) Documents work accomplished as set forth in Part 12 (Construction) of the Manual of Instruction.

   (c) For work performed by State forces or under contract, obtain manufacturer’s certification for all materials incorporated into the project.

   (d) When applicable, prepare estimate invoice reflecting work accomplished and forwards to Contracts, Estimates and Agreements Office for payment.

   (e) Notifies Construction Division upon completion of work.
(f) For other than work completed by railroad forces, forwards final estimate and related documentation through the District Construction Engineer to the Contracts, Estimates and Agreements Office. For work performed by State forces, coordinates with District Administrative Manager to insure all costs against the work are included in the final estimate.

(g) For work performed by railroad forces, receives railroad billing from Contracts, Estimates and Agreements Office; verifies work covered in billing and returns to Contracts, Estimates and Agreements Office.

**Responsibility:** Contracts, Estimates & Agreements Office

16. Receives partial or final estimate invoice from Project Engineer or verified railroad billing for work performed by railroad forces.

(a) Upon receipt of partial estimate, determines that payment is in accordance with terms of the agreement or contract and Standard Specifications; processes partial estimate to Comptroller for payment.

(b) Upon receipt of final estimate from the District Construction Engineer, reviews it in accordance with established final estimate review procedures and forwards to applicable contractor or District Director for approval.

(c) When approved final estimate invoice is returned, obtains approval of the Assistant Director.

(d) Forwards approved final estimate invoice (3 copies) to Comptroller for payment.

(e) Receives verified railroad billing from Project Engineer and forwards to Office of Internal Audit for confirmation of costs.

**Responsibility:** Office of Internal Audit

17 Confirms costs set forth in railroad bill in accordance with established procedures and forward to Comptroller for payment.

**Responsibility:** Comptroller

18. Prepares Road Cost Distribution as necessary to affect payment to applicable agency; processes billing to FHWA for federal reimbursement to the Department.
Coordination and Execution of Agreements with Railroad Companies Required on UDOT and Railroad Projects UDOT 08E-04
Effective: January 17, 2013 Revised: New

Purpose

To establish the policy and procedure for the Utah Department of Transportation (Department) for regulatory compliance, to establish consistency, and to expedite the preparation and execution of agreements between the Department and railroad companies operating within the State.

Policy

Federal, State and Department regulations and directives will be understood, complied with, and consistently applied during coordination, negotiation, and agreement preparation with railroad companies on all projects. Program level guidance, oversight, and sign off is required as projects are developed and agreements are prepared.

Railroad companies for the purpose of this policy include all rail carriers, publicly-owned, private, and common carriers, including line haul freight and passenger railroads, switching and terminal railroads and passenger carrying railroads such as rapid transit, commuter, and street railroads.

Background

Federal and State regulations for Railroad-Highway crossings apply to both freight and transit rail facilities and operations; however, individual companies’ processes for project coordination, right of way transactions, and agreement preparation are very different. The Department seeks to establish a high level of internal communication and consistency with respect to railroad issues and developing agreements to meet the best interests of the Department and for railroad agreement preparation to be as efficient as possible.
Procedures
Coordination and Execution of Agreements with Railroad Companies Required on UDOT and Railroad Projects
UDOT 08E-04.1

Responsibility: Project Manager

Actions

1. Notify the Region Utility and Railroad Coordinator and Statewide Utilities & Railroads Engineer when a project involving railroad facilities or property is in the Concept Phase.

2. Include them on the Project Team.

Responsibility: Region Utility and Railroad Coordinator

3. Arrange, facilitate and conduct all project level meetings with railroad company representatives.

4. Advise the Project Manager, Roadway Design Engineer and Structure Engineer if necessary on the applicable Federal and State Regulations, the impacted railroad company’s Standards, Guidelines, Master Agreements, Memorandum of Agreement or other applicable requirements.

5. Verify that the applicable regulations, standards, guidelines, and agreements are applied to the design and project level decisions.

6. Lead the negotiations on project level railroad items including the method for performing work, basis of payment for work, right of way transactions and requirements, grade separation cost sharing calculation methodology, and payment.

7. Include the Project Manager in all negotiation discussions.

8. Provide supporting information with cost analysis on proposals for offsetting railroad costs against project costs to the Statewide Utilities & Railroads Engineer and if right of way costs are involved to the Director of Right of Way for review and approval.

9. Determine if requests for future track accommodation, other future use considerations or commitments are consistent with the applicable guidelines or prior mutual agreements.

10. Provide proposed future use commitments to the Statewide Utilities & Railroads Engineer and Department Counsel for review and approval.
11. Escalate project level issues involving design, future use, construction, and billing that cannot be resolved at the region level by applying the appropriate guidelines to the Statewide Utilities and Railroads Engineer for further consideration and resolution.

12. Prepare a draft agreement and submit copies of the draft agreement to the Statewide Utilities & Railroads Engineer and Department Counsel for final review and comment prior to execution.

13. Include the Statewide Utilities & Railroads Engineer and Department Counsel as signatories on railroad company agreements.

14. Include the Director of Right of Way as a signatory when property rights transactions are included in agreements.

15. Route agreement copies to the Statewide Utilities & Railroads Engineer, Director of Right of Way and Department Counsel for final signatures during the execution of the agreement.

Responsibility: Project Manager

16. Support the Region Utility and Railroad Coordinator and Statewide Utilities & Railroads Engineer when negotiating project railroad considerations described in this policy.

17. Provide resources and direction on project constraints and opportunities to the Region Utility and Railroad Coordinator as they negotiate with railroads.

Responsibility: Statewide Utilities & Railroads Engineer

18. Review supporting information with cost analysis provided by the Region Utility and Railroad Coordinator.

19. Approve information.

20. Provide approval documentation to the Region Utility and Railroad Coordinator or Consultant Coordinator.

Responsibility: Director of Right of Way

21. Review supporting information with cost analysis provided by the Region Utility and Railroad Coordinator when right of way costs are involved.

22. Approve information.

23. Provide approval documentation to the Region Utility and Railroad Coordinator or Consultant Coordinator.