

# North Carolina Division of Marine Fisheries

## Policy Manual



2020



**Table of Contents**

Purpose..... 3

Administrative Policies ..... 5

    Administrative (ADM – 1): Division Policy Manual ..... 6

    Administrative (ADM – 2): Daily Work Schedule..... 9

    Administrative (ADM – 3): Access and Security of Division Offices ..... 11

    Administrative (ADM – 4): Telephone and Cellular/Smart Telephone ..... 16

    Administrative (ADM – 5): Private Boat Ramp Use by Employees ..... 19

    Administrative (ADM – 6): Compensation for Overtime Worked ..... 22

    Administrative (ADM – 7): Conflict of Interest ..... 24

    Administrative (ADM – 8): Smoking Policy ..... 26

    Administrative (ADM – 9): Crisis Communication Plan ..... 28

    Administrative (ADM – 10): Sexual Harassment Prevention..... 31

    Administrative (ADM – 11): Adverse Weather Conditions ..... 33

    Administrative (ADM – 12): Closing Division Offices ..... 35

    Administrative (ADM – 13): Supervisory Chain..... 38

    Administrative (ADM – 14): Improvement Suggestions ..... 40

    Administrative (ADM – 15): Children in the Workplace ..... 42

    Administrative (ADM – 16): Appropriate Dress for Public Service ..... 45

    Administrative (ADM – 17): Photocopier Committee (No Longer in Effect)..... 47

    Administrative (ADM – 18): Animals on State Property ..... 48

    Administrative (ADM – 19): Division Travel ..... 50

    Administrative (ADM – 20): Employee Recognition Program ..... 52

    Administration (ADM – 21): Unauthorized Weapons in the Workplace..... 56

    Administration (ADM – 22): Use of State Vehicles..... 58

    Administration (ADM – 23): Use of State Facilities and Property for Wellness Activities ..... 60

    Administration (ADM – 24): Signature Authority ..... 62

    Administration (ADM – 25): Bulletin Board Postings..... 65

    Administration (ADM – 26): Inmate Policy ..... 68

    Administrative (ADM – 27): Morehead City Incoming and Outgoing Mail ..... 71

Fiscal Management and Maintenance Policies ..... 78

    Fiscal Management and Maintenance (FIS – 1): Fixed Asset System..... 79



## Division of Marine Fisheries Policy Manual

Fiscal Management and Maintenance (FIS – 2): Depositing Funds .....	81
Fiscal Management and Maintenance (FIS – 3): Car Log Maintenance .....	84
Fiscal Management and Maintenance (FIS – 4): Warehouse Supply and Fuel Purchases.....	87
Fiscal Management and Maintenance (FIS – 5): .....	90
Information Technology Policies .....	95
Information Technology (IT – 1): General Computer Policies .....	96
Information Technology (IT – 2): Acquisition of Computer Hardware and Computer Software .....	102
Information Technology (IT – 3): Loaning of GPS Equipment .....	105
Public Relation Policies .....	107
Public Relations (PR – 1): Media Contact.....	108
Public Relations (PR – 2): News Releases .....	111
Public Relations (PR – 3): Public Meetings .....	113
Public Relations (PR – 4): Email Use and Retention .....	115
Personnel Policies.....	120
Personnel (PER – 1): Recruitment and Selection Procedures.....	121
Personnel (PER – 2): New Employee Orientation .....	123
Personnel (PER – 3): Promoting Employees (Refer to DENR Policy) .....	124
Personnel (PER – 4): Performance Management .....	125
Personnel (PER – 5): Disciplinary Actions.....	126
Personnel (PER – 6): Grievances and Problem Resolutions.....	128
Personnel (PER – 7): Exit Process (Separation from Employment) .....	130
Personnel (PER – 8): Confidentiality of Personnel Records and Actions .....	132
Personnel (PER – 9): Worker’s Compensation Procedures .....	134
Personnel (PER – 10): Academic Assistance .....	137
Personnel (PER – 11): Secondary and Dual Employment.....	139
Personnel (PER – 12): Classification and Position Management .....	143
Personnel (PER – 13): Temporary Positions .....	145
Personnel (PER – 14): Salary Reserve .....	147
Personnel (PER – 15): Probationary Status .....	149
Personnel (PER – 16): Public Inquiries for Personnel Records .....	151
Personnel (PER – 17): Licenses and Certifications .....	154



## Purpose

The purpose of Division of Marine Fisheries' (DMF) Policy Manual is to identify specific policy and implementation for DMF employees. This manual complements the Department of Environmental Quality and Office of State Human Resources' policies. DMF policies do not supersede department and state policies and may not always reflect the most recent changes in those over-riding policies. Specific standard operating procedures for specific job functions or processes are separate from this manual and are to be developed and maintained by individual work units, programs, sections, or committees. This manual provides the general policies that all employees are to follow as DMF employees.

All supervisors are to provide these policies and procedures to all staff and to incorporate this manual into all new employee orientations provided by Human Resources and by the hiring manager. Employees are to review these policies and procedures, annually, to update themselves on any policies that may have been revised.

The effective dates of the policies and procedures denote the date the policy was last revised. Revisions will be distributed as new or revised policies are approved by the Division Director.

This manual is available electronically on the division's shared drive under Policy Manual and on the division's intranet employee portal:

<http://portal.ncdenr.org/web/mf/inside-fisheries>

The Department of Environmental Quality policies and procedures can be found on the Department of Environmental Quality website:

<http://portal.ncdenr.org/web>

The Office of State Human Resources policies and procedures can be found at:

<https://oshr.nc.gov/>

*Note: If embedded hyperlinks do not work, copy or type the link to your web-browser for access or do a search for the most up to date locations.*

Questions or suggestions regarding the contents of the division's policies and procedures manual are to be directed through supervisory channels to the division's Deputy Director.

Changes to policies are noted under the Effective Date section of each policy. If no changes occurred, the policy was last reviewed on the date below:



# Division of Marine Fisheries Policy Manual

January 2016



## **Administrative Policies**



## Administrative (ADM – 1): Division Policy Manual

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**Title of Policy or Procedure:** Division Policy Manual

**Purpose:** To identify procedures and responsibilities for the development and maintenance of the Division’s Policy Manual.

**Primary Responsibility:** Deputy Director

**Subordinate Responsibility:** Section Chiefs, Program Managers, Supervisors, Employees

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### Policy

It is the policy of the Division of Marine Fisheries (DMF) to maintain a Policy Manual covering the general functions of division employees not adequately covered by Department of Environmental Quality (DEQ) or other state policies, procedures or regulations. The intent of this policy is to ensure that routine actions within the DMF are handled efficiently, consistently and in a timely manner, as well as in accordance with all applicable DEQ and state policies, procedures and regulations. Exceptions to DMF policy for unusual or exceptional circumstances may be granted at the discretion of the director or deputy director. Each new employee will be provided with either a copy of the DMF Policy Manual or directed to the location of the electronic version on the division shared computer directory or intranet employee portal as part of his/her initial employment orientation by Human Resources and the hiring manager.

NOTE: This policy does not restrict DMF section chiefs, program managers or supervisors from establishing Standing Operating Procedures (SOPs) within individual sections, programs or work units, as long as they are not in conflict with DMF, DEQ or state policy, procedure or regulation. Such SOPs are encouraged.

### Implementation

Title of Responsible Person	Action
Deputy Director	Assume overall responsibility for the development and maintenance of the DMF Policy Manual.  Assign functional responsibilities for internal DMF.  Draft general administrative policies not otherwise assigned.  Review policy drafts for sufficiency, applicability and relevance.



Title of Responsible Person	Action
	<p>Coordinate internal review of policies with, as a minimum, the Director and DMF Section Chiefs.</p> <p>Approve appropriate DMF policy and procedures.</p> <p>Revise or rescind DMF internal policies, as appropriate, as conditions or circumstances require.</p> <p>Post an electronic version of the manual on the division shared directory and intranet employee portal for reference by all division employees.</p>
Section Chief	<p>Draft initial policies and procedures within his/her functional areas of responsibility that may affect employees outside the section.</p> <p>Have draft policies reviewed by an appropriate DEQ or state Point(s) of Contact to ensure consistency with related DEQ or state policy.</p> <p>Obtain approval of policy or procedure from the Deputy Director.</p> <p>Fully implement and enforce policies and procedures by effective dates.</p> <p>Submit recommended changes to division policies resulting from DEQ or state changes within 30 days of notification of the change. Submit recommended changes based upon changing condition or circumstances, as appropriate.</p> <p>Maintain an up-to-date DMF Policy Manual at the section level for reference.</p> <p>Ensure all section employees have access to the DMF Policy Manual and are provided policy revisions, as appropriate.</p>
DMF Employees (All)	<p>Review an up-to-date DMF Policy Manual for personal use or review the electronic version on the division shared directory or intranet employee portal.</p> <p>Be aware of and comply with current DMF policy and procedures.</p>





Title of Responsible Person	Action
	<p>Obtain clarification from supervisor or individual responsible for specific DMF policies and procedures if not understood.</p> <p>Recommend changes or improvements to standing DMF policies and procedures, as appropriate, through supervisory chain.</p>

**Effective Date**

Versions	Revisions
July 29, 1999	Original effective date
October 5, 2001	Reviewed; Revised to reflect posting of an electronic version of the Policy and Procedure Manual on the division shared directory.
July 1, 2010	Reviewed; Revised to new format and reflected posting of electronic version on the intranet employee portal and removed procedures from 'policy and procedures' references.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Administrative (ADM – 2): Daily Work Schedule

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**Title of Policy or Procedure:** Daily Work Schedule

**Purpose:** To provide guidance for the selection of a work schedule that is in the best interest of the Division of Marine Fisheries and employee.

**Primary Responsibility:** Deputy Director

**Subordinate Responsibility:** Section Chiefs, Program Managers, Supervisors, Human Resources

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### Policy

The standard workweek for Division of Marine Fisheries (DMF) employees is forty hours per week and the standard work schedule is five days per week, eight hours per day, Monday through Friday. The standard workday start and departure times are 8:00 A.M. and 5 P.M., respectively, with a meal period of at least 30 minutes. Whenever possible, a standard workweek schedule by section is encouraged.

Section supervisors may choose a variable (flexible) work schedule that allows employees to work a schedule most consistent with their needs and the requirements of the division, section and work unit mission and responsibilities. Supervisors are responsible, however, for compiling a record of work schedules for all of their employees and for providing adequate supervision for employees during the hours they are scheduled to work. In addition, each section will ensure there is a knowledgeable employee available to respond to public, legislative or senior management inquiries during the standard work schedule of 8:00 a.m. through 5 p.m. for every day state offices are open.

Employees leaving before his/her scheduled departure time will require prior approval of the supervisor. Early departure will be charged to vacation, sick leave, or compensatory time. No employee may shorten a workday by either working part of the meal period or simply not taking a meal period and leaving early.

For a detailed explanation of the daily work schedule, see State Human Resources Policies.

### Implementation

Title of Responsible Person	Action
Supervisor	Will choose the daily work schedule best suited for work unit.  Compile a work schedule record for all employees.



Title of Responsible Person	Action
	<p>Provide adequate supervision for all employees during scheduled work hours.</p> <p>Ensure that a knowledgeable employee is available to respond to public, legislative or senior management inquiries during the standard work schedule of 8:00 a.m. through 5 p.m. for every day state offices are open (section level).</p> <p>Will be responsible for enforcing the work schedule and maintains the right to change the schedule.</p>
DMF Employees (All)	Follow the approved daily work schedule unless changes are approved in advance by the supervisor.

**Effective Date**

Versions	Revisions
May 26, 1998	Original effective date
October 5, 2001	Reviewed;
July 1, 2010	Reviewed; revised to new format.
July 1, 2014	Changed State Personnel Manual to State Human Resources Policies.



## **Administrative (ADM – 3): Access and Security of Division Offices**

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**Title of Policy or Procedure:** Access and Security of Division Offices

**Purpose:** To ensure protection of employees, visitors and assets located within Division of Marine Fisheries controlled facilities.

**Primary Responsibility:** Employees

**Subordinate Responsibility:** Deputy Director, Supervisors, Maintenance Services, Marine Patrol, DEQ Human Resources

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### **Policy**

It is the policy of the Division of Marine Fisheries (DMF) to take reasonable and prudent steps to ensure DMF employees work in an environment free from unnecessary exposure to danger and state facilities and property are protected from theft, vandalism or misuse. It is also policy to ensure access to the DMF and its employees by the public is not unreasonably restricted or made unnecessarily difficult. The DMF respects and supports the right of access by the public to the government that serves them. Balancing the access rights of the public against the security needs of DMF employees requires continuous vigilance on the part of every employee and continuous evaluation of potential threats to employee and public welfare, as well as to the security of state property.

#### Morehead City Headquarters (HQ) Office Security Keys

Morehead City HQ office entrances and access to the hallways from the front lobby, including the front stairwell and elevator, are electronically secured. Employees are assigned security cards (i.e., keys) displaying the picture of the assigned employee. This is the key to unlock these secured doorways. The system can track and log each time a key is presented to the key reader.

Administrators will be designated to maintain the database, including identifying access groups, entering and disabling an employee's key access, generating reports, invoking emergency lock down, and other system and database maintenance needs.

The HQ front door is programmed to automatically unlock when the first security key is presented to the card reader on Monday-Friday, 7:30 a.m. – 5:00 p.m. If no key is presented during this time, the door will remain locked. There are times such as holidays, snow days, or hurricanes that the building is closed for business and the front door will not be used to access the building, allowing it to remain locked. All other times the door will be locked and will lock automatically after entry if entering on Saturday and Sunday and between 5:01 p.m. and 7:29 a.m., Monday – Friday.



Morehead City Office Visitors:

Visitors must enter the main building entrance and sign-in and out in the lobby receptionist area. This helps the division maintain a list and accounting of all people in the building in an event of an emergency (e.g., fire). In addition, the receptionist will call the primary person the visitor is contacting to come to the lobby and escort the person to their destination. Once the employee authorizes the visitor to enter past the secured lobby, it is the employee’s responsibility to ensure the visitor is escorted in all parts of the building and reminds the visitor to sign-out when exiting the building.

Public access to the DMF staff will be severely restricted only as a result of a clear, present and credible threat to the safety of DMF employees or state property as determined by the Marine Patrol or other local, state or federal law enforcement authorities. These restrictions will be lifted as soon as law enforcement authorities have determined that the threat is no longer present or credible.

*NOTE: If local Department of Environmental Quality (DEQ) Regional Office security procedures conflict with this policy, local DEQ Regional Office security procedures will apply to DMF offices and staff located in the Regional Office.*

**Implementation**

<b>Title of Responsible Person</b>	<b>Action</b>
DMF Employees (all)	<p>Securely maintain picture security key for access to the building.</p> <p>Immediately report any lost, misplaced, or stolen security key to your supervisor and DEQ Human Resources so it can immediately be disabled. Request a new card.</p> <p>Do not loan the security card/key to anyone.</p> <p>Do not prop open locked doors.</p> <p>Lock office windows and doors, if practical, at the completion of the workday.</p> <p>During holidays, hurricanes, snow days and other weekdays when the building is closed for business, between 5:01 p.m. and 7:29 a.m., Monday – Friday, do not use the front door for access; Access is to be gained through another entrance to ensure the front door remains locked.</p>



Title of Responsible Person	Action
	<p>Make sure all non-employees use the front entrance and signed in as a guest.</p> <p>Be responsible for any visitors under your supervision (you are responsible for the guest at all times).</p> <p>Employees escorting guests are to ensure guests are logged out when they leave the building.</p> <p>Be aware of your surroundings and attentive to suspicious individuals, activities, packages or situations that appear to be escalating to dangerous levels.</p> <p>Isolate but do not move or touch suspicious mail or packages.</p> <p><b>In the event of a security or medical emergency Dial 911.</b> If possible, telephone DMF dispatcher or use intercom (#39 in Morehead City) to alert Marine Patrol to an emergency.</p>
Deputy Director	<p>Appoint security card/key database administrators for card activation, disabling, generation of reports, and database maintenance and ensure training on the system is provided.</p> <p>Determine security card/key access groups.</p> <p>Request/generate access reports, as needed.</p>
Marine Patrol Dispatcher on duty	<p>Monitor security card/key display or databases to ensure the system is properly logging activity and to be informed of any staff in the building after business hours.</p> <p>Be alert for calls made on the intercom or if you receive distress calls on the telephone.</p> <p>At the beginning of an emergency, dial 911 and contact local officer for assistance.</p> <p>At the beginning of an emergency, telephone the most available Marine Patrol officer and call senior staff.</p>
Maintenance Services	<p>Ensure all door and window locks provide adequate security and are operational.</p> <p>Maintain key control for internal office building.</p>



Title of Responsible Person	Action
	<p>Identify potential security problems to the Deputy Director.</p> <p>Place signs on external doors indicating where the visitor's entrance is located.</p>
Supervisors	<p>Responsible for ensuring employees assigned to their supervision are following policy and procedures for security and protection of state property.</p> <p>Notify DEQ Human Resources immediately of any employee who has lost their security card/key to ensure it is disabled.</p> <p>Establish security procedures at remote locations under your control not adequately covered by this policy.</p> <p>Ensure staff exiting DMF employment surrenders all materials that allow building, computer, and state-property access according to division policy PER-7.</p> <p>Ensure employees are implementing the policy.</p>
Marine Patrol Colonel	<p>Assume control of security of DMF office spaces during emergencies, including assigning officers to facility security as necessary.</p> <p>Ensure on-duty officers check DMF facilities, boats, hangar, dock, etc. on a routine basis while on patrol after normal office hours.</p> <p>Continuously review and revise building and employee security plans, procedures, training, etc.</p>
DEQ Human Resources	<p>Ensure access cards are issued at the start of employment through the normal Human Resources employee on-boarding employment process.</p> <p>Ensure security card/key cards and any other identification cards, if any, of employees exiting DMF employment are accounted and disabled as part of the separation process.</p>

**Effective Date**

Versions	Revisions
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## Division of Marine Fisheries Policy Manual

December 20, 2000	Original effective date
October 5, 2001	Reviewed; accountability for state identification cards for terminated employees added.
June 22, 2005	Added calling 911 to procedures.
July 1, 2010	Reviewed; revised to new format.
July 1, 2014	Reviewed and revised; Corrected reference of PR-7 to PER-7 and indicated Marine Patrol Colonel continuously reviews plans, procedures, training, etc.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.
July1, 2018	Updated the purpose, policy and responsibilities to include the Morehead City HQ building security card/key system.





## **Administrative (ADM – 4): Telephone and Cellular/Smart Telephone**

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**Title of Policy or Procedure:** Telephone and Cellular/Smart Telephone

**Purpose:** To provide guidance and accountability for the use of state telephones, cellular/smart telephones.

**Primary Responsibility:** Employees

**Subordinate Responsibility:** Supervisors

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### **Policy**

Local Personal Calls: Employees should remain aware that division telephones and cellular/smart phones are provided for state business. Local personal calls, therefore, will:

1. Be made from a division facility building
2. Be kept to an essential minimum in number and duration; and
3. NOT be made from state owned cellular telephones, except in circumstances specified below (cellular/smart telephone calls) of this policy.

DMF Toll-free Numbers: Employees are not to use the toll-free (1-800 numbers) when calling from a state office telephone or state issued cellular phone (the state telephone cost is lower per minute than the toll-free number). The toll-free numbers are primarily for the use of the public as a customer service tool. Employees are to call the direct main office numbers or the direct line of the person being contacted. The toll-free numbers can be used by employees if calling from a telephone number that will be charged a long-distance fee to be incurred by a non-state entity (e.g., personal telephone, third party telephone, etc.).

Long Distance Calls: Employees will not charge personal long distance telephone calls to the state, except as provided in paragraph below (Emergency Calls) of this policy.

Reimbursement of Long Distance Calls: Personal long distance calls may be reimbursed to employees only under the following conditions:

1. Employees in a travel status away from home for two (2) more consecutive nights in a week are permitted one (1) personal, long distance call for each two nights.
2. The call must be initially paid by the employee or charged to a personal credit card and cannot exceed three dollars (\$3.00) in state or five dollars (\$5.00) out-of-state.
3. Documentation is required for reimbursement.
4. A state credit card will NOT be used for this purpose.



Specific guidance can be found in the N.C. DEQ Travel Policy and Regulations under DEQ’s Office of Controller forms and policies site at: <http://portal.ncdenr.org/group/ooc/>

Emergency Calls: Employees may use the state network system and cellular/smart telephones, or may be reimbursed for a personal long distance call(s) if such call(s) is/are determined to be of an emergency nature as authenticated by his/her immediate supervisor. Examples of emergency calls are notification of family members of a major change of travel plans, serious illness, accident or injury. Calls of this nature must be reported to the employee’s immediate supervisor within 24 hours of the completion of travel and documented. Supervisors are responsible for recording their authorization for payment or reimbursement of emergency calls.

Cellular/Smart Telephone Calls: Due to the expense associated with all use of cellular/smart phones, personal calls will not be made on state owned cellular/smart telephones except in case of automobile accident, serious illness, injury or mechanical failure. If more economical means of communication are not available, families may be notified of emergency delays by contacting the Marine Patrol dispatch operator in Morehead City at (252) 726-7021. The dispatcher will notify the family by state network system and will log the call as an emergency call relay.

Reimbursement of Allowable Calls: Reimbursement of allowable calls will be made on individual expense account forms under “Other Expenses” and will be identified as to points of origin and destination.

Issuance of State Cellular/Smart Telephones: Only permanent and probationary (if required by duty position) state employees will be issued state credit cards or cellular telephones. Temporary employees may be issued state cellular telephones if approved by the Deputy Director. All employees issued cellular telephones will acknowledge by signature understanding of this policy upon issuance of a state owned telephone.

Penalties: Employees failing to comply with the provisions of this policy may be subject to administrative or disciplinary action including, but not limited to, warnings, demotion or dismissal from state service.

**Implementation**

Title of Responsible Person	Action
Supervisor	Will be responsible for enforcing the telephone and cellular/smart telephone policy.
DMF Employees (All)	Follow the telephone policy.

**Effective Date**



## Division of Marine Fisheries Policy Manual

<b>Versions</b>	<b>Revisions</b>
August 23, 1996	Original effective date
October 5, 2001	Reviewed;
July 1, 2010	Reviewed; revised to new format, added cellular/smart telephones, PDAs, and implementation section.
July 2, 2012	Updated hyperlink to DEQ Office of Controller Forms and Policies
July 1, 2014	Clarified policy name; Added section on use of the DMF toll-free telephone numbers. Removed references to personal digital assistants (PDA) and state issued telephone credit cards as these are no longer provided by the state.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Administrative (ADM – 5): Private Boat Ramp Use by Employees

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### Title of Policy or Procedure: Private Boat Ramp Use by Employees

**Purpose:** To establish policy and outline procedures for use of the Morehead City boat ramp and dock complex by Division of Marine Fisheries employees after hours.

**Primary Responsibility:** Deputy Director

**Subordinate Responsibility:** Employees, Marine Patrol dispatcher, Facilities Supervisor

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### Policy

It is the policy of the Division of Marine Fisheries (DMF) to permit DMF employees and retired DMF employees to use the boat ramp adjacent to the dock behind the main building complex in Morehead City to launch privately owned boats for recreational purposes while employees are on leave and after normal work hours. For retired employees, use of the boat ramp is encouraged on week-ends only but may be used during the week with advanced notice. The ramp and pier may not be used for any commercial activity, fishing or otherwise. Employee fishing is permitted off the wooden pier adjacent to the boat ramp and the main concrete boat dock. Use of the boat ramp and adjacent pier by employees not engaged in official state business will be at their own risk. The DMF and the state of North Carolina assume no liability for personal injury, death or damage to personal property resulting from off-duty use of the ramp or adjacent structures. DMF and the State of North Carolina also accept no responsibility or liability for personal property left at the boat ramp and adjacent areas. Further, employees may be held liable for damage to state property resulting from non-official use of the boat ramp or docking facility. Overnight camping or docking on state property is not permitted. **DMF employees on official state business have priority use of the boat ramp and adjacent areas.** This policy may be modified or rescinded at the discretion of the Director or Deputy Director if DMF facilities are used inappropriately.

### Implementation

Title of Responsible Person	Action
Employees and Retired Employees	Upon arrival at the Morehead City facility, notify the Marine Patrol dispatcher of your use of the boat ramp or dock facility.



Title of Responsible Person	Action
	<p>Sign for the key to unlock the gate (road barrier) to prevent unauthorized use and return the key to the Marine Patrol dispatcher for use by other employees.</p> <p>Notify Marine Patrol dispatcher, as a minimum, of your destination and estimated time of return.</p> <p>Park your vehicle and trailer clear of boat ramp approach to permit other boats to be launched. Properly dispose of trash and debris.</p> <p>Upon your return, sign for the key from the Marine Patrol dispatcher to unlock the gate, lock the gate behind you and return the gate key to dispatcher.</p> <p>Report any personal injury, damage to state property or unauthorized use of the ramp or dock through your supervisory chain to the Deputy Director.</p> <p><i>Note:</i> If you possess a key to the dock/hangar gate due to your official duties, notify the Marine Patrol dispatcher of your arrival and departure when using the boat ramp or adjacent dock facilities.</p> <p><b>DANGER:</b> Under no circumstance will vehicles or trailers be parked or turned in the vicinity of the aircraft hangar apron, helicopter landing pad or along the air approach to the helicopter landing pad.</p>
Marine Patrol	<p>Periodically check the boat ramp and dock area for unauthorized use as part of the facility security plan.</p> <p>Report unauthorized use through supervisory chain to the Deputy Director.</p>
Facility Manager	<p>Check boat ramp and dock area at least weekly for damage incurred by unofficial or unauthorized use.</p> <p>Report significant damage or vandalism to state property to the Deputy Director.</p> <p>Ensure dock area trash can is emptied weekly, or as required.</p>



**Effective Date**

<b>Versions</b>	<b>Revisions</b>
July 29, 1999	Original effective date
October 5, 2001	Reviewed; added weekly trash cleanup.
July 1, 2010	Reviewed; revised to new format and removed fishing restriction from the concrete dock.
July 1, 2014	Revised name of policy; Clarified use by retired DMF employees.
November 1, 2014	Revised and clarified non-commercial use and further clarified retired DMF employees use



## Administrative (ADM – 6): Compensation for Overtime Worked

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**Title of Policy or Procedure:** Compensation for Overtime Worked

**Purpose:** To inform all employees of the policy for earning compensatory leave, the proper procedures for obtaining approval and recording leave.

**Primary Responsibility:** Section Chiefs

**Subordinate Responsibility:** Supervisors and Employees

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### Policy

Overtime can only be earned as approved by the supervisor and overtime must be taken off as compensatory leave, unless otherwise authorized by the appropriate supervisory staff or Division of Marine Fisheries (DMF) management.

### Implementation

Title of Responsible Person	Action
Personnel Representative	<p>Notify employees by memorandum of their status concerning the wage and hour provisions of the Fair Labor Standards Act (FLSA).</p> <p>Employees subject to wage and hour provisions of the FLSA will be compensated with time off or overtime pay (if approved) for hours worked in excess of the 40-hour workweek. Compensatory time will be earned at the rate of one and one-half times the hours worked in excess of the 40-hour workweek. Compensatory time should be taken within twelve months of earning it and will be taken before other vacation leave (BEACON will take the time from that quota first). Compensatory time not taken within twelve months will be paid only during specific circumstances with the proper approval.</p> <p>Employees exempt from the wage and hour provisions of the FLSA are granted compensatory time on an hour for hour basis as a result of hours worked beyond the 40-hour workweek.</p>
Supervisor	May approve or disapprove compensatory time as overtime (supervisor’s discretion within broader division guidance) when requested for seasonal, peak, or emergency workloads based upon his/her or division



Title of Responsible Person	Action
	<p>assessment of the best use of available funds. Authorization must be given to employee by the supervisor before overtime is gained.</p> <p>NOTE: A supervisor may also require use of compensatory time before vacation at his/her discretion BEACON takes it from compensatory time first before vacation.</p> <p>Discuss overtime needs for employees with Section Chief and make recommendations as necessary.</p> <p>Approve or deny leave requests when employee's request to take compensatory leave is based on work needs</p>
Employee	<p>Record compensatory time earned in BEACON.</p> <p>Compensatory time off will be taken within 12 months of the month earned on a first-in first-out basis.</p> <p>Compensatory time not taken within 12 months from the month earned will be last at the end of the 12<sup>th</sup> month.</p> <p>Submit a request for leave to immediate supervisor and receive approval prior to using compensatory time, vacation or sick leave earned.</p>
Section Chief	<p>Notify the administrative services officer of identified monies to cover overtime expenditures.</p> <p>Ensure all supervisors and employees follow procedures outlined in this policy.</p>

**Effective Date**

Versions	Revisions
September 15, 1998	Original effective date
February 7, 2001	Reviewed; clarifies supervisor approval of overtime required
July 1, 2010	Reviewed; revised to new format, clarified how BEACON applies leave taken and clarified the compensatory time will not be paid unless agreed upon by the appropriate supervisor or DMF management.





## Administrative (ADM – 7): Conflict of Interest

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**Title of Policy or Procedure:** Conflict of Interest

**Purpose:** To establish criteria for avoiding conflicts of interest.

**Primary Responsibility:** Director

**Subordinate Responsibility:** Deputy Director, Section Chiefs, Employees

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### Policy

Every employee and supervisor of the Division of Marine Fisheries (DMF) is responsible for assuring employees do not conduct regulatory business of DMF in a manner that could be interpreted as a conflict of interest due to financial interest, personal opinion, or relationship by blood or marriage. Examples include, but are not limited to: contracting for goods or services from a business with which there is financial or personal interest; issuing permits, leases or licenses to relatives or in-laws or to individuals or businesses with which there is personal financial interest; law enforcement inspections of businesses or vessels owned by relatives or in-laws; participating in or attempting to unduly influence the hiring process of relatives; and publicly objecting or violating official DMF fisheries management positions, regulations, etc.

General Statute 113-225 specifically prohibits Marine Patrol officers from financial interest in any fishing industry in the State of North Carolina (1965, c. 957, s.2.) This is interpreted to mean that Marine Patrol officers are not prohibited from holding commercial fishing licenses but may not have secondary employment or any income as an owner or employee of any commercial or recreational fishing activity or business. In addition, DMF policy (PER-11) provides guidance to other DMF staff related to secondary/dual employment in the fishing industries.

Each employee of DMF shall promptly advise his or her supervisor whenever it appears that a situation or assignment may be prohibited under this policy. This policy is in addition to any other requirements that may be established by law or applicable professional standards.

### Implementation

Title of Responsible Person	Action
Employee	Not participate in any activity that may provide a conflict of interest.



## Division of Marine Fisheries Policy Manual

<b>Title of Responsible Person</b>	<b>Action</b>
	Notify supervisor when a situation or assignment may lead to a conflict of interest.
Supervisor	If employee notifies you of a situation or work assignment that places him/her in a conflict of interest, try to make arrangements to remove the employee from the situation or assignment.

### Effective Date

<b>Versions</b>	<b>Revisions</b>
March 17, 1998	Original effective date
October 5, 2001	Reviewed; changed to reflect licensing changes from the 1997 Fisheries Reform Act.
July 1, 2010	Reviewed; revised to new format, clarified public objection to official DMF fisheries management positions, and added implementation section.
July 1, 2014	Reviewed and added minor clarification.



## Administrative (ADM – 8): Smoking Policy

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**Title of Policy or Procedure:** Smoking Policy

**Purpose:** To clarify the smoking policy in and around division facilities and vehicles.

**Primary Responsibility:** Deputy Director

**Subordinate Responsibility:** Employees

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### Policy

Smoking and the use of all tobacco products are prohibited inside state government buildings (owned, leased, borrowed, etc.) and is prohibited in all state vehicles, smokeless or otherwise, in accordance with General Statute 130A-493 and Department of Environmental Quality policy. Vehicles include vessels.

Smoking in and around outside facility entrances and on loading docks is prohibited. In Morehead City, smoking is prohibited around the external HVAC system and generator but allowed several yards away from the cement areas around entrances and allowed in the gazebo.

For vessels, no smoking is allowed in cabins/living quarters. When on deck or open boat, the smoker has to yield to the non-smoker and use common courtesy by going down wind of the non-smoker. Cigarette butts are to be disposed of properly.

No smoking is allowed on heavy equipment (i.e., backhoes, front-end loaders, etc.)

For this policy, "Smoking" is defined as the use or possession of a lighted cigarette, lighted cigar, lighted pipe, or any other lighted tobacco or non-tobacco product, or the use of an electronic inhaler that employs a mechanical heating element, battery, or electronic circuit to heat a liquid nicotine solution contained in a vapor cartridge, such as an electronic cigarette, electronic cigar, electronic cigarillo, or electronic pipe. "Use of tobacco" is defined as using all tobacco products (i.e., chewing or sniffing) smokeless tobacco. Tobacco is a product prepared from the leaves of the tobacco plant by curing them. Tobacco (also known as snuff or chew) is a fine-grain tobacco that often comes in teabag-like pouches that users put between their lower lip or cheek and gum. Chewing tobacco comes in shredded, twisted, or bricked tobacco leaves.

### Implementation

Title of Responsible Person	Action
Maintenance Services Section Chief	Post signs in conspicuous areas of the Morehead City headquarters complex. The signs shall state, "Smoking



Title of Responsible Person	Action
	is Prohibited” and may include the international “No Smoking” Symbol.
Fisheries Management District Managers	Post signs in conspicuous areas in Manteo, South River, Elizabeth City, and Morehead City Field Offices. The signs shall state, “Smoking is Prohibited” and may include the international “No Smoking” Symbol.
Section Chiefs	Post signs in conspicuous areas in all section passenger carrying vehicles. The signs shall state, “Smoking is Prohibited” and may include the international “No Smoking” Symbol.
DMF Motorpool Coordinator	Post signs in conspicuous areas in all section passenger carrying vehicles. The signs shall state, “Smoking is Prohibited” and may include the international “No Smoking” Symbol.
Supervisors	Ensure staff is adhering to policy and take immediate appropriate action for violations of the policy.
Employees	Adhere to the policy.

**Effective Date**

Versions	Revisions
January 22, 1996	Original effective date
October 8, 2001	Reviewed; no changes.
May 23, 2005	Reviewed; removed loading dock at Morehead City location as a designated smoking area.
July 1, 2010	Reviewed; revised to new format, updated to reflect G.S. 130A-493, and clarified smoking around entrances, HVAC and generator.
July 1, 2011	Updated to include smoking policy for vessels and heavy equipment and supervisor responsibility.
January 4, 2013	Removed reference to the Columbia office.
January 3, 2017	Updated to include electronic cigarettes and other tobacco products such as chewing tobacco.



## Administrative (ADM – 9): Crisis Communication Plan

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**Title of Policy or Procedure:** Crisis Communication Plan

**Purpose:** To establish procedures for coordination of communications with Division of Marine Fisheries and between the division and Department of Environmental Quality (DEQ), the media, interest groups or other individuals or organizations during emergencies or controversies with crisis potential.

**Primary Responsibility:** Director

**Subordinate Responsibility:** Deputy Director, Public Information Officer

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### Policy

It is the policy of the Division of Marine Fisheries (DMF) to respond to emergencies, crisis's or controversial issues in a responsible manner consistent with principles of the public's right to full disclosure of the facts, the protection of an individual's right to privacy, the confidentiality of privileged information and support of the policy decisions and public positions of the Executive Branch of state government. *It is also DMF policy to clearly articulate one public position on any issue brought requiring a public response.* Emergencies may include natural or man-made disasters, fires, bomb threats, major crimes, etc. Controversial issues may include protests, law enforcement investigations, conflict within state government, and large-scale media exploitation of agency actions, regulatory decisions or other situations that demand a public response.

The purpose of this plan is to define roles and procedures to quickly and effectively manage emergency or crisis situations affecting DMF. This plan is intended to coordinate and accelerate the normal decision making processes employed by key leaders in DMF and will not be interpreted to replace, contradict or inhibit the decision making authority of the director or any subordinate DMF supervisor.

Depending on the situation, the division may initiate activation of the division's Continuity of Operations Business Plan (COOP).

Alternate Work Locations:

In the event that the DMF building complex in Morehead City or any other DMF building cannot be occupied due to damage, civil unrest or other hazardous condition, alternate work locations as defined in the division's Continuity of Operations Business Plan will be used.

### Implementation



Title of Responsible Person	Action
Employee encountering/identifying potential crisis	<p>Gather all available information.</p> <p>If immediate response may be necessary, notify, as a minimum (through supervisory chain if time permits):</p> <ul style="list-style-type: none"> <li>• Director</li> <li>• Deputy Director</li> <li>• Public Information Officer</li> </ul>
Deputy Director	<p>After consultation with the director, assemble, a DMF Crisis Communication Team (CCT) tailored to the situation. The CTT may consist of:</p> <ul style="list-style-type: none"> <li>• Section chiefs</li> <li>• Council liaisons</li> <li>• Commission liaisons</li> <li>• Assistant Attorney General</li> <li>• Subject matter experts or witnesses</li> <li>• Other DMF employees</li> <li>• Local, state or federal officials</li> </ul>
Crisis Communication Team	<p>Assess the nature and scope of the crisis.</p> <p>Determine appropriate DMF response.</p> <p>Designate an appropriate DMF spokesperson.</p> <p>Draft a fact sheet, if appropriate, summarizing the situation, known relevant (and releasable) facts and action taken/to be taken by DMF or DEQ.</p> <p>Designate members to notify staff, key constituencies and stakeholders. For example:</p> <ul style="list-style-type: none"> <li>• DEQ leadership</li> <li>• DMF staff</li> <li>• DEQ public affairs</li> <li>• Law enforcement</li> <li>• Local government officials</li> <li>• Interest groups</li> <li>• NMFS/NOAA</li> <li>• ASMFC/MAFMC/SAFMC</li> <li>• Duke Marine Lab</li> <li>• USFWS</li> <li>• CMAST</li> <li>• UNC-IMS</li> </ul>
Public Information Officer	<p>Alert the media of a news conference and/or press release, if appropriate.</p>



Title of Responsible Person	Action
	Continuously monitor media accounts of crisis.  Advise staff on how to respond to media.  Update staff on media situation, as appropriate.
Deputy Director	Deploy key staff to alternative work stations, if appropriate.
Director	Determine when incident response is over and normal operations resume.

**Effective Date**

Versions	Revisions
March 10, 2000	Original effective date
October 8, 2001	Reviewed; no changes.
July 1, 2010	Reviewed; revised to new format and reference COOP as providing further guidance.
July 1, 2014	Clarified language on alternative work locations.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Administrative (ADM – 10): Sexual Harassment Prevention

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**Title of Policy or Procedure:** Sexual Harassment Prevention

**Purpose:** To establish procedures for the prevention of sexual harassment and to inform employees of what constitutes sexual harassment

**Primary Responsibility:** Director

**Subordinate Responsibility:** Deputy Director, Human Resources Manager,  
Administrative Services Section Chief

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### Policy

Sexual harassment is defined as deliberate, unsolicited, and unwelcome verbal and/or physical conduct of a sexual nature or with sexual implications by a supervisor or co-worker which (1) has or may have direct employment consequences resulting from the acceptance or rejection of such conduct, or (2) creates an intimidating, hostile or offensive working environment, or (3) interferes with an individual’s work performance. Examples and types of sexual harassment are verbal comments of a sexually explicit nature, jokes with offensive sexual content, teasing, deliberate physical contact and leering. Sexual harassment does not include personal compliments welcomed by the recipient or social interaction or relationship freely entered into by an employee or prospective employee.

The director, Division of Marine Fisheries (DMF), expressly prohibits the practice of sexual harassment as defined above. No personnel decisions shall be based upon the granting or denial of sexual favors. All employees are guaranteed the right by this policy and the law to work in an environment free from sexual harassment.

### Implementation

Title of Responsible Person	Action
Supervisor	<p>Will create and maintain a work climate free of sexual harassment and discrimination.</p> <p>Will counsel employees when appropriate to prevent or correct sexual harassment.</p>
Employee	<p>Will not engage in actual sexual harassment or the appearance of the same, to maintain a climate free of harassment and discrimination.</p> <p>Will discuss instances of sexual harassment with his/her supervisor. If not resolved in a reasonable time, report</p>





Title of Responsible Person	Action
	directly to the division's human resources manager. If harassment is by the employee's supervisor, the employee will report directly to the division's human resource manager.
Human Resources Manager*	<p>Will investigate and obtain additional information required to complete documentation of cases alleging sexual harassment.</p> <p>Will recommend further investigation, administrative action or disciplinary action to the deputy director, if appropriate.</p> <p>Will keep Department of Environmental Quality's human resources division advised of the status of the investigation and any anticipated administrative or disciplinary action.</p> <p>At least annually, advise staff of existing policy concerning sexual harassment.</p>
Deputy Director	<p>Will determine if further investigation, administrative action or disciplinary action is appropriate.</p> <p>Will keep the director advised of the status of the investigation and any anticipated administrative or disciplinary action.</p>

\*Or personnel representative designated by the human resources manager.

**Effective Date**

Versions	Revisions
March 17, 1998	Original effective date
October 5, 2001	Reviewed; responsible individual changed to reflect organizational changes; specified additional options and responsibilities for deputy director.
July 1, 2010	Reviewed; revised to new format.
July 1, 2014	Changed Division's Human Resources Manager to Human Resources Manager and revised for clarification.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Administrative (ADM – 11): Adverse Weather Conditions

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**Title of Policy or Procedure:** Adverse Weather Conditions

**Purpose:** To establish a uniform procedure to make up time lost due to adverse weather conditions.

**Primary Responsibility:** Employee

**Subordinate Responsibility:** Section Chiefs, Supervisors

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### Policy

It is the policy of the Division of Marine Fisheries (DMF) to place a high priority on employee safety and welfare. DMF encourages employees to use sound judgment in determining if adverse weather conditions pose a real and present hazard to their safety should they attempt to commute to or from work. Work lost due to employee or supervisor discretion during adverse weather will be made up in accordance with department and state policy.

### Implementation

Title of Responsible Person	Action
Employee	<p>Employees need to make a good faith effort to come to work during times that adverse weather or other conditions of a serious nature exist.</p> <p>Notify supervisor in cases when weather conditions are sufficiently hazardous to justify not reporting to work, reporting late or departing from work.</p> <p>Charge time lost due to late arrival, early departure or absence to approved leave (BEACON will remove time from compensatory leave first before annual leave).</p> <p style="text-align: center;"><i>OR</i></p> <p>Arrange to make up lost time, with approval of your supervisor, using the following as guidance.</p> <p>Employees subject to the Fair Labor Standards Act (FLSA) should schedule no more than 40 hours of work in a week.</p> <p>Make up time must be worked in the week the time was lost or when you have not worked a full schedule, i.e., a week containing a holiday* or in which leave was taken.</p>



Title of Responsible Person	Action
	<p><i>NOTE: if you choose to make up time on a holiday, you will not be paid at the holiday rate.</i></p> <p>Keep a record of time lost and made up due to adverse weather in BEACON using “Adverse Weather (9545)” to record leave taken due to adverse weather and “Adverse Weather Make-up (9512)” to record time to make up adverse weather leave taken.</p> <p>Time lost must be made up with 12 months or other leave (vacation, compensatory, or leave without pay) will be charged.</p> <p><i>NOTE: If you are on scheduled vacation leave or sick when an adverse weather day is authorized, leave will be charged to vacation or sick leave, as originally scheduled.</i></p>
Supervisors	Ensure employees accurately capture time lost and made up due to adverse weather in BEACON.

**Effective Date**

Versions	Revisions
June 26, 1997	Original effective date
February 7, 2001	Reviewed.
July 1, 2010	Reviewed; revised to new format and included BEACON timekeeping procedures.
July 1, 2014	Reviewed and revised with minor clarifications and consistent format.



## Administrative (ADM – 12): Closing Division Offices

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**Title of Policy or Procedure:** Closing Division Offices

**Purpose:** Closing Division of Marine Fisheries offices due to adverse weather, flooding, forced evacuation, or other hazardous conditions.

**Primary Responsibility:** Director/Deputy Director

**Subordinate Responsibility:** Section Chiefs, Supervisors

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### Policy

The state Adverse Weather Policy (See North Carolina Office of State Human Resources policies and procedures) is designed to adhere to the doctrine of public accountability while ensuring that state employees have the flexibility to determine whether it is safe to report to work. By giving employees the option to report to work, charge time lost to leave, or make up the lost time, the need to be responsible stewards of taxpayer funds is balanced against the overriding interest in the safety of state employees. A similar balance must be struck between ensuring that state employees of all agencies are treated fairly and equally and that Division of Marine Fisheries (DMF) has the flexibility to ensure the safety of DMF employees in remote locations exposed to uniquely local conditions or hazards.

For the purposes of determining if a DMF office will be closed due to hazardous conditions, DMF offices co-located with other agencies will follow the determination made by the Administrative Manager of the Regional Office for those co-located agencies (Washington and Wilmington). Decisions to close the DMF offices in Morehead City, Elizabeth City, Manteo, and South River will be made by consultation between the senior DMF supervisor at those locations and the director or deputy director of DMF. In either case, the director or deputy director of DMF will notify the appropriate DENR personnel of the decision to close the DMF office, as soon as possible. In the case where the appropriate Regional Office Administrative Manager cannot be contacted, the director or deputy director may still close an office to ensure employee safety if conditions require.

Closure of offices may initiate activation or partial activation of the division Continuity of Operations Business Plan (COOP). Refer to the COOP for further information on potential alternative worksites and responsible person in charge by location, team, or business function.

**NOTE:** If a DMF office is temporarily closed, the senior DMF supervisor at that location will ensure that emergency contact information is posted on the front door of the facility and is contained on the main telephone number voice mail system or answering machine.



**Office Closure Contact Information**

**DEQ Wilmington Regional Office**

Administrative Manager  
127 Cardinal Drive Extension  
Wilmington, NC 28405  
Main Phone: (910) 796-7215

**DEQ Washington Regional Office**

Administrative Manager  
943 Washington Square Mall  
Washington, NC 27889  
Main Phone: (252) 946-6481

**Division of Marine Fisheries (for all other offices)**

Director or Deputy Director  
3441 Arendell Street  
Morehead City, NC 28557  
Phone: (252) 726-7021

**Implementation**

<b>Title of Responsible Person</b>	<b>Action</b>
Senior DMF Employee In Each Location	<p>Determine if conditions exists to justify recommendation to close office for Morehead City, Manteo, Elizabeth City, and/or South River.</p> <p>Consult with division director and deputy director.</p> <p>If closed, place adequate notification to the public of the office closure.</p> <p>For Washington and Wilmington, consult with the regional office administrative manager to determine if conditions exist to justify recommendation to close office.</p> <p>Notify appropriate DEQ staff when offices return to normal operational status</p>
Director and Deputy Director	Determine if conditions exists to justify recommendation to close office for Morehead City, Manteo, Elizabeth City, and/or South River.



Title of Responsible Person	Action
	<p>Recommend closure to appropriate DEQ staff for further guidance.</p> <p>Notify appropriate senior employee in the office of final decision of office closure and if other policies are to be followed according to the condition (e.g., Adverse Weather Policy, etc.).</p> <p>For Washington and Wilmington, consult with the regional office administrative manager to determine if conditions exist to justify recommendation to close office.</p> <p>If necessary, activate COOP.</p> <p>Notify appropriate DEQ staff when offices return to normal operational status.</p>

**Effective Date**

Versions	Revisions
December 10, 2000	Original effective date
October 8, 2001	Reviewed and revised to reflect DENR reorganization
July 1, 2010	Reviewed; revised to new format, added activation of COOP, clarified role of division director and deputy director in determining closure of offices not located in Wilmington and Washington, and added implementation section.
January 4, 2013	Removed reference to the Columbia office and added Nags Head.
July 1, 2014	Changed reference from the Office and State Personnel to the Office of State Human Resources.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality, changed DENR to DEQ, and removed Nags Head.



## Administrative (ADM – 13): Supervisory Chain

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**Title of Policy or Procedure:** Supervisory Chain

**Purpose:** To establish policy and procedures for staff communications within the DMF

**Primary Responsibility:** Deputy Director

**Subordinate Responsibility:** Section Chiefs, Supervisors, Employees

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### Policy

Effective staff communications within the Division of Marine Fisheries (DMF) are essential for high quality public service. In addition, professionalism and courtesy dictate that supervisors at all levels within the DMF be given appropriate opportunity to resolve problems within their work units and to communicate with employees before problems are elevated to a higher supervisor. It is the policy of the DMF, therefore, that all employees use the established supervisory chain to communicate problems or concerns. This process will be interpreted to mean that all employees, at a minimum, will inform their supervisor that they wish to speak to a higher authority after giving their supervisor an opportunity to address their problem or issue without adequate resolution. This policy will not be interpreted to deny any employees the right to speak to any supervisor, including the director. It will also not be used to circumvent or otherwise undermine a supervisor’s authority. To be effective, the supervisory chain must work in both directions. Higher level supervisors, therefore, should also inform subordinate supervisors before taking action involving one of their subordinate’s employees.

It is also the policy of the DMF not to take any action based upon anonymous or otherwise unsubstantiated allegations of misconduct directed against any employee of DMF.

**Reports of situations posing imminent threat to the safety of DMF employees or the public and substantiated reports of illegal activities are authorized exceptions to this policy.**

### Implementation

Title of Responsible Person	Action
Employees	Adhere to the policy as written, including informing direct supervisor when going to the next level.
Supervisors	Enforce the policy in both directions.



**Effective Date**

<b>Versions</b>	<b>Revisions</b>
March 17, 1998	Original effective date
February 8, 2001	Reviewed
July 1, 2010	Reviewed; revised to new format and add implementation section.





## Administrative (ADM – 14): Improvement Suggestions

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**Title of Policy or Procedure:** Improvement Suggestions

**Purpose:** To establish policy to promote improvements in all aspects of division operations.

**Primary Responsibility:** Deputy Director

**Subordinate Responsibility:** Section Chiefs, Supervisors, Employees

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### Policy

It is the policy of the Division of Marine Fisheries (DMF) to encourage innovation and to seriously consider all practical recommendations for positive change consistent with department, state and federal law or policy and the division’s mission. DMF views positive suggestions from DMF employees, employees of other agencies or customers served by the agency as one of the most fertile sources of new ideas for organizational development, institutional improvement, budget savings, enhancement of delivered public services, and consideration of other alternative fisheries management policies while still meeting legal mandates.

A suggestion or recommendation for operational improvement will be accepted in any written form, including electronic mail, as long as the originator can be identified for additional discussion. Suggestions may be directed through the supervisory chain to the deputy director or to other appropriate processes such as committee or teams.

### Implementation

Title of Responsible Person	Action
Employees	<p>For division operational improvements, submit the following through the appropriate supervisory chain or committee. Information to consider includes:</p> <p>What are you suggesting?  Why are you suggesting it?  How will it improve the agency, processes, etc.?  Provide contact information.</p> <p>For division policy/position decisions, including division positions on fisheries management issues, submit the following through the appropriate supervisory chain or committee (through committee members) such as the Rules Advisory Team, Biological Review Team, Manager’s Review Team, DMF IT Steering Committee</p>



Title of Responsible Person	Action
	Support final decisions, especially externally.
Supervisors	Enforce the policy and move suggestions to the next chain of command level or appropriate committee.  Inform employees of final decision of suggestion/recommendation.
Section Chiefs	Enforce the policy and move suggestions to the correct decision maker or appropriate committee.  Inform employees of final decision of suggestion/recommendation.

**Effective Date**

Versions	Revisions
February 8, 2001	Original effective date
July 1, 2010	Reviewed; revised to new format, renamed the policy, removed suggestion box, added referring items to committees and supporting final outcomes.



## **Administrative (ADM – 15): Children in the Workplace**

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**Title of Policy or Procedure:** Children in the Workplace

**Purpose:** To establish policy for children of Division of Marine Fisheries (DMF) employees to visit DMF facilities during normal office hours.

**Primary Responsibility:** Deputy Director

**Subordinate Responsibility:** Section Chiefs, Supervisors, Employees

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### **Policy**

Children of DMF employees are permitted to occasionally visit their parent(s) during normal office hours as long as these visits do not become routine or disruptive to other employees or DMF customers.

The workplace is not to be used as an alternative for regular childcare. If circumstances dictate that a child visit a parent due to a break down in child care arrangements, the parent will make other arrangements for child care or will request vacation or compensatory time off, as appropriate, to avoid disruption of the work place.

A child who has an illness that prevents him or her from being accepted by a regular day care provider, particularly a child with infectious disease, may not be brought to the workplace.

Exceptions can be made when the employee cannot be absent from the workplace. For these case-by-case situations, the supervisor may grant an exception to the policy, but not on a routine basis. To request an exception, an employee must submit a written request to the supervisor explaining why the employee cannot be absent from work and the supervisor must respond in writing.

### Acceptable Exceptions Not Requiring Written Permission from the Supervisor:

1. Participation in an organized and approved event (e.g., educational, community or other approved event) that permits children to observe and/or participate in parent's work activities is acceptable.
2. A brief visit by a child to a parent's workplace on a non-routine basis is acceptable.

### When Children Are Brought to the Workplace:

When children are brought to the workplace, the following requirements apply:

1. The employee who brought the child to the workplace is responsible for keeping



the child within his or her ‘sight and sound’ at all times. The employee may not ask any other employee to supervise the child.

2. The employee who brought the child to the workplace is responsible for all aspects of the child’s behavior. The employee is responsible for the child’s safety, ensures the child is adhering to all state, department and division policies, and is financially responsible for any damages caused by the child.
3. The presence of the child cannot disrupt the work environment or other employees, or negatively impact the productivity of the employee who brought the child.
4. The employee’s supervisor and higher chain-of-command authority may direct the employee to remove the child from the workplace at any time if the supervisor or higher chain-of-command authority determines that this policy has been violated or that the child’s presence negatively impacts the division’s interests.

### Implementation

Title of Responsible Person	Action
Employees	Gain permission from their supervisor in writing before bringing children in the workplace, except for the exceptions listed in this policy, and follow all specified requirements listed in this policy.
Supervisors and Section Chiefs	<p>May grant permission, in writing, for an employee to bring children to the workplace (non routine, non disruptive and not as an alternative to childcare) as described in this policy.</p> <ol style="list-style-type: none"> <li>1. Be flexible in granting leave to employees who need to make alternative child care arrangements.</li> <li>2. Be responsible for ensuring that visiting children do not cause disruption to other employees or distract from high quality service to the public.</li> </ol>
Deputy Director and Director	The deputy director and director are responsible for ensuring supervisors and section chiefs are consistently implementing this policy.

### Effective Date

Versions	Revisions
March 17, 1998	Original effective date



## Division of Marine Fisheries Policy Manual

<b>Versions</b>	<b>Revisions</b>
January 2, 2008	Revised with more thorough explanation of policy, exceptions, requirements, roles and responsibilities.
July 1, 2010	Reviewed; revised to new format.



## **Administrative (ADM – 16): Appropriate Dress for Public Service**

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**Title of Policy or Procedure:** Appropriate Dress for Public Service

**Purpose:** To establish dress standards for the Division of Marine Fisheries appropriate for a State agency.

**Primary Responsibility:** Deputy Director

**Subordinate Responsibility:** Section Chiefs, Supervisors, Employees

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### **Policy**

It is the policy of the Division of Marine Fisheries that employees dress appropriately as representatives of the executive branch of the state government of North Carolina while on duty or acting in an official capacity. This will be interpreted to mean that employee dress will be neat, clean, conservative, and employees will avoid dress which could be distracting to the public or other employees, excessively revealing, or inappropriate for the work environment. Examples of unacceptable dress in the office or public setting include, but are not limited to, swim suits, micro-mini skirts, halter tops, tank tops (male), see-through apparel, bib overalls, and cut-out jeans. Employees actively involved in or preparing for field operations requiring work clothes or bathing suits are exempted from this policy on an “as-required” basis, providing the manner of dress is otherwise in keeping with the intent of this policy.

Shorts, skirts, skorts, dresses, etc. are not to be shorter than three (3) inches above the knee when standing.

As a general rule, DMF employees are to dress as a business professional would in dealing with a valued client and as appropriate according to the schedule for the day. Employees will be permitted to dress to a standard as follows:

1. While well-maintained jeans are acceptable; cut-out jeans are not.
2. Regular business attire should be worn when working outside the office in public contact (except for specific field activities) or when attending a scheduled meeting with the public or another agency.
3. If you are working for an extended period with another agency or private organization that has a casual dress policy, you may respect that policy by dressing ‘business casual’.
4. When operating under field conditions, business attire or business casual attire is not required.



5. T-shirts displaying offensive language or illustrations, and/or political or embarrassing messages are specifically prohibited.
6. Bathing suits are only allowed for in-the-water activities such as diving operations, in the water sampling, in water safety training, etc. If bathing suits are necessary for in-the-water activities, women shall wear one-piece bathing suits (i.e., no bikinis) and men shall wear swim trunks (i.e., no 'speedo' type of suits). When not in the water or immediately returning to the water, staff shall wear appropriate clothes over the suits such as shorts, pants, shirts, etc. Bathing suits are not acceptable attire for sampling not requiring the person to be in the water.
7. When attending Marine Fisheries Commission business meetings, employees are expected to dress in appropriate professional or business casual attire. Employees shall wear collared or button-down shirts tucked into slacks or jeans. Women can wear skirts, dressy capri-style pants, and blouses. T-shirts, sweatshirts, holey or ragged jeans, shorts, exercise-wear, and sneakers of any type are unacceptable. Thong-style shoes are permissible as long as they are dressy; casual, beach-wear flip-flops are unacceptable.

It is expected that DMF employee adherence to this policy be one of self-restraint. An appropriate guideline to apply is, if in doubt, don't wear it.

### Implementation

Title of Responsible Person	Action
Employees	Follow policy
Supervisors and Section Chiefs	Pro-actively enforce policy.

### Effective Date

Versions	Revisions
June 26, 1997	Original effective date
October 8, 2001	Reviewed; no changes.
September 26, 2003	Revised with minor changes to acceptable apparel.
January 3, 2008	Revised with minor changes to acceptable apparel.
July 1, 2010	Reviewed; revised to new format and minor revisions.
July 1, 2011	Revised to include acceptable types of bathing suits and when these can be worn.
July 1, 2013	Revised with minor editorial changes and to include acceptable attire for Commission meetings.



## Administrative (ADM – 17): Photocopier Committee (No Longer in Effect)

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### Effective Date

<b>Versions</b>	<b>Revisions</b>
November 9, 2001	Original effective date
July 9, 2007	Revision on procedures on replacing photocopiers in DMF sections.
July 1, 2010	Reviewed; Revised to new format and minor revisions.
July 1, 2011	Revised by removing reference to the Columbia office.
November 17, 2011	Revised removing reference to Division of Environmental Health.
January 4, 2013	Shifted primary responsibility for committee center code management from key operators to committee chairperson.
July 1, 2014	Revised completely to reflect updated process; added a Process section and a Process Flow Chart; added reference to Nags Head office; minor revisions.  Addition of appropriate responsibilities for all staff with regards to the maintenance and service of photocopy equipment.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality, DENR to DEQ, and removed Nags Head.
March 21, 2019	Policy and committee is no longer in effect.
January 1, 2020	Removed policy content but preserved policy number, title and effective date as history note.





## Administrative (ADM – 18): Animals on State Property

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**Title of Policy or Procedure:** Animals on State Property

**Purpose:** To ensure adequate controls are in place to provide for a safe and healthy working environment for employees and the public.

**Primary Responsibility:** Employees

**Subordinate Responsibility:** Section Chiefs

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### Policy

It is the policy of the Division of Marine Fisheries (DMF) to take reasonable and prudent steps to ensure that DMF employees work in an environment free from unnecessary exposure to animals that would pose a threat to their health and citizens that utilize division facilities. This policy is intended to apply to dogs, cats, gerbils, mice, rats, and other mammals; snakes, lizards and other reptiles; canaries, parrots, parakeets and other birds, but is also applicable to other animals which are likely to create similar health hazards and/or nuisances. The purpose of this policy is to minimize the occurrence of offensive odors, excretion, fleas, biological agents, etc., on state property and in state buildings, where these or the animal itself may result in health hazards to employees and the public or could interfere with the quality of service to the citizens of North Carolina.

Exceptions: Any trained service animal to aid people or an animal being trained as a service animal to aid people are allowed.

### Implementation

Title of Responsible Person	Action
Employees	<p>Animals are not permitted in any state building except in the following cases:</p> <ol style="list-style-type: none"> <li>1. Animals are trained service animals assisting persons.</li> <li>2. Animals used in research and teaching and authorized by the director of the division.</li> <li>3. Special circumstances or events that are subject to approval from the director.</li> <li>4. When authorized, mammals must have current tags as evidence of rabies vaccination.</li> </ol>



Title of Responsible Person	Action
	<p>The laws and ordinances of the city shall apply to the control of animals on state property and in state operated facilities. Animals brought onto state property must be restrained as provided for in most Town Codes or Ordinances when authorized.</p> <p>Animals on state property in violation of this policy are subject to being picked up and turned over to the local Animal Control Officer for impoundment. Violations should be reported to local police department or safety/health coordinator, who can coordinate enforcement efforts with the Animal Control Officer.</p>
Section Chiefs	<p>Ensure all employees within their section are aware of this policy.</p> <p>Report any violators to the deputy director.</p>

**Effective Date**

Versions	Revisions
July 30, 2003	Original effective date
January 14, 2004	Reviewed with minor revisions.
July 1, 2010	Reviewed; revised to new format.



## Administrative (ADM – 19): Division Travel

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**Title of Policy or Procedure:** Division Travel

**Purpose:** To ensure employees are informed and follow travel policies for conducting official state business.

**Primary Responsibility:** Employees

**Subordinate Responsibility:** Travel Coordinator

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### Policy

An employee traveling on official state business is expected to exercise the same care in incurring expenses that a prudent person would exercise if traveling on personal business and expending personal funds. Excess costs, circuitous routes, delays, or luxury accommodations and services unnecessary, unjustified, or for the convenience or personal preference of the employee in the performance of official state business are not acceptable under this standard. Employees will be responsible for unauthorized costs and any additional expenses incurred for personal preference or convenience.

The travel policy, including allowable travel advances and per diem, is updated frequently. For the most recent information on travel policies, contact the division’s travel office and refer to the N.C. DEQ Travel Policies and Regulations located at:

<http://portal.ncdenr.org/group/oo/>

### Implementation

Title of Responsible Person	Action
Employee	<p>Follow all state, department, and division travel policies.</p> <p>Note: approved travel requests must be submitted to the travel coordinator no later than 15 working days before first day of travel.</p> <p>Complete appropriate travel reimbursement forms with expense documentation.</p>
Supervisor	<p>Ensure staff is familiar with travel policies and complete appropriate approval and reimbursement forms.</p> <p>Approve or deny travel before travel is to commence (at least 15 working days before the first day of travel). Sign appropriate forms for approval.</p>



Title of Responsible Person	Action
	<p>Forward approved request to the travel coordinator no later than 15 working days before first day of travel.</p> <p>Approve appropriate travel reimbursement forms.</p>
Budget Officer	Review <i>Employee Advance Request</i> for completion and approve/disapprove request, if appropriate.
Travel Coordinator	<p>Notify all staff when travel policies are updated.</p> <p>Process all travel forms according to policy.</p> <p>Inform employee and supervisor when travel is approved.</p>

**Effective Date**

Versions	Revisions
May 19, 1999	Original effective date
February 7, 2002	Changed to reflect current organization numbering change from TRA-2
July 1, 2010	Reviewed; revised to new format, changed purpose for travel advances to travel policies, updated significantly by removing many policies and referring to DENR Travel Policies and Regulations.
January 4, 2013	Updated hyperlink to DENR's Office of Controller Forms and Policies.
July 1, 2014	Reviewed and revised the number of days requests are to be submitted from 10 days to 15 days in accordance to state policy.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Administrative (ADM – 20): Employee Recognition Program

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**Title of Policy or Procedure:** Employee Recognition Program

**Purpose:** To establish procedures for the recognition of outstanding employee achievement or service.

**Primary Responsibility:** Director/Deputy Director

**Subordinate Responsibility:** Supervisors, Employees, Employee Recognition Committee Chairperson

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### Policy

It is the policy of the Division of Marine Fisheries (DMF) to routinely recognize deserving temporary and permanent employees demonstrating extraordinary dedication, service or commitment to the DMF and/or the advancement of marine fisheries conservation. Recommendations for awards will be made by majority vote of the Employee Recognition Program Committee (ERPC) subject to the final approval of the director.

The ERPC will consist of no less than nine (9) members selected from each of the division's functional sections for terms of one (1) year. Members may be selected for sequential terms if desired by the section making the selection of a representative and agreed to by the member. The ERPC will select a chairman and other officers, committees or coordinators, as it deems appropriate to meet or exceed the requirements of this policy. The ERPC will meet biannually and will report to the director and deputy director. Any employee may recommend any other employee for an award.

This policy also establishes a divisional 'wall of fame' at each of the office sites. The 'wall of fame' will be a bulletin board announcing all awards. In addition to a certificate going to the award winners, a certification will be posted on the 'wall of fame' for a year. It will be the responsibility of the senior manager at each of the remote offices to maintain their respective 'wall of fame'. The ERPC will send the appropriate awards to the remote offices.

This policy pertains only to division employee recognition and will only supplement any department or state employee recognition policy.

**Formal Awards:** The ERPC will make recommendations for these awards:

Director's Award of Excellence: This award will be presented to an individual or group that exhibited unselfish devotion to duty far and above normal requirements and contributed significantly to the advancement of service to the citizens of North Carolina.



## Division of Marine Fisheries Policy Manual

The recipient of the Director's Award of Excellence will receive their name engraved on a perpetual plaque along with a printed certificate from the division. This individual or group of individuals will be recognized at an awards presentation.

Award Criteria:

1. The performance of the nominated group or individual must be clearly above and beyond what would be expected from a dedicated employee.
2. It must be beyond the scope of normal job duties and responsibilities.

Division Certificate of Excellence: This award can be an individual award or a group award and is the division director's appreciation award to division staff that promotes excellence by personal development or outstanding work ethic. Award of this certificate is done on a biannual basis and can be awarded to multiple individuals or groups during the biannual review.

Award Criteria:

1. Acquiring a professional certification, licensure, or further education degree related to the employee's position or division's mission, including but not limited to: Microsoft Certified Developer, Master of Business Administration, Certified Public Accountant, Project Management Professional, or the American Fisheries Society's Certified Fisheries Scientist.
2. Successful completion and certification in the Public Managers Program sponsored by the Office of State Personnel.
3. Outstanding or noteworthy publication of professional / job related papers.
4. Specific accomplishment in their field of expertise.
5. Accomplish a particularly difficult or important mission, operation or assignment that reflects credit on the individual or the division.
6. Perform outstanding work that distinguishes the group or individual.
7. Development and implementation of innovative new approaches, techniques or methods of operation that result in a savings of time, money and increase in staff morale, improvements in relations with our constituents or other noteworthy achievements.

Humanitarian Award: This award will recognize employees who promote human welfare by performing such acts as heroism or leading charitable acts at the division, civic organizations or other state, local, or national organizations.

The recipients of both the Division Certificate of Excellence and Humanitarian Award will receive a printed certificate and an award from the division.



This individual or group of individuals will be recognized at an awards presentation.

**Nomination to the State Employees’ Awards for Excellence: of the Year:** The ERPC will nominate employees or groups following department and state processes and procedures. Eligible nominees will be from Director’s Award of Excellence, or Division Certificate of Excellence, or department level award winners.

**Informal Awards** – This award is a great way for supervisors to acknowledge the hard work and dedication of an employee. No approval process is required and can be presented at any time.

GOTCHA Awards – All supervisors are highly encouraged to recognize deserving employees “caught in the act” of performing at a high-caliber level. This can be accomplished through letters of commendation or congratulation, work unit specific awards of reasonable cost, priority attendance at career enhancing schools or training, recommendations for advancement, or increased responsibility or job autonomy. Supervisors will seek every opportunity to recognize exceptional job performance or teamwork among DMF employees. The most motivational tool in your toolbox is a simple ‘thank you’ for a job well done.

**Implementation**

Title of Responsible Person	Action
Deputy Director	Establish ERPC on an annual basis. Notify staff of the membership  Review award recommendations for objectivity and fairness.  Obtain director’s approval of awards.  Resolve policy or procedural issues as requested by the ERPC.
Section Chief	Ensure a representative is selected to represent your section of the ERPC prior to the beginning of each fiscal year.  Encourage employees to recommend deserving fellow employees for recognition by the ERPC.
ERPC Chairperson	Call the EPRC to session twice a year to review award submissions submitted for the review cycle. Establish ERPC operating procedures as required



Title of Responsible Person	Action
	<p>subject to the approval of the director and deputy director.</p> <p>Ensure all ERPC award recommendations are submitted to the director and deputy director within a week following the award review by the committee.</p> <p>Examine and implement new initiatives to recognize employee as approved by the ERPC, director and deputy director.</p>
ERPC Members	<p>Select a chairman at the beginning of each fiscal year by majority vote.</p> <p>Meet biannually to review nominations.</p> <p>Review nominations and make recommendations for awards to director and deputy director based on objective analysis of the merit of the nominations submitted. Recommend based upon merit alone.</p> <p>Explain employee recognition program to their respective section employees and actively promote their staff opinions and nominations.</p>
Employee	<p>Submit formal award recommendations to ERPC for other employees with detailed explanation as to why recommendations are being made (use nomination form located on division shared drive).</p> <p>Use informal recognition for fellow employees. A sincere 'thank you' or 'you really helped me out' goes a long way in making employees feel what they do matters.</p>
Director	Provides final approval of awards.

**Effective Date**

Versions	Revisions
May 15, 2007	Original effective date
July 1, 2010	Reviewed; revised to new format with minor revisions.
July 1, 2014	Reviewed and revised to clarify the intent of the award.
January 2, 2017	Revised timeframe of awards from quarterly to biannually.





## Administration (ADM – 21): Unauthorized Weapons in the Workplace

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**Title of Policy or Procedure:** Unauthorized Weapons in the Workplace

**Purpose:** To prohibit unauthorized weapons on state property

**Primary Responsibility:** Employees

**Subordinate Responsibility:** Supervisors, Section Chiefs, Deputy Director, Director

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### Policy

Unauthorized weapons are not allowed on any state owned or state leased property. Unauthorized weapons includes any guns, except those authorized to be used by Marine Patrol Officers, and any other weapon that that can do harm to people or property that has not been authorized. Knives and other cutting devices that have specific job related functions are allowed, but if these are not used for specific job duties, they are not allowed. Other exemptions include any other type of self defense weapon employed by Marine Patrol officers.

Failure to comply with any part of this policy will lead to immediate removal of the person bringing and possessing the unauthorized weapon from the state owned or state leased property. The Division of Marine Fisheries will take immediate disciplinary action including up to immediate dismissal.

### Implementation

Title of Responsible Person	Action
DMF Employees	<p>Follow the Unauthorized Weapons in the Workplace policy.</p> <p>Do not bring any unauthorized weapons on state property. This includes storing unauthorized weapons in personal vehicles parked on state owned and state leased property.</p> <p>No gun of any sort is to be brought on state owned and state leased property except those used by Marine Patrol Officers.</p> <p>If you are unsure whether an item is considered an unauthorized weapon, do not bring it on state owned or state leased property until you receive written authorization from the DMF director or deputy director</p>



## Division of Marine Fisheries Policy Manual

<b>Title of Responsible Person</b>	<b>Action</b>
Supervisors	Responsible for informing all staff of this policy. Responsible for enforcing this policy.

### Effective Date

<b>Versions</b>	<b>Revisions</b>
July 1, 2010	Original effective date



## Administration (ADM – 22): Use of State Vehicles

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**Title of Policy or Procedure:** Use of State Vehicles

**Purpose:** To identify proper use of state vehicles to eliminate potential misuse.

**Primary Responsibility:** Employees

**Subordinate Responsibility:** Supervisors

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### Policy

All state vehicles, including Department of Administration (DOA) and division owned, can only be used for state business. It is a violation of policy and DOA regulations to use a state vehicle for any personal purpose. Limited personal use is acceptable if you are on travel status with a state vehicle and must use the vehicle for transportation to sites such as restaurants to consume meals or immediate hygiene needs. This means stopping while traveling in a state vehicle to browse, shop for or purchase items not for official use is not permitted. Employees are permitted to stop to use a restroom, purchase non-alcoholic drinks or food for immediate consumption or to buy personal items needed in conjunction with official travel. Additionally, stopping for maintenance items or services for the state vehicle is allowed, if needed. For further information, consult the DOA regulation book.

At no time are employees allowed to transport alcoholic beverages in a state vehicle, except in performance of law enforcement. This includes stopping to purchase any alcoholic beverage to take to another site, such as a hotel room, for consumption. It is illegal to operate a state vehicle while under the influence of intoxicating beverages and drugs.

Failure to comply with the policy may subject you to disciplinary action including, but not limited to, dismissal.

### Implementation

Title of Responsible Person	Action
Employees	Use state vehicle for state business only as stated in this policy.
Supervisors	Responsible for informing all staff of this policy.  Responsible for enforcing this policy.

### Effective Date



Division of Marine Fisheries Policy Manual

<b>Versions</b>	<b>Revisions</b>
July 1, 2010	Original effective date



## Administration (ADM – 23): Use of State Facilities and Property for Wellness Activities

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**Title of Policy or Procedure:** Use of State Facilities and Property for Wellness Activities

**Purpose:** To support the health and well-being of division employees.

**Primary Responsibility:** Employees

**Subordinate Responsibility:** Supervisors

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### Policy

To support the health and well-being of division employees, this policy provides further guidance on the use of division facilities for the purpose of wellness activities.

The Office of State Personnel Worksite Wellness Policy provides the foundation for state entities to develop activities and modify work environments and policies to support the health and well-being of state employees (see North Carolina Office State Human Resources’ policies).

Division of Marine Fisheries (DMF) staff has inquired about bringing in fitness equipment such as stair steppers and treadmills. This may be allowed under state policy; however, there are other concerns such as safety, electric power supply and carbon footprint, room, and public perception that must be considered before approval. Approval for housing and use of exercise equipment must be approved by the supervisor, district manager or office manager, section chief, safety coordinator and deputy director. Denial can be made at any level negating further review in this chain of approval. For equipment to be considered for approval, it must minimally meet the advisory notes for approved equipment listed in the North Carolina Office State Human Resources’ policy.

Exercise must be performed while the employee is off duty (i.e., lunch breaks, before or after work, etc.). Because of safety issues, all fitness participants must sign a liability form and the area used for exercise must be reviewed and approved by the division safety coordinator.

### Implementation

Title of Responsible Person	Action
Employees	Review the North Carolina Office State Human Resources’ Worksite Wellness Policy along with this policy.



Title of Responsible Person	Action
	<p>Before engaging in fitness activities on division property, including leased property, sign the liability form and turn into the division Health and Wellness Coordinator.</p> <p>Before bringing and using fitness equipment on division property, ensure equipment meets the advisory not listed in the North Carolina Office State Human Resources' policy and request approval, in writing, from supervisor, district or office manager, section chief, safety coordinator, and deputy director, respectively.</p> <p>If approved, participate and maintain any equipment as approved.</p>
Supervisors	<p>Responsible for informing all staff of this policy. Responsible for enforcing this policy.</p> <p>Approve or deny request for fitness equipment, in writing.</p>
District or Office Manager	Approve or deny request for fitness equipment, in writing.
Section Chief	Approve or deny request for fitness equipment, in writing.
Deputy Director	Approve or deny request for fitness equipment, in writing.
DMF Health and Wellness Coordinator	<p>Help inform employees of policies.</p> <p>File signed liability waiver forms.</p> <p>Ensure equipment has been approved for fitness equipment and file approvals.</p>

**Effective Date**

Versions	Revisions
July 1, 2010	Original effective date
January 4, 2013	Updated hyperlink to policy
July 1, 2014	Changed reference from Office of State Personnel to North Carolina Office State Human Resources.



## Administration (ADM – 24): Signature Authority

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**Title of Policy or Procedure:** Signature Authority

**Purpose:** To identify persons authorized to approve fiscal documents as delegated by the Section Chief and Section Chief authority will be approved by the Director/Deputy Director.

**Primary Responsibility:** Section Chiefs

**Subordinate Responsibility:** Staff designated by Section Chief

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### Policy

The Department of Environmental Quality Controller's office has established a policy stating all fiscal documents received must be signed by division staff that has a current signature authorization form on file. The division also needs to know which individuals in each section have authority to approve various documents that are processed within the division. The division requires all individuals that approve documents have this form on file with the Administrative Services Office. The correct designation for the appropriate staff must be listed on the Division Signature Authorization form before the signed document can be processed.

#### Definitions:

*Signature Authorization Form* – a form produced by the division with a list of fiscal documents or forms that are used in the normal course of operations. This form can be updated as necessary with the addition or subtraction of items.

Blank forms are located on the division intranet at:

[http://portal.ncdenr.org/c/document\\_library/get\\_file?uuid=0ec02b96-3a62-4047-8dce-be04f85d47f0&groupId=38337](http://portal.ncdenr.org/c/document_library/get_file?uuid=0ec02b96-3a62-4047-8dce-be04f85d47f0&groupId=38337)

#### Requirements:

- A. No employee will be allowed to approve a document without a Signature Authorization Form signed by their current Section Chief.
- B. Section Chiefs must have an approved Signature Authorization Form signed by current director or designee.
- C. Employee can only approve items listed by the Section Chief on the Signature Authorization Form.
- D. Individuals can be added to the section list with a separate Signature Authorization. The Section Chief must designate an employee to be in charge in their absence. This individual will have the same signature authority as the Section Chief in their absence.



- E. The form must be signed by the employee receiving the signature authority indicating their knowledge of which documents they may approve.
- F. On an annual basis, the Administration Services Office will request updated signature authority to ensure authorization includes new and/or promoted employees as well as exclude employees separated from the section/organization.

Any document received that does not have an authorized signature will be returned to the Section Chief.

**Implementation**

<b>Title of Responsible Person</b>	<b>Action</b>
Section Chief	<p>Prepare the Signature Authorization Form indicating which employee(s) have authorization to approve various documents and list funds this authority applies.</p> <p>Sign and retain a copy of the authorization.</p> <p>Forward the original signed document to the DMF Administrative Services Office</p>
Employee	<p>Review the Signature Authorization Form and sign acknowledging items that can be approved.</p> <p>Retain a copy of the authorization.</p>
Administrative Services Office	<p>Keep the original copy of the Signature Authorization Form and distribute copies to all Administrative Services Office staff that process documents that require an approval.</p> <p>Request updated signature authority on an annual basis.</p>
Administrative Services Staff	<p>Check all documents and cross-check approval with Signature Authorization file.</p> <p>Notify Budget Officer of any invalid approvals.</p>
Budget Officer	<p>Notify Section Chief of invalid approval and have document approved by authorized personnel.</p>





**Effective Date**

<b>Versions</b>	<b>Revisions</b>
September 1, 2009	Original effective date
July 21, 2010	Reviewed; revised to new format with minor revisions.
January 4, 2013	Updated hyperlink to the form.
July 1, 2104	Updated hyperlink to the form.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Administration (ADM – 25): Bulletin Board Postings

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**Title of Policy or Procedure:** Bulletin Board Postings

**Purpose:** To ensure division's bulletin boards are professionally maintained and provide appropriate information and communication in support of the division's mission, vision, and values.

**Primary Responsibility:** Employees

**Subordinate Responsibility:** Deputy Director

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### Policy

The Division of Marine Fisheries' (DMF) bulletin board policy is established to ensure bulletin boards located in common areas throughout division offices provide appropriate information and communication in support of the division's mission and to provide guidance to staff on what is appropriate information to be displayed on these boards. The primary function of the bulletin board is to provide information to employees and visiting public and can be an effective method to communicate information related to the division, especially on programs, research, findings, etc. In addition, bulletin boards are used to display mandated information related to employment and can be used to for employee information and morale. Bulletin boards are to be routinely maintained so that dated material is removed. Failure to maintain a bulletin board or inability to designate a responsible person can result in removal of the bulletin board.

Common areas include hallways, break rooms, mail room, lobby, etc. Employees can maintain their own individual bulletin board in their assigned work area. Employees are to always consider keeping individual working space in proper professional appearance. Management reserves the right to require removal of any material considered inappropriate from an employee's bulletin board.

Below are some guidelines on the types of materials that can be displayed on the division's bulletin boards.

#### Guidelines:

1. All posters and notices must be approved before posting. For the Morehead City Headquarters' Office, a staff member has been assigned to manage each bulletin board. His/her name and contact number may be found on the lower right hand corner of each bulletin board. Other offices are encouraged to designate one person per bulletin board to approve items to be posted.
2. Materials left for posting or distribution without authorization will be discarded.



## Division of Marine Fisheries Policy Manual

3. Most bulletin board postings should be work-related or required employment information.
4. Non-work related, but employee interest material, can be posted on designated areas with proper approval and identified time for the material is to be posted written on the posted information (write in small font in the lower right-hand corner the date posted and the date to remove). For those, the following must be followed:
  - Postings should be 8 ½ x 11 inches in size or smaller.
  - Postings must show the name or group displaying the event/notice.
  - Posters and notices will be displayed on a first-come, first-serve basis.
  - Posters and notices announcing events may only remain on the bulletin up to the posted dates written on the posted information. After that time, they will be discarded. Items can be removed at any time if no length of posting date is written on the posted item.
  - Only one poster per announcement is allowed at any given time.
  - Some items must follow the DMF Goodwill Committee guidelines.
5. DMF is not responsible for lost or stolen material.
6. DMF management reserves the right to remove any material at any time.

### Employee Interest Material Guidance:

1. Any items that are sold by employees for schools, churches, scouts, bazaars, holiday items for charities, etc. can be advertised on the Goodwill Committee bulletin board according to the DMF Goodwill Committee Guidelines.
2. Other items such as cards, etc. can be posted according of the DMF Goodwill Committee Guidelines.
3. Postings for card signing of any kind may use the Goodwill Committee bulletin board. (birthdays, sympathy, retirement etc.).
4. For Sale postings (Example: “puppies free to a good home” “home-based cosmetic business” “rental announcements”, etc.) can be approved by the responsible bulletin board person for a limited basis. Only employee for-sale postings will be approved (i.e., no non-employee postings) and the employee’s name and contact information must be placed on the posting.
5. Other items may be approved on an individual basis.

### Prohibited Materials:

1. Political postings
2. Obscene, sexually harassing or libelous materials
3. Lottery or sports pool information
4. Petitions of any nature
5. Requests for donations or contributions (*The exception is the Goodwill Committee Fundraisers*)
6. Postings that promote the use of alcohol, illegal drugs, or tobacco products



7. Postings that contain any subject matter which violates city, state or federal statutes
8. Any other offensive or questionable material that DMF management deems inappropriate.

**Implementation**

<b>Title of Responsible Person</b>	<b>Action</b>
Human Resources Manager	Maintain employment bulletin boards with required legal information, as required.
Deputy Director	<p>Designate a person to solicit a responsible person to maintain other common area bulletin boards throughout the Morehead City headquarters and encourage other offices to assign similar responsibilities.</p> <p>Ensure responsible parties understand their responsibilities to adhere to this policy and provide guidance as necessary.</p>
Designated Bulletin Board person	<p>Ensure the policy is followed.</p> <p>Approve materials to be posted on the designated bulletin board.</p> <p>Routinely inspect bulletin board to remove unapproved items, dated, items, or update information, as needed.</p>
Employee	<p>Do not post any material on the designated employment bulletin boards.</p> <p>Follow DMF policy and seek clarifications when needed.</p>

**Effective Date**

<b>Versions</b>	<b>Revisions</b>
July 1, 2014	Original effective date



## Administration (ADM – 26): Inmate Policy

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**Title of Policy or Procedure:** Inmate Policy

**Purpose:** To provide clear guidance on staff supervision and interactions with inmates assigned to the division.

**Primary Responsibility:** Employees

**Subordinate Responsibility:** Director, Deputy Director, and Section Chiefs

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### Policy

It is the policy of the Division of Marine Fisheries (DMF) to strictly adhere to the guidelines set forth by the Department of Public Safety Prison Section for the supervision of inmates. Therefore, DMF employees supervising inmates are required to be certified on annual basis to perform this responsibility. DMF's role is one as a correctional agent and thus enforces the importance of these duties.

### Procedure:

The following guidelines have been established by the Department of Corrections and DMF to assist staff on how to interact with inmates on a daily bases. A violation of these guidelines will jeopardize the division's participation in the program. Therefore, it is imperative that staff always be mindful of responsibilities and the consequences if established instructions are not followed. The inmate program is valuable to DMF sections in that it provides additional manpower that benefiting division programs.

Therefore, the following established guidelines will be adhered to:

1. Avoid Personal Involvement
  - Do not share personal information about yourself.
  - Do not seek out personal information from an inmate.
  - Do not make or accept gifts from an inmate.
  - Do not loan anything to an inmate.
  - Always refer to an inmate by their proper name.
2. Do Not Be Fooled
  - Contrary to what an inmate may tell you, all of their needs can or will be met at the prison facility.
  - Do not be fooled by what an inmate might tell you in order to get you to perform a personal favor, such as: they have a sick mother or child and would like use your cell phone to call and check on them.
  - Do not accept money to buy goods or tobacco products for inmates.



## Division of Marine Fisheries Policy Manual

- Do not give inmates any type of medicine (even for colds or headaches).
3. Prevent Contact with Others
    - Do not allow inmates to mail letters or make phone calls (inmates are allowed to mail letters and make phone calls at their facility).
    - Always remove keys from parked vehicles.
  4. Food and Drinks
    - Each inmate is provided with a pack-out lunch.
    - Do not bake or cook any type food at home and bring it in for inmates to consume.
    - Inmates are not allowed to participate in any DMF function.
    - Staff is not allowed to purchase food of any kind, at any time, for an inmate.
  5. Additional Guidelines to Prevent Potential Issues
    - Report any issues of concern regardless of how minute immediately to the Maintenance Services Section Chief.
    - Inmates are not to enter into any office space unless they are accompanied by Maintenance Services staff. Picking up trash or recycled paper will be addressed below.
    - Inmates are not allowed to remain in the main building unless they are performing a task assigned by their supervisor.
    - Inmates are only allowed in common space areas in the main building to perform specific duties, such as cleaning restrooms, hallways, the lobby area, stairwells and the mechanical room.
    - Inmates will not deliver packages from the warehouse or carry mail to any office.
    - Remember an inmate's status is because of a wrongful act, but always treat them with respect.
    - Areas that are always off limits to inmates are:
      - a. Communications Center
      - b. Marine Patrol offices
      - c. Licenses Offices
  6. Headquarters Trash and Recycled Paper Schedule
    - Office trash will be picked up on Monday, Wednesday and Friday between the hours of 2 to 3 pm by Maintenance Services staff. If trash needs to be emptied sooner, staff must take their trash to the storage room located near the elevator and place it in the gray container. If pest control becomes an issue due to food left in trash cans, the person responsible will be held accountable.
    - Recycled paper will be picked up on Thursday by Maintenance Services staff. If recycling needs to be emptied more often, please use the blue recycled container located at the west stairwell on each floor.
    - If trash bags cannot be reused, a new bag will be provided by Maintenance Service staff. Call or email Maintenance Service staff.



- Services at Central District Office will remain as previously established.

### Implementation

Title of Responsible Person	Action
Employees	Strictly follow this policy.
Supervisors	Responsible for informing all staff of this policy. Responsible for enforcing this policy.

### Effective Date

Versions	Revisions
October 24, 2013	Original effective date of standalone policy and posting on Inside Fisheries
July 1, 2014	Transfer policy to the DMF Policy Manual



## Administrative (ADM – 27): Morehead City Incoming and Outgoing Mail

**Title of Policy or Procedure:** Morehead City Incoming and Outgoing Mail

**Purpose:** To establish policy and procedures for handling incoming and outgoing mail for the Headquarters and Central District offices of the division.

**Primary Responsibility:** Administrative Services Office (ASO) Mail Representative

**Subordinate Responsibility:** Section Mail Representatives and Section Chiefs

### Policy

It is recognized the division functions with the processing of incoming and outgoing mail for division business. It is also recognized that some mail items, such as proclamations, are required by statute to be mailed within 24 hours of the effective. Considering this, it is essential to the operations of the division to complete the duties of processing mail efficiently and effectively.

The division mail room is located on the first floor of the Headquarters building in Room 112. Shelving containing mail slots (slots) for each center code representing division projects, a postage meter machine, and mail supplies are located in this room. Specific directions for operating the meter are located on the wall behind the meter, on the room door, and as Appendix 1 to this policy. There are also two large plastic mail containers located on the table outside the Habitat and Enhancement (H&E) office, one labeled 'Outgoing Mail' and one 'Central District Office (CDO) Mail.' Mail ready for the US Postal Service (USPS) should be placed in the 'Outgoing Mail' container. Incoming mail sorted for CDO staff should be placed in the 'CDO Mail' container.

There is shelving representing each section of the division outside the Habitat and Enhancement section office for sorted incoming mail.

### Implementation

Title of Responsible Person	Action
Section Chief	<p>Identify and assign a primary staff member (Section Mail Representative) and a backup who is responsible for their sections' mail.</p> <p>Ensure Section Mail Representative processes all mail as appropriate based on these procedures.</p>





Title of Responsible Person	Action
Section Mail Representative (or backup)	<p>Ensure mail for section is processed as appropriate based on the following procedures:</p> <p>Take all section outgoing mail to the mail room by 10:30 a.m. and 3:30 p.m. daily.</p> <p>For bulk mail (more than 50 pieces), notification is to be made immediately prior or just after dropping off in the mail room. Do not notify before just before 3:30 because one person may not be able to do process in a half hour (be considerate to others).</p> <p><b>USPS First Class Mail, less than 50 pieces:</b> 1) seal envelopes to maintain confidentiality and security; 2) take to the mail room by the appropriate time; 3) place in the appropriate slot representing the correct center code; 4) if time allows, apply applicable postage to envelope; and if postage is applied, 5) place metered mail in the 'Outgoing Mail' container.</p> <p><b>USPS, more than 50 pieces:</b> 1) seal envelopes to maintain confidentiality and security; 2) take to the mail room by the appropriate time; and <b>3) immediately notify the ASO Mail Representative and backup via e-mail and telephone of the Bulk Mailing and ensure the representative can meter the mail (do not assume and notification means they will do it) or meter the mail (do not assume someone else will do it without confirmation).</b></p> <p><b>Certified Mail:</b> Supplies for Certified Mail are located in the drawer under the postage meter. 1) Complete both the certification slip and return receipt (initialing both); 2) attach slips to the envelope; 3) take to the mail room by 10:30 a.m.; and 4) place in the appropriate slot representing the correct center code.</p> <p><b>Packages or Large Envelopes:</b> 1) seal package and/or large envelopes; 2) take to the mail room by the appropriate time; and 3) place in the appropriate slot representing the correct center code (if they will not fit, leave on the floor in front of the mail slots shelving tagged with the appropriate center).</p>



Title of Responsible Person	Action
	<p><b>Priority Mail (Express):</b> Supplies for Priority Mail are located in the mail room on the shelves beside the copier. 1) Prepare express package by applying label; and 2) take the package to the Headquarters Office receptionist.</p> <p><b>Courier Mail:</b> a list of courier addresses with courier box number located at <a href="http://www.doa.nc.gov/msc/couriermail.aspx">www.doa.nc.gov/msc/couriermail.aspx</a> 1) prepare the envelope with proper courier mail address including the box number; 2) take to the mail room by the appropriate time; and 3) place in the appropriate slot representing the correct center code.</p> <p>Considerations:</p> <ul style="list-style-type: none"><li>• Large volume mail, such proclamations, letters, etc., may not be completely ready to go until the last minute. If that is the case, then notification should be sent ahead of time so coordination can occur to do the postage as they are stuffing them.</li><li>• If there is a large mailing and that does not have to go on the same day, such as license notifications, consider staggering the mailing over several days so volume does not too large to handle.</li><li>• For large volume mailings, set the mailing date ahead and run a little at a time over the week prior to the mailing. The mailing date can be set ahead up to one week.</li></ul>
ASO Mail Representative (or backup)	<p>ASO designates primary and back-up mail representative.</p> <p>Sort incoming mail at 11:00 a.m. into the appropriate section slot in shelving outside H&amp;E office.</p> <p>For all mail left by sections in their appropriate mail slot, decide the cheapest carrier service and ensure the applicable postage is applied to the package or envelope. Place metered mail in the appropriate location for the carrier service. Notify the Maintenance Staff of any Certified Mail which needs to be taken to the USPS.</p> <p>Process United Postal Service (UPS) packages with</p>



Title of Responsible Person	Action
	<p>appropriate postage and have ready for pickup by the carrier by 4:00 p.m. daily. Place signed UPS label in book for day of shipment.</p> <p>Ensure supplies for Certified Mail and Priority Mail are maintained within the mail room.</p> <p>Conduct training for Section Mail Representatives as needed.</p>
Headquarters Office Receptionist	Contact express mail carrier for package pickup.
Maintenance Services Section Staff	<p>Take outgoing US Postal Service (USPS) mail to the post office and pick up incoming mail at 11:00 a.m. and 4:00 p.m. daily.</p> <p>Ensure Certified Mail is taken to the counter of the post office when appropriate. Return the certification slip and return receipt to the mail slot of recipient sending the certified mail.</p>

**Effective Date**

Versions	Revisions
July 1, 2014	Original effective date



## Appendix 1

### Postage Machine Procedures

You will only need to log in if the computer has been shut down. Typically, the computer is booted up for everyone's use.

Login: \_\_\_\_\_

Pass code: \_\_\_\_\_

Make sure the date is correct on the computer screen

#### A. Procedures for mailing envelopes that are sealed.

1. Take the letter from the mailbox slot and remember the center code. *If it is courier mail, follow different instructions.*
2. On the top of the screen, click **F1 First Class Priority**.
3. On the right side of the screen, click on **Account Number**.
4. A new box will appear on the left side of the screen with **Account Number**. Type in the center number in this screen and press Enter.
5. From the top of the computer screen, select **F6 Letter Flats**.
6. Another screen will come up. Select **F5 Start Dynamic Weighing**(for identical pieces).
7. Check the envelope sealer (middle of the screen, directly below 'OTHER USPS Classes F7') – you will want to turn it on or off based upon if your envelopes are already sealed. To seal envelopes:
  - a. Select **F11 Other System Function**
    - Click Meter On/Off
    - Another screen will appear, Diamond Meter Control
    - Click on sealer section use the drop down screen
    - Choose from the Sealer Off/Sealer On option
    - Click to accept.
  - b. Listen for a click on the machine telling you that the sealer is on. Go back to the **F1 First Class Letter** screen. You should see the following items on the computer screen
    - Sealer On



## Division of Marine Fisheries Policy Manual

- Ascending Number
  - Descending Number
  - Date of Mailing
8. Put the envelopes in the large envelope side guide (the machine to your right) and select F6, ensure postage is set to correct amount, F5.
  9. When complete, select **F12 Record the Amount of Postage Used** which will record your run. Double check envelopes to ensure postage is on all envelopes. You can put the mail in the “Outgoing Mail” box on the mail table outside of Resource Enhancement. **If you selected ‘sealer on’, please turn off the sealer.**

### B. Procedures for UPS Mail

1. Select **CTRL** button, Select **F2 Prior** Put the package on the scales and select **F11 Other System Functions**.
2. Click Data Manager, click address book
3. Use *search* for zip code found and choose the customer name. Double click, check address then Exit.
4. Put in account # and enter
  - a. Check amount of postage. Need to compare this amount to first class amount.
  - b. Ctrl – F1. Enter zipcode<enter>. Choose cheapest way
  - c. If first class is cheaper, get ‘priority stamp’ from drawer on left side of machine and put this on the package
  - d. Select F6 letter and flats
  - e. Select F7 make strip tapes, enter quantity of total pieces mailing <enter>
  - f. If UPS is cheaper, go back to Step 1 to start over, no memory in machine.
5. Put the label that prints out, on the package.
6. Put the package on the mail table.
7. Register the package in the UPS book with the summary label that printed out.
8. Keep a list of all packages shipped for the day.



## Division of Marine Fisheries Policy Manual

9. Close out the page at the end of the day.



## **Fiscal Management and Maintenance Policies**



## Fiscal Management and Maintenance (FIS – 1): Fixed Asset System

**Title of Policy or Procedure:** Fixed Asset System

**Purpose:** Ensure established departmental guidelines are followed to maintain accountability of division assets.

**Primary Responsibility:** Fixed Asset Coordinator

**Subordinate Responsibility:** Accounts Payable, Purchasing Agent, Administrative Services Officer, Facility Maintenance Supervisor, Section Chiefs, Employee

### Policy

It is the policy of the Division of Marine Fisheries (DMF) to ensure items valued at \$2,500.00 or greater are captured on the Fixed Asset System (FAS), a computerized tracking system. A fixed asset is a long-lived, tangible asset obtained or controlled as a result of past transactions, events or circumstances. Fixed assets are broken into two categories: capitalized assets and inventoried assets. A capitalized fixed asset is tangible property, such as land, buildings and equipment, with a cost of a least \$5,000.00 and a useful life of more than one year. Inventoried fixed assets are those items valued from \$500.00 to \$4,999.99 and recorded for inventory purposes only. Weapons, land and vehicles with license plates must be inventoried regardless of value.

For more detailed policy information, refer to the Department of Environmental Quality Policy located at on the Office of Controller:

<http://portal.ncdenr.org/group/oc/>

### Implementation

Title of Responsible Person	Action
Fixed Asset Coordinator	Assign, affix or arrange to affix departmental decal numbers to assets requiring inventory.  Coordinate and assist with annual physical inventory. Control physical location of all assets, including transfers, changes and surplus material.  Submit fixed asset input form and invoices to the Controller's office. Train DMF staff in proper fixed asset and inventory procedures.





Title of Responsible Person	Action
Accounts Payable or Purchasing Agent (as appropriate)	Submit invoices to the Fixed Asset Coordinator for assts that are valued at \$500.00 or greater. These invoices must record the correct accounting code data, centers and NCAS codes.
Section Chiefs	Account for all fixed assets assigned to their inventory by designating staff that will be responsible for inventory for the section, office, or work unit.
Designated Staff Responsible for inventory	<p>Attend fixed asset and inventory training.</p> <p>Inform the Fixed Asset Officer of the physical locations, description, model and serial numbers of new assets when received.</p> <p>Ensure fixed asset numbers are maintained on equipment for accountability and annual inventory.</p>

**Effective Date**

Versions	Revisions
May 15, 1998	Original effective date
July 1, 2010	Reviewed; revised to new format with minor revisions.
January 4, 2013	Updated hyperlink to policy.
July 1, 2014	Revised the minimum cost amount according to DENR directive.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Fiscal Management and Maintenance (FIS – 2): Depositing Funds

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**Title of Policy or Procedure:** Depositing Funds

**Purpose:** Ensure compliance with the Daily Deposit Law (N.C.G.S. 147-77) and the Department’s Cash Management Plan for funds received by the division.

**Primary Responsibility:** Administrative Services Officer

**Subordinate Responsibility:** Administrative Officer, Budget Officer, Accounts Payable, Purchasing Agent, Section Chiefs, Employees

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### Policy

It is the policy of the Division of Marine Fisheries (DMF) to comply with N.C.G.S. 147-77 that states,

“All funds belonging to the State of North Carolina, in the hands of any head of any department of the State which collects revenue for the State in any form whatsoever, and every institution, agency, officer, employee, or representative of the State or any agency, department, division or commission thereof, except officers and the clerks of the Supreme Court and Court of Appeals, collecting or receiving any funds or money belonging to the State of North Carolina, shall daily deposit the same in some bank, or trust company, selected or designated by the State Treasurer, in the name of the State Treasurer, at noon, or as near thereto as may be, and shall report the same daily to said Treasurer: Provided that the State Treasurer may authorize exemptions from the provisions of this section so long as funds are deposited and reported pursuant to the provisions of this section at least once a week and, in addition, so long as funds are deposited and reported pursuant to the provisions of this section whenever as much as two hundred fifty dollars (\$250.00) has been collected and received: Provided, that the Treasurer may refund the amount of any bad checks which have been returned to the department by the Treasurer when the same have not been collected after 30 days' trial. (1925, c. 128, s. 1; 1945, c. 159; 1969, c. 44, s. 77; 1985, c. 708.)”

In addition, the division will comply with the Department of Environmental Quality (DEQ) Cash Management Plan that can be found on the DEQ Office of the Controller at:

<http://portal.ncdenr.org/group/oc/>

### Implementation



Title of Responsible Person	Action
<p>Section Secretaries, Accounts Payable Clerks, License Staff, Shellfish Sanitation Secretaries, Governor Cup liaisons and any person receiving funds.</p>	<p>Receive incoming funds by mail or personal contact. Document date funds received (e.g., date stamp enclosed documentation, etc.).</p> <p>Forward funds and supporting information (center and account for funds to be deposited, documentation of the transaction, applicable program reports, etc.) to the License Accounting Clerk (Division Cashier) or designated staff (regional license staff) by 2 p.m. each working day.</p> <p>Note: Any funds received after 2 p.m. will be recorded and secured for deposit the next working day.</p>
<p>License Accounting Clerk and Regional Office License Clerks</p>	<p>Receive funds with the required time frame.</p> <p>Stamp checks with a restrictive endorsement stamp that identifies the division and signifies the check is for deposit to the credit of the state treasurer in the name of the department.</p> <p>Prepare bank deposit ticket for an amount equal to the sum of all monies received for the day.</p> <p>Deposit funds with a financial institution established by the State Treasurer's Office.</p> <p>Prepare and transmit original Cash Receipts Journal along with a copy of the validated bank deposit ticket to the Controller's Office.</p>
<p>License Accounting Clerk</p>	<p>Maintain one copy of Cash Receipts Journal Register by date of deposit, and forward one copy of miscellaneous deposits, cash receipts journal and DMF Budget Officer.</p>
<p>Budget Officer</p>	<p>Reconcile funds in the budget report.</p>
<p>License Accounting Clerk</p>	<p>Prepare Daily Deposit log on monthly basis. Separate listings within the log detail for the Shellfish Sanitation deposits.</p> <p>Transmit the Daily Deposit log to the Controller's Office for reconciliation.</p> <p>Transmit department memo to the Controller's office for accountability and reconciliation of budget funding.</p> <p>Process impress cash requests for license staff and</p>



<b>Title of Responsible Person</b>	<b>Action</b>
	checks returned for lack of funds in accordance with State and DEQ policies.

**Effective Date**

<b>Versions</b>	<b>Revisions</b>
October 1, 1997	Original effective date
January 15, 1999	Reviewed and revised.
November 20, 2001	Reviewed and revised.
July 1, 2010	Reviewed; revised to new format with minor revisions.
January 4, 2013	Updated hyperlink.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Fiscal Management and Maintenance (FIS – 3): Car Log Maintenance

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**Title of Policy or Procedure:** Car Log Maintenance

**Purpose:** Identify and comply with internal operations of Motor Fleet Management vehicles.

**Primary Responsibility:** Employees

**Subordinate Responsibility:** Travel Coordinator (Accounting Clerk), Administrative Officer, Budget Officer, Division Director, Division Deputy Director, Section Chiefs

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### Policy

It is the policy of the Division of Marine Fisheries (DMF) to reserve, schedule, and organize the use and maintenance of Motor Fleet Management vehicles for all employees on a first-come, first-served basis. Vehicle use will be monitored for safety and maintenance.

### Implementation

Title of Responsible Person	Action
Employee	<p>Request use of a vehicle at least 48 hours in advance of travel, when possible, through the travel coordinator by e-mail, telephone, or in person.</p> <p>Advise the travel coordinator of travel destination and the center number to charge the vehicle use.</p>
Travel Coordinator (Accounting Clerk)	<p>Assign a vehicle and enter in the car log the employee's name, destination, center number, and when the employee will pick up and return the vehicle.</p> <p>If a vehicle is not available, notify the employee and supervisor that no vehicle is available so the supervisor can determine whether to pursue a signed "Request for Authority to use Privately-Owned Automobile" (DEQ-OC12) for reimbursement for miles traveled and explain the reimbursement policy for private vehicle use.</p> <p>If this is the first time an employee reserves a vehicle, the coordinator will explain relevant policy and procedures and obtain a copy of the employee's valid driver's license.</p>



Title of Responsible Person	Action
	Provide employee with a travel log and keys for assigned vehicle.
Employee	<p>If informed by the Travel Coordinator on no availability of a vehicle, submit a “Request for Authority to use Privately-Owned Automobile” (DEQ-OC12) for reimbursement for miles traveled and explain the reimbursement policy for private vehicle use to the supervisor.</p> <p>Complete the travel log with trip dates, from/to, purpose of trip (center, written explanation, fuel purchases and travel codes), signature of driver, odometer reading in/out, and mile traveled. Note any problems with the vehicles on the travel log.</p> <p>Upon return from trip, fill vehicle with gas, remove all trash and personal belongings, be sure car is clean inside and outside. Park vehicle in designated area.</p> <p>Return keys and travel log to the travel coordinator and not any problems with the vehicles on the travel log.</p>
Supervisor	Review and approve (sign) or deny any “Request for Authority to use Privately-Owned Automobile” (DEQ-OC12) for reimbursement for miles traveled and explain the reimbursement policy for private vehicle use.
Travel Coordinator	<p>Upon return of keys and log, review for completeness, schedule preventive maintenance services, and any problems that may have been noted.</p> <p>If vehicle needs servicing or problems have been noted, take car out of service. Contact motor fleet management for a service confirmation number.</p> <p>Vehicles are to be washed in accordance with current vehicle washing policy.</p>

**Effective Date**

Versions	Revisions
May 5, 1999	Original effective date
November 20, 2001	Numbering changed from BUS012; changed to reflect current organization; changed vehicle cleaning requirement from twice to once, monthly.
July 1, 2010	Reviewed; Revised to new format with minor revisions.



## Division of Marine Fisheries Policy Manual

<b>Versions</b>	<b>Revisions</b>
July 2, 2014	Reviewed and clarified the approval process for the OC12 form according to state policy.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## **Fiscal Management and Maintenance (FIS – 4): Warehouse Supply and Fuel Purchases**

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**Title of Policy or Procedure:** Warehouse Supply and Fuel Purchases

**Purpose:** To provide guidance with internal controls for purchasing supplies and fuel from the Warehouse.

**Primary Responsibility:** Employees, Section Chiefs, Supervisors, Project Leads

**Subordinate Responsibility:** ASO Staff (Accounts Payable, Budget, Purchasing)

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### **Policy**

The Administrative Service Office (ASO) section has a Warehouse and gas pump available for DMF employees to acquire goods as needed for daily operations. Per an audit recommendation, the ASO section must establish proper controls over the purchase of goods acquired by DMF staff. Prior to this policy implementation date, employees received verbal approval from Section Chiefs, supervisors or project leads to sign out supplies or fuel. The Warehouse did not receive any written approval from Section Chiefs for these purchases. Audit recommendations now require documented approval from Section Chiefs for purchases. Section Chiefs can delegate an authorized representative (i.e., supervisors, grant principal investigators or project leads) to approve specific centers / programs.

### **Process**

1. ASO Purchasing staff will order and stock supplies and fuel. Supplies will be inventoried and billed from QuickBooks. Fuel will be inventoried and billed from the FuelMaster system.
2. Employees should receive verbal approval from Section Chiefs prior to purchasing supplies from the Warehouse or fuel Gas Pump. The approval should include the proper cost center to charge.
3. The Warehouse Processing Assistant will generate monthly invoices based upon supplies and fuel acquired during the period. Once the invoices are complete, the Processing Assistant will notify the Accounts Payable (A/P) Clerk.
4. The A/P Clerk will prepare a journal adjustment to charge the applicable centers and general ledger accounts for the supplies and fuel acquired during that period.
5. Prior to submitting the journal adjustment, the A/P Clerk will email copies of invoices, statements and/or spreadsheets to Section Chiefs for review / approval.
6. Section Chiefs should review the attachments and reply via email that that the purchases are approved. If a purchase was made to the wrong center or without approval, Section Chiefs will notify the A/P clerk or Processing Assistant accordingly.





7. Once all approvals are received, the A/P Clerk will submit the monthly journal adjustment to the Budget Officer for approval.
8. The Budget Officer will approve the journal adjustments.
9. The A/P Clerk will submit the journal adjustment to DEQ Controller’s Office to post the expenses to the proper center.
10. The A/P Clerk will retain copies of Section Chief approvals for audit files.

**Implementation**

<b>Title of Responsible Person</b>	<b>Action</b>
Employee	Obtain approval to purchase supplies and fuel from supervisor, section chief or principal investigator. Approval should include the proper cost center to charge.
Section Chief (*or delegated manager)	<p>*Delegate approval authority to manager, supervisor or grant Principal Investigator as deemed appropriate. If approval is delegated notify A/P Clerk.</p> <p>Approve the purchase of supplies and fuel for the cost centers, grants or projects.</p> <p>Review monthly invoices, statements and spreadsheets for accuracy. Respond to A/P Clerk authorizing expenses/purchases.</p> <p>Notify Warehouse Processing Assistant if any purchases were made incorrectly or outside the scope of a grant and/or project.</p>
Accounts Payable (A/P) Clerk	<p>Prepare monthly journal adjustments moving expenditures to the approved cost centers.</p> <p>Email supporting documentation (invoices, statements, spreadsheets) to Section Chiefs (*or delegated manager) for approval.</p> <p>File invoices, statements, journal adjustments and Section Chief approvals for audit trail.</p>
Budget Officer	Review and approve monthly journal adjustments.
Warehouse Processing Assistant	<p>Order (as authorized) supplies and fuel for the Warehouse.</p> <p>Receive inventory into the proper system.</p>



Title of Responsible Person	Action
	<p>Generate monthly invoices based upon goods purchased by employees.</p> <p>Notify A/P Clerk when invoices have been processed for the month.</p> <p>Correct purchases made by employees as directed by Section Chiefs (*or delegated manager).</p>
Purchasing Agent	<p>Authorize purchase of supplies and fuel for Warehouse.</p> <p>Maintain and update policies and procedures.</p>

**Effective Date**

Versions	Revisions
August 1, 2013	Original effective date for ASO staff
July 1, 2014	Added to DMF Policy Manual
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## **Fiscal Management and Maintenance (FIS – 5): Division-Owned Vehicle/Vessel Fuel and Maintenance Cost Allocation Process**

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**Title of Policy or Procedure:** Division-Owned Vehicle/Vessel Fuel and Maintenance Cost Allocation Process

**Purpose:** To outline employee responsibilities in purchasing fuel, replacement parts, and maintenance/repair services; completing vehicle mileage log forms; and allocating fuel charges to project cost centers for division-owned vehicles and vessels.

**Primary Responsibility:** Employees, Section Administrative Staff, Travel Clerk

**Subordinate Responsibility:** Supervisors, Budget Officer, Purchasing Assistant, Accounts Payable Clerk

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### **Policy**

Vehicles and vessels are purchased and assigned to sections for use in conducting the work of the division. Actual costs incurred for fuel and maintenance of these vehicles and vessels may be charged to the various project cost centers for which the vehicle or vessel is used, if funds are available. Fuel may be purchased from the Division of Marine Fisheries (DMF) headquarters office warehouse pump, any independent gas station, or N.C. Department of Transportation centers.

Division employees who will need to routinely use division-owned vehicles or vessels may be assigned a gas charge card to use when purchasing fuel at gas stations. Gas “keys” may also be assigned per vehicle to use when routinely purchasing fuel at the DMF warehouse pump. Credit cards and gas keys must be approved for use by employee supervisors and will be assigned by the DMF purchasing assistant. Each will be assigned a “home” cost center that will incur the initial fuel charges (i.e. 13203302, 13203305, 13203350, 13253499, 13203370, 13253401, and 14954951). The Budget officer receives a monthly invoice showing total division fuel charges by charge card, less state and federal taxes. These costs are summarized and charged to the assigned “home” cost center.

Employees operating a vehicle for division work are responsible for entering trip information and fuel purchased on the *Travel Log for Division Owned Vehicles* (hereafter called “mileage logs”), found on the division’s intranet at <http://portal.ncdenr.org/web/mf/inside-fisheries> under the Travel Forms and Policies section. Only the operator of the vehicle should complete the mileage log and purchase fuel for a given trip. Gas charge cards may not be used by anyone other than the employee assigned the card.



The employee who has been assigned the vehicle must submit monthly mileage logs to their section’s administrative staff by the 10<sup>th</sup> day of the next month with original receipts of charge card fuel purchases. The accounts payable clerk will send monthly invoices of fuel purchased at the DMF warehouse pump to section administrative staff by the 10<sup>th</sup> day of each month as well. Section administrative staff will review all mileage logs for completeness and accuracy of trip and fuel information recorded. Section administrative staff will submit all mileage logs and receipts to the travel clerk and approved warehouse fuel invoices to the accounts payable clerk by the 15<sup>th</sup> day of the month.

The travel clerk will allocate the total monthly cost of fuel purchased for vehicles (at gas stations and at the DMF warehouse pump) by the proportion of miles coded to project cost centers to the total mileage recorded on the mileage logs. Cost reallocation worksheets will be reviewed by the budget officer and grants office prior to submittal by the 30<sup>th</sup> of the month. Monthly vessel fuel costs will be allocated by project cost centers marked on original fuel receipts.

Repairs/maintenance costs and replacements parts (oil, tires, etc.) for division-owned vehicles and vessels should be coded directly to the project cost center for which the vehicle is used in a given year (or prorated, as appropriate, across project centers when the vehicle is used for multiple projects), if funds are available.

**Implementation**

<b>Title of Responsible Person</b>	<b>Action</b>
Supervisors	Complete Gas Credit Card Request Form located on Inside Fisheries for staff requesting a credit card. Identify the “home” center to be charged and submit to the purchasing assistant.
Employees	<p>Complete and return the Gas Credit Card Acknowledgment &amp; Authorization Form received from the purchasing assistant.</p> <p>Report lost or stolen cards to purchasing assistant immediately. Request replacement of worn cards to purchasing assistant when needed. Turn in cards to purchasing assistant prior to termination of employment at DMF. Request “home” cost center to be changed by contacting purchasing assistant if taking a new position within a different DMF section.</p> <p>“Sign out” section vehicles when needed for travel to sampling sites.</p>



Title of Responsible Person	Action
	<p>Legibly complete the Division-Owned Vehicle Mileage Log form at the end of the trip with <u>all</u> of the following pieces of information:</p> <ul style="list-style-type: none"> <li>• trip date</li> <li>• purpose of trip / project / location</li> <li>• odometer reading in/out</li> <li>• total miles traveled</li> <li>• project cost center</li> <li>• date fuel purchased</li> <li>• location of fuel purchase (DMF, GAS CARD, or DOT)</li> <li>• gallons of fuel purchased (to three decimal points)</li> <li>• total amount paid for fuel</li> <li>• printed name</li> <li>• signature</li> </ul> <p>Obtain <u>all</u> receipts for fuel purchased at gas stations with gas charge cards. Write the project cost center, the word “BOAT”, printed name and signature on all receipts for fuel purchased for division-owned vessels. Submit all receipts to the employee with responsibility for the vehicle. This step excludes Marine Patrol.</p> <p>Enter the section’s “home” cost center (not the project cost center) when purchasing vehicle fuel at the DMF warehouse pump (black gas keys). Enter the project cost center when purchasing vessel fuel (orange gas keys).</p>
Purchasing Assistant	<p>Maintain a list of all authorized and assigned gas charge cards on the ADMSVCS shared drive.</p> <p>Create monthly Warehouse Gas Report for A/P as outlined in DMF Policy FIS-4.</p>
Budget Officer	<p>Receive monthly gas card invoice and make payment according to “home” cost centers assigned to cards.</p>



Title of Responsible Person	Action
Employee with responsibility for division-owned vehicles	<p>Collect and retain all receipts for fuel purchased at gas stations using gas charge cards.</p> <p>Ensure monthly vehicle mileage log is completed in full.</p> <p>Submit monthly vehicle mileage log and all original fuel receipts to section administrative staff by the 10<sup>th</sup> day of the next month.</p> <p>Charge oil changes, replacements parts or maintenance/repair services to project cost center for which the vehicle or vessel is used.</p>
Section Administrative Staff	<p>Ensure employees are using the current Vehicle Mileage Log Form and that vehicle information is up-to-date.</p> <p>Review submitted monthly mileage logs for completeness and accuracy of information recorded. Cross-check all fuel receipts and the DMF warehouse pump invoice with vehicle mileage logs and correct errors in the purchase dates, number of gallons purchased, total cost, project cost center, etc.</p> <p>Total the number of miles charged to each project cost center recorded and enter at the bottom of each mileage log.</p> <p>Submit all reviewed vehicle mileage logs and boat gas receipts to the travel clerk by the 15<sup>th</sup> day of each month.</p> <p>Submit reviewed and approved DMF warehouse pump fuel allocations to the accounts payable clerk by the 15<sup>th</sup> day of each month.</p>
Travel Clerk	<p><u>Vehicle Fuel Cost Allocation:</u></p> <p>Summarize actual fuel costs less state and federal taxes by vehicle to determine total monthly cost. Allocate fuel charges to project cost centers based on miles logged on mileage logs.</p> <p>Enter total miles logged per vehicle on the “Division-Owned Vehicle Mileage” spreadsheet.</p> <p><u>Vessel Fuel Cost Allocations:</u></p>



<b>Title of Responsible Person</b>	<b>Action</b>
	Summarize actual fuel costs less state and federal taxes by project cost center as written on original fuel receipts to determine total monthly cost.  Prepare vehicle and vessel journal adjustments by 30 <sup>th</sup> of month to allocate gas card costs to project cost centers.
A/P Clerk	Send monthly warehouse invoices to sections chiefs/admins by 10 <sup>th</sup> of each month.  Prepare journal adjustments for vehicle and vessel cost allocations according to DMF Policy FIS – 4.

**Effective Date**

<b>Versions</b>	<b>Revisions</b>
January 26, 2016	Original effective date



## **Information Technology Policies**





## Information Technology (IT – 1): General Computer Policies

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**Title of Policy or Procedure:** General Computer Policies

**Purpose:** Establish general office policies for use of computer equipment, software and supplies within the division.

**Primary Responsibility:** Department of Environmental Quality (DEQ) Information Technology Section (ITS) and Division of Marine Fisheries (DMF) Information Technology (IT)

**Subordinate Responsibility:** Director, Deputy Director, Supervisors, and Division Staff

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### Policy

This policy encourages maximum application of electronic computer technology and communications within the confines of law, regulation, and good judgment by informing employees of the correct use of state computer resources.

For the purpose of this policy, the term 'computer' includes, but is not limited to, mainframe computers, mini-computers, micro-computers, personal computers, lap top computers, tablets, terminals, monitors, disk drives, central processing units, keyboards, modems, printers, plotters, mice, scanners, cables, software, utility programs, any storage media, ribbons, labels, paper, surge protectors, systems, networks, etc.

For the purpose of this policy, the term 'official state business' includes all work directly related to the fulfillment of an individual employee's assigned duties and responsibilities.

State-owned computers are to be used for conducting official state business only. Violation can lead to disciplinary action, including dismissal.

Employees are to review and refer to the state's computer policies at the State Chief Information Officer's (SCIO).

The specific policies listed below do not supersede any SCIO or department computer policy, but are intended to reinforce state computer policies mandated by the SCIO and department.

If in doubt about whether an action (email, Internet usage, etc.) is in violation of policy, best course of action is to ask for clarification (DEQ ITS, DMF IT, supervisor, etc.) or do not do it.

1. Do not send out or forward email jokes, chain emails, non-work related (unless approved) emails, etc.



2. Do not download any freeware, shareware, software, video, etc. unless approved by the appropriate parties (e.g., DEQ ITS or DMF IT).
3. Do not purchase or use any computer hardware unless approved by the appropriate parties (e.g., DEQ ITS or DMF IT)
4. Do not stream audio or video (e.g., Internet radio stations, YouTube, Netflix, etc.) unless it is for a work-related function (e.g., listening to fisheries issues, fisheries interviews, fishing activity, etc.). You are allowed to listen/load audio CD's that you personally bring to your computer to be played on the standardized computer audio software already loaded onto your machine.
5. Do not participate in any chat sites or instant messenger services.
6. All Internet Social Networking must adhere to the state's and department's social network policies.
7. Do not access questionable Internet sites.
8. Do not access any pornography or any site that is defined as 'pornography or erotic-like'. Visits to such sites can lead to immediate dismissal.
9. Adhere to all computer related Executive Orders
10. All incoming and outgoing emails are to include language notifying the recipient(s) that the message is subject to the public records law and may be disclosed to third parties. As such, employees are to add the following text in the email signature (this includes handheld devices such as Blackberries) at the bottom of each email:

**E-mail correspondence to and from this address may be subject to the North Carolina Public Records Law and may be disclosed to third parties unless the content is exempt by statute or other regulation.**

11. All IT related service requests are to be made through the DEQ ITS DOTS system on the DEQ portal.
12. Each employee is to understand unauthorized use of copyrighted computer software is a violation of federal copyright law and creates a breach of the state's license agreement with the software vendor. Copying software for any purpose other than making a backup or archival copy is strictly prohibited unless written authorization has been obtained from the software manufacturer.
13. Ensure proper disposal of any electronic media adheres to state policy. Examples include memory sticks, computer disks, CDs, computer hard drives, etc. It does not matter if the media is unused or if it contains off-the-shelf software (store-bought programs). It does not matter if the media can no longer be used with any existing division computer equipment. All media must be processed for disposal the same way working media containing confidential information is processed.
14. Maintain confidentiality of all computer passwords (do not share). Change passwords by protocol, but a good rule to go by is to change it monthly.
15. Personal Internet usage is allowed to a limited extent. Be careful in both Internet content and amount of time. Use during lunch and breaks is permissible, as long as your supervisor allows it and you are not visiting questionable sites (if in doubt, do not do it), or time on the Internet is not interfering with work production.



## Division of Marine Fisheries Policy Manual

If you are identified as someone visiting questionable sites or spending too much time on the Internet, your supervisor, DEQ ITS – DMF Section, or others can restrict your usage of the Internet for yourself and others.

16. Unless specifically directed by the Deputy Director, DEQ ITS, or DMF IT will not provide support for any hardware or software that has not been approved by DENR ITS.
  - Standard Application is a software application that is designed as the standard for a particular function. It is specified by DEQ ITS as such and is acquired by the division. An example is MS Word.
  - Non-Standard Application is one that is acquired by the division, is in use by division employees and has been approved by DEQ ITS for general use, but is not designated as standard. An example is WordPerfect.
  - User-Specific Application is one that has been acquired by the division, is in use by division employees, and has been approved by DEQ ITS for use by specific employees, but is not available for general use. An example is BEACON.
17. Employees are to ensure external drives with executable files (e.g., thumb drives, DVD, CD, etc.) have virus scans performed to help prevent proliferation of viruses on computers and networks.
18. Adhere to the DEQ Social Media Policy.

Some selected references and policies are listed below. For a complete updated list, refer to the referenced website.

### Selected Laws Relating to Use of State Computer Systems

Reference: <https://www.scio.nc.gov/Mission/sitLaws.aspx>

#### *Federal:*

- United States Code, Title 18, Section 1030, Fraud and related activity in connection with computers

#### *North Carolina:*

- N.C.G.S. 1-539.2A. Damages for computer trespass
- N.C.G.S. 114-15.1. Department heads to report possible violations of criminal statutes involving misuse of State property to State Bureau of Investigation
- N.C.G.S. 132-1. Public Records Law
- N.C.G.S. 14-196. Using profane, indecent or threatening language to any person over telephone
- N.C.G.S. 14-196.3. Cyberstalking



- N.C.G.S. 14-202.3. Solicitation of child by computer to commit an unlawful sex act
- N.C.G.S. 14-277.1. Communicating threats
- N.C.G.S. 14-453. Definitions
- N.C.G.S. 14-453.2. Jurisdiction
- N.C.G.S. 14-454. Accessing computers
- N.C.G.S. 14-455. Damaging computers, computer programs, computer systems, computer networks, and resources
- N.C.G.S. 14-457. Extortion
- N.C.G.S. 14-458. Computer trespass; penalty
- N.C.G.S. 14-91. Embezzlement of State Property

Privacy

Reference:

- E-mail Notification Policy
- Guidelines for Dev Privacy Policies for Private Citizens Using State Info Sys
- Guidelines for Dev, Filtering, Monitoring Policies for State Info Systems
- Notification Banner Policy

**Implementation**

Title of Responsible Person	Action
DEQ ITS – DMF Section	<p>Develop and recommend general policies for approval of the DMF deputy director to be incorporated into this policy. Any exceptions to general policies will require approval by the deputy director. Encourage compliance with procedures and recommend corrective actions as needed.</p> <p>Conduct hardware and software tests on staff computers to verify compliance with policies, as requested from appropriate authorities (DEQ ITS, DMF IT, division director, division deputy director, and limited requests from section chiefs)</p>
Division Staff	<p>Use all computer products for official state business only within SCIO, department and division policies.</p> <p>Use the Internet responsibly and professionally. Do not</p>



Title of Responsible Person	Action
	<p>make any intentional use of these services in an illegal, malicious or obscene manner.</p> <p>Honor all software licensing agreements. Do not make unauthorized copies of software for installation on either personal equipment or on other state-owned computers.</p> <p>Do not install personal or unauthorized programs or software on a state-owned computer without written authorization from DEQ ITS – DMF Section and your supervisor. Do not download from the Internet any freeware, shareware or trial software without written approval from DEQ ITS – DMF Section and your supervisor.</p> <p>Do not alter commands or internal coding of software programs except for those standard options allowed by a program such as MS Word formatting, etc. or it is part of your authorized job duties.</p> <p>Provide reasonable security over all equipment, data, and passwords to protect against theft or physical damage. Inform DEQ ITS of any suspected compromises of security features, including, but not limited to, detection of viruses.</p> <p>Do not access, download or electronically distribute material that degrades or demeans any person, especially racial or sexual material.</p>

**Effective Date**

Versions	Revisions
July 1, 1999	Original effective date
November 9, 2001	Expanded legal reference; prohibition against freeware without authorization.
July 1, 2010	Reviewed; revised to new format; made significant changes, including adding specific policies, referencing SCIO policies, etc.
July 1, 2011	Updated to reflect change in outgoing email message and URL to the policies on the TMC page of the DENR webportal.
January 4, 2013	Minor edits based on changes to state policies and updated or removed hyperlinks.



## Division of Marine Fisheries Policy Manual

<b>Versions</b>	<b>Revisions</b>
	Updated some language to reference tablets, unauthorized hardware, and virus scans of executable files, and added reference to the DENR Social Media Policy.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality, DENR to DEQ, and removed inactive hyperlinks.



## Information Technology (IT – 2): Acquisition of Computer Hardware and Computer Software

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**Title of Policy or Procedure:** Acquisition of Computer Hardware and Computer Software

**Purpose:** To establish general office policies for acquisition and distribution of new computer hardware, software and other IT related supplies within the division.

**Primary Responsibility:** Department of Environmental Quality (DEQ) Information Technology Section (ITS) – Division of Marine Fisheries (DMF) Information Technology (IT)

**Subordinate Responsibility:** Section Chiefs and supervisors

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### Policy

Sections are to work with DEQ ITS and DMF IT to identify computer equipment and software needing to be acquired. Sections are responsible for paying for equipment, except for sections and programs noted in the Implementation. Some equipment will be purchased by DEQ ITS and DMF IT using the appropriate funding code provided by the section (e.g., for computer bulk buys) and others may be authorized to be purchased directly by the section.

DEQ ITS and DMF IT is responsible for paying for the basic software such as MS Enterprise Agreement, email/calendaring, SAS license agreements, antivirus software, LAN and server service providers, etc. Some software that is specific to an individual job or program may be purchased by DEQ ITS and DMF IT or the appropriate section.

Each section is responsible for purchasing and storing toner for printers. DMF IT will continue to purchase toner for the DEQ ITS and DMF IT Section and the Administrative Section. Administrative Section will be responsible for storing toner.

Each section is responsible for purchasing and storing other computer related supplies such as storage media, etc.

### Implementation

Title of Responsible Person	Action
DENR ITS and DMF IT	Define the standard computer hardware and software configuration.  Review purchase requests from section chiefs ensuring compliance to the standard computer hardware and



Title of Responsible Person	Action
	<p>software configuration.</p> <p>Approve all non-standard requests.</p> <p>Incorporate and pay for computer hardware and software purchases for the director's office staff, DEQ ITS, DMF IT, and Administrative Services Office.</p> <p>Pay for MS Enterprise Agreement, email/calendaring, virus protection, SAS license, LAN/server service providers, etc. for division staff.</p> <p>Coordinate computer bulk buys for the division.</p> <p>After delivery, distribute all computer equipment to the appropriate staff and track assets according to any specified procedures. If computers are removed by DEQ ITS, DEQ ITS must be able to track the removed asset and inform the section of the location of the asset, in writing (e.g., email, DOTS, etc.).</p>
Section Chiefs	<p>Incorporate planned computer hardware and software purchase and upgrades into fiscal year budgets.</p> <p>Provide budget information to DEQ ITS and DMF IT, when needed.</p> <p>Purchase equipment and software as deemed appropriate for the section to be purchased by DEQ ITS and DMF IT.</p> <p>Purchase all computer supplies (media, toner, etc.) to support section operations.</p>
Division Staff	<p>Contact DMF Purchasing to ensure compliance with current guidelines and policies that may change frequently.</p>
DMF Purchasing Agent	<p>Take delivery of computer equipment, software, etc. and provide copies of purchase orders and shipping documents to the appropriate DEQ ITS and DMF IT operation.</p>

**Effective Date**

Versions	Revisions
December 4, 2001	Original effective date





## Division of Marine Fisheries Policy Manual

<b>Versions</b>	<b>Revisions</b>
July 1, 2010	Reviewed; Revised to new format; clarified purchasing responsibilities.
July 1, 2014	Reviewed and made minor updates, including removing reference to fixed asset tracking while retaining the ability to track and provide communication through other processes that may be implemented.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Information Technology (IT – 3): Loaning of GPS Equipment

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**Title of Procedure:** Loaning of GPS Equipment

**Purpose:** To define procedure for the loan of GPS equipment internally within DMF

**Primary Responsibility:** Section Chiefs

**Subordinate Responsibility:** Supervisors and Employees

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### Background:

Some programs within the Division of Marine Fisheries (DMF), periodically, require the use of GPS (Global Positioning System) equipment. Historically the GIS (Geographic Information System) staff with Department of Environmental Quality (DEQ) Information Technology (IT) have loaned out Trimble GPS units, but those units have expired and there are no plans to replace this equipment. Recently, informal requests have been made to other programs in DMF in order to borrow GPS equipment. These have included programs within Habitat and Enhancement, Shellfish Sanitation and Recreational Water Quality, and Fisheries Management sections.

Programs with at least one spare GPS unit currently include the Shellfish Mapping Program within the Habitat and Enhancement Section and the Growing Areas Program within the Shellfish Sanitation and Recreational Water Quality Section.

### Policy:

The employee needing to borrow a GPS unit shall email the appropriate program manager with the request. The request shall give sufficient advance notice and shall include the requested date(s) of use and when the equipment will be returned. The employee is responsible to know how to use the GPS hardware, and how to work with the software and data. A request to existing staff with GPS experience can be made for informal training. Formal training is the responsibility of the requesting employee's program.

If any data will be uploaded to the GPS before use in the field, the employee is responsible for providing the data in the appropriate format to the GPS owner at least one week before the checkout date, unless the employee plans to use their own Pathfinder Office software to work with the GPS unit. The appropriate Section Chief shall be copied on the email as well as the requesting employee's supervisor.

The Section Chief or Program Manager (with delegated authority) will respond via email either approving or denying the request. Considerations may include possible conflicts in timing of use or anticipated use by the section that owns a GPS unit, among other reasons.



If approved, the requesting employee’s supervisor will ultimately be responsible for ensuring that the employee returns the GPS on time and in the same condition when borrowed.

Loans under this procedure are meant to serve as short-term and periodic use only. If a unit is needed frequently or for long-term use it will be up to the requesting employee’s program to purchase a new unit and license.

**Implementation**

Title of Responsible Person	Action
Employee	Obtain approval from appropriate Program to borrow GPS unit
Section Chief	Review and approve/deny request to borrow GPS unit or delegate authority to Program Manager
Supervisors	Ensure employee follows procedure including returning GPS unit on time and in same condition when borrowed

**Effective Date**

Versions	Revisions
July 21, 2015	Effective date
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## **Public Relation Policies**



## Public Relations (PR – 1): Media Contact

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**Title of Policy or Procedure:** Media Contact

**Purpose:** To establish policy and procedures to be for employees contacted by the media

**Primary Responsibility:** Division of Marine Fisheries (DMF) Public Information Officer

**Subordinate Responsibility:** Director, Deputy Director, Section Chiefs and all employees

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### Policy

Division of Marine Fisheries' (DMF) employees shall always contact the Public Information Officer before responding to a media inquiry or invitation, unless the Public Information Officer has explicitly designated staff to speak on specific topics, including requests for interviews at public meetings. Through this policy, the DMF Public Information Officer explicitly designates any staff member listed as a contact in a news release to talk with representatives of the news media about the subjects of the news release or meeting notice. However, employees will only discuss issues that directly relate to their immediate work. Employees will communicate facts only, and will not speculate, offer personal opinions, or make projections regarding future actions. Prompt responses to media inquiries are essential because reporters operate under intense deadlines and air time commitments. Immediate response to a reporter's questions is in the best interest of DMF because it maintains the best possible working relationship with the media. The Public Information Officer or his/her designee must immediately be notified of any media contacts (this includes any Freedom of Information Act or Public Records Law requests).

Public records requests shall be directed to the Public Information Officer. The Public Information Officer will follow DENR policy in complying with the request.

*“Representative of the news media” means any person or entity that gathers information of potential interest to a segment of the public, uses its editorial skills to turn the raw materials into a distinct work, and distributes that work to an audience. Examples of news-media entities include, but are not limited to, newspapers, television or radio stations, periodicals and blogs that make their products available to the general public through purchase, subscription or free distribution, including electronic dissemination. To the extent that they function as a one-stop site for fisheries management information, owners/operators of fishing chat boards are included in the definition of “representatives of the news media.”*

As a state agency, most of what DMF does is a matter of open record according to public records legislation:

[http://www.ncleg.net/EnactedLegislation/Statutes/HTML/ByChapter/Chapter\\_132.html](http://www.ncleg.net/EnactedLegislation/Statutes/HTML/ByChapter/Chapter_132.html)



DENR media policy:

<http://portal.ncdenr.org/web/opa/news-media-policy>

The few exceptions are: some parts of personnel records (see PER-16: Public Inquiries for Personnel Records); certain trade secret information supplied to the DMF; certain information regarding expansion or location of business or industrial development projects; privileged communications from attorneys for the DMF; state tax information; certain enforcement records that may relate to criminal investigations; and individual health records.

G.S. 113-170.3(c) and G.S. 143B-289.52(h) also exempt certain identifying information obtained by the Marine Fisheries Commission or the DMF through licensing and other means:

[http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter\\_113/GS\\_113-170.3.html](http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter_113/GS_113-170.3.html)

[http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter\\_143B/GS\\_143B-289.52.html](http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter_143B/GS_143B-289.52.html)

[http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter\\_132/GS\\_132-1.10.html](http://www.ncleg.net/EnactedLegislation/Statutes/HTML/BySection/Chapter_132/GS_132-1.10.html)

The DMF is required by law to make public record information available to the media and public within a reasonable time period. Information that is considered public record will be provided promptly upon request in order to maintain credibility with the public and comply with the law.

NOTE: This requirement means that we must provide existing information and records. It does not require the creation of new information or documents. See the DEQ Internal Operating Policies "Public Record Policy and Policy on Charges and Payments for Public Records."

The following is an excerpt from the DEQ Media Training Handbook found at [http://portal.ncdenr.org/c/document\\_library/get\\_file?p\\_l\\_id=23493&folderId=217339&name=DLFE-4765.pdf](http://portal.ncdenr.org/c/document_library/get_file?p_l_id=23493&folderId=217339&name=DLFE-4765.pdf):

"The law requires that you give a document the way you prepared it. You don't have to crunch numbers into a form that doesn't currently exist for a reporter. You are only required to give him or her what you have, in the form you have it, and he or she can crunch his own numbers. Once again, the law and public relations differ. If it is a fairly simple process to do, you might consider crunching the numbers as a way to build trust and rapport with a reporter."

## Implementation



Title of Responsible Person	Action
Public Information Officer	<p>Discuss division activities, programs and/or issues with representatives of the news media or refer the media to the appropriate division staff.</p> <p>Ensure the media has been responded to in a timely manner.</p>
Section Chiefs	<p>Upon request from the public information officer, discuss DMF activities, programs, and/or issues with representatives of the news media that pertain to section.</p> <p>Immediately notify the Public Information Officer or designee of any media interview by phone or e-mail.</p> <p>Take appropriate disciplinary action against employees within your section who do not comply with the media contact policy.</p>
Employees	<p>Upon request from the public information officer, discuss DMF activities, programs, and/or issues with the media that pertain to your section or refer the media to the appropriate DMF employee.</p> <p>Immediately notify the Public Information Officer or designee of any media contact by phone or e-mail.</p>

**Effective Date**

Versions	Revisions
May 26, 1998	Original effective date
July 1, 2010	Reviewed; revised to new format; added information on public information records and some other minor changes.
June 7, 2013	Reviewed to ensure in compliance DENR's April 30, 2013 memo on "Contacts with the news media". After advice with DENR staff, added definition for 'Representatives of the new media' and changed some language to reflect that meaning.
July 1, 2014	Reviewed by DMF and DENR Public Information Officers and revised according to DENR policies and directives.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.
January 2, 2017	Revised contact with the news media section.



## Public Relations (PR – 2): News Releases

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**Title of Policy or Procedure:** News Releases

**Purpose:** To establish policy and procedures for preparation and distribution of DMF news releases.

**Primary Responsibility:** Division of Marine Fisheries Public Information Officer

**Subordinate Responsibility:** Director, Deputy Director, Section Chiefs and all employees

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### Policy

All news releases shall be written by the division’s Public Information Officer. The primary contact person or the person requesting the news release will submit an electronic draft news release to the Public Information Officer, including the following information: who, what, where, when, and why/how. News releases announcing meetings or regulatory changes will be submitted at least two weeks in advance of the anticipated event so that the public is adequately notified. All contacts listed on the news release will be available to answer questions on the date of the news release. News releases issued after 2 p.m. on Fridays or days before scheduled state holiday, must have a telephone number (home or cell) listed of a person who can answer specific questions in regards to information in the news release. Persons listed as contact are to build time into their work schedules to answer questions about the release and respond to media requests for interviews.

All news releases are faxed and electronically distributed to ensure the media receive the information in a timely manner. Releases will go out before 2 p.m., if possible.

### Implementation

Title of Responsible Person	Action
Public Information Officer	<p>Prepare the news release according to departmental guidelines and ensure that appropriate individuals, including the DEQ Public Affairs Director, review the document prior to release.</p> <p>Ensure the news release is sent to the appropriate distribution list, posted on the DMF website and issued electronically throughout to all division staff.</p>
DMF Contact Person	Provide the Public Information Officer with a draft news release that contains the following information: who, what, where, when, and why/how.





Title of Responsible Person	Action
	<p>Review news release to ensure accuracy of information and clarity of presentation.</p> <p>Be available to answer questions on the date of the release and, if issued after 2:00 p.m. on Friday's or before state holidays, provide a number where the media can contact you outside of the office.</p> <p>Build time into your schedule to answer questions.</p> <p>Be available for interviews, if requested.</p>

**Effective Date**

Versions	Revisions
May 26, 1998	Original effective date
July 1, 2010	Reviewed; revised to new format; added policy on weekend and holiday contact information.
July 1, 2014	Reviewed and made minor clarification revisions.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Public Relations (PR – 3): Public Meetings

---

**Title of Policy or Procedure:** Public Meetings

**Purpose:** To establish policy and procedures to follow when Division of Marine Fisheries (DMF) staff members schedule and or conduct public meetings.

**Primary Responsibility:** DMF Public Information Officer

**Subordinate Responsibility:** Director, Deputy Director, Section Chiefs and all employees

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### Policy

The DMF is a state agency and must abide by the Public Meetings Law (G.S. 143-318.9 – G.S. 143-318.18). While the minimum required notice is 48 hours for any public and/or official meeting, it is the policy of DMF to give the public as much notice of meetings as possible. Therefore, DMF employees scheduling a public meeting will inform the public information officer or designated public information staff no later than two weeks prior to the event. Other considerations that will be taken into account when scheduling a meeting include: meeting location (is it accessible to the target audience?), number of people a meeting location can accommodate (is enough room available to comfortably seat all interested parties?), and other DMF meetings that are occurring on or around the same date.

The public meetings law can be located at:

[http://www.ncleg.net/enactedlegislation/statutes/html/byarticle/chapter\\_143/article\\_33c.html](http://www.ncleg.net/enactedlegislation/statutes/html/byarticle/chapter_143/article_33c.html)

The person scheduling the meeting shall submit to the public information officer, an electronic overview of the meeting that covers the following: who, what, where, when and why/how. Once this information is received, the public information officer or designated public information staff will write and send out a Public Meeting Notice. Once this notice is released, the meeting should only be cancelled or rescheduled for emergencies as determined by the division director.

### Implementation

Title of Responsible Person	Action
Public Information Officer or designee	Write the public meeting notice  Ensure the public meeting notice is released to the appropriate distribution list and posted on the DMF website.



<b>Title of Responsible Person</b>	<b>Action</b>
Contact Person	Submit to the public information officer, an electronic overview of the meeting that covers the following: who, what, where, when, and why/how, at least two weeks in advance of the meeting.  Once notice is released, the meeting shall only be cancelled or rescheduled for emergency reasons on the authority of the division director.

**Effective Date**

<b>Versions</b>	<b>Revisions</b>
May 26, 1998	Original effective date
July 1, 2010	Reviewed; revised to new format; made some minor clarifications.
July 1, 2014	Reviewed and made minor clarification revisions.



## Public Relations (PR – 4): Email Use and Retention

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**Title of Policy or Procedure:** E-mail Use and Retention

**Purpose:** To establish e-mail use and retention policy in accordance with state and department policy and executive order.

**Primary Responsibility:** Employees

**Subordinate Responsibility:** Supervisors

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### Policy

To manage and preserve electronic mail and to promote public access to public records, DMF employees will treat electronic mail messages, sent or received through government accounts, as public records and will maintain these records in compliance with the Public Records Act and records retention policies in the same manner as paper documents or other tangible records.

1. Email is a public record and must be made accessible unless its content is exempt from inspection by statute or court ruling.
2. Electronic mail messages are covered under the definition of “public records” in G.S.132-1. In certain cases, email may be exempt from disclosure as a confidential document. For example, certain communications by legal counsel, personnel records and detailed plans of public infrastructure may be kept confidential under certain circumstances.
3. Email is intended for use for official state business and matters within scope of employment, broadly defined. In general, employees shall not use email for personal purposes. Minimal and necessary personal or quasi-business communications via the email systems are acceptable, particularly where convenience (and ultimate savings of state employee time and state resources) dictates their use; but in no event may their use interfere with normal business activities. Illustrative examples of acceptable “minimal and necessary” usages, of a personal or quasi-business nature, are:
  - i. Notices of social and public service events, such as Habitat for Humanity, blood drives, etc.
  - ii. Work group gatherings in or out of the office (group lunches, ball games, birthdays, etc.)
  - iii. Divisional or inter-agency notification used for communicating goodwill among users (holiday greetings, congratulatory messages, etc.)
  - iv. Messages home re: office hours, travel, etc.
  - v. Messages (for convenience) to other LAN, WAN or Internet users concerning individual plans and activities. These would include communications similar to current telephone usage.



4. Email usage, consistent with this policy, should in no event involve messages that are illegal, against public policy, or profit or non-profit solicitations. Illustrative examples of unacceptable usages are:
  - i. Discriminatory information (race, creed, color, gender, religion, physical disability or sexual preference).
  - ii. Sexual harassment or sexual misconduct.
  - iii. Transmittal of pornographic or profane material.
  - iv. Personal business use or commercial activities.
  - v. Personal political beliefs or political campaign activities.
  - vi. Wagering, betting.
  - vii. Solicitations for profit or non-profit entities (exceptions can be allowed in accordance with the division Goodwill Committee Guidelines).
5. All email is the property of the department. Employees should not have any expectations of privacy in the use of email, except as previously noted with regard to established exceptions to public records disclosure.
6. Employees shall assume that information on the state's email system is subject to public review by state officials.
7. No personal messages, quotes or customized backgrounds shall be included in outgoing email messages. This includes no customized electronic business cards that the email system may provide (use text only).
8. Email messages, including attachments, should be used in such a manner as to conserve resources, to reduce operating costs and to minimize unnecessary meetings.
9. All employees who conduct public business via personal email accounts or nongovernment technology shall properly retain and archive any public record made or received pursuant to the Public Records Law and the department's current records retention policy.
10. All outgoing e-mails sent from state e-mail accounts shall include language notifying the recipient(s) that the message is subject to the Public Records Law and may be disclosed to third parties. This includes e-mail sent through state e-mail accounts via handheld smart phones such as a Blackberry, iPhone, etc. The disclosure statement shall say:

**Email correspondence to and from this address is subject to the North Carolina Public Records Law and may be disclosed to third parties unless the content is exempt by statute or other regulation.**

11. Employees shall not permanently delete any email messages that they **send** or **receive** for at least 24 hours.
12. Each employee shall complete online training offered by the Department of Cultural Resources on managing e-mail as public records at:

<http://www.records.ncdcr.gov/> and click on the first hyperlink "Managing Your Inbox: E-mail as a Public Record". There is a certificate of



completion at the end of the tutorial. Each employee is to complete the course, print the certificate and send to the division's Human Resources office for filing.

### Implementation

Title of Responsible Person	Action
Supervisors	<p>Ensure all employees are made aware of the email policy and ensure employees have the public record statement on all sent emails.</p> <p>Ensure all employees, including new hires, have completed the online course offered by the Department of Cultural Resources on managing email as public records.</p> <p>Take appropriate disciplinary action against employees within your section who do not comply with the media contact policy.</p>
Employees	<p>Do not permanently delete any emails sent or received from state e-mail accounts for at least 24 hours.</p> <p>All outgoing e-mails sent from state e-mail accounts shall include language notifying the recipient(s) that the message is subject to the Public Records Law and may be disclosed to third parties.</p> <p>Employees conducting state business conducted via personal e-mail accounts shall ensure that all public records are retained in accordance to this policy, state policy and Executive Order and are retained in accordance to the Public Records Law.</p> <p>Each outgoing email message from a state email account must include the following message:</p> <p><b>Email correspondence to and from this address is subject to the North Carolina Public Records Law and may be disclosed to third parties unless the content is exempt by statute or other regulation.</b></p> <p>No personal messages, quotes, customized/colored backgrounds, or customized electronic business cards will be used in outgoing messages.</p>



<b>Title of Responsible Person</b>	<b>Action</b>
	<p>Shall not use a State email account for political purposes.</p> <p>Shall not use a State email account for private commercial transactions or to engage in private business activities.</p> <p>Shall not use email for personal purposes except for limited family or personal communication that does not interfere with his or her work. A limited family or personal communication is an email that is convenient to the employee and results in an ultimate savings of the employee's time or conserves State resources.</p> <p>Shall assume email messages are being read by people other than the addressee. There is no reasonable expectation of privacy for email messages.</p> <p>Shall remember that messages are permanent and that transcripts can be taken out of context after you've forgotten the message.</p> <p>Shall take care in phrasing messages. Don't use email to express strong emotions and be careful about humorous expressions, because they can look different in print. Remember that email is not private. Non-verbal portions of a message (i.e., humor) may not be picked up by the receiver, and may not be understood by unintended readers, so if you are joking, it is best to say so.</p> <p>Shall change the password often (in accordance with NCIDs requirements), never disclose it, and consider handling confidential communications through another means other than email.</p> <p>Shall be careful not send email to the wrong person when selecting a name from address lists. Be very careful with distribution lists.</p> <p>Be familiar with and follow applicable record retention schedules for email.</p> <p>As emails are received or sent, all messages sent or received are automatically loaded into the State Archive</p>



Title of Responsible Person	Action
	(Mimosa) for 10 years. The Mimosa Archive can be accessed from your Outlook or Web email for review of all emails or restored back to the inbox.

**Effective Date**

Versions	Revisions
July 1, 2010	Original effective date.
July 1, 2011	Complete revision to reflect updated DENR policy and procedure on electronic mail and renamed the policy to include email use.
July 1, 2014	Reviewed and made minor clarification revisions.





## **Personnel Policies**



## Personnel (PER – 1): Recruitment and Selection Procedures

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**Title of Policy or Procedure:** Recruitment and Selection Procedures

**Purpose:** To outline procedures for advertising and filling vacancies in accordance with the Merit Based Recruitment and Selection Policy.

**Primary Responsibility:** Division of Marine Fisheries Human Resources Manager and Hiring Manager

**Subordinate Responsibility:** Application Screening designees, Section Chief, Supervisors

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### Policy

It is the policy of the division to comply with the state and department policies on recruitment and selection.

Recruitment and selection is covered in Section 2 of the Office of State Personnel Manual and the Department of Environmental Quality Merit Based Recruitment and Selection Plan.

Information from the Office of State Personnel can be located in Section 2 at:

<http://www.osp.state.nc.us/Guide/Policies/policies.htm>

Information from the Department of Environmental Quality can be located at:

Section 5-A: Recruitment/Vacancy List

<http://portal.ncdenr.org/web/hr/standard-operating-processess-sop#section5>

Section 6: Merit Based Selection and Hiring

<http://portal.ncdenr.org/web/hr/standard-operating-processess-sop#section6>

Department’s Merit Based Recruitment and Selection Plan:

<http://www.osp.state.nc.us/Guide/Policies/policies.htm>

### Implementation

Title of Responsible Person	Action
All Staff	Follow the state’s and department’s policies on recruitment and selection.



**Effective Date**

<b>Versions</b>	<b>Revisions</b>
October 15, 1997	Original effective date
April 17, 1998	Revised format, wording and examples of relevant forms.
October 23, 2001	Clarification of second level application screening
July 1, 2010	Reviewed; revised to new format; removed division level policy statement and implementation and referred readers to OSP and DENR policies.
January 4, 2013	Updated hyperlinks.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Personnel (PER – 2): New Employee Orientation

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**Title of Policy or Procedure:** New Employee Orientation

**Purpose:** To establish policy for orienting new employees to the Division of Marine Fisheries.

**Primary Responsibility:** Personnel Representative

**Subordinate Responsibility:** Supervisors

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### Policy

It is the policy of the division to comply with the department’s Orientation Policy. This policy provides new employees with department and division organizational overview; essential information (policies and procedures); employment sign-up (e.g., tax forms, emergency notification, etc.), and benefits enrollment.

Orientation will follow Department of Environmental Quality policy. The policy is located at:

<http://portal.ncdenr.org/web/hr/standard-operating-processess-sop#section7>

### Implementation

Title of Responsible Person	Action
All Staff	Follow the department’s Orientation Policy.

### Effective Date

Versions	Revisions
April 1, 1998	Original effective date
October 23, 2001	Reviewed and revised; specification of content of deputy director’s New Employee Orientation
July 1, 2010	Reviewed; revised to new format; removed division level policy statement and implementation and referred readers to DENR policy.
January 4, 2013	Updated hyperlinks.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Personnel (PER – 3): Promoting Employees (Refer to DENR Policy)

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**Title of Policy or Procedure:** Promoting Employees

**Purpose:** To identify the policy and procedure for promoting current Division of Marine Fisheries employees

**Primary Responsibility:** Supervisors

**Subordinate Responsibility:** Section Chief

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### Policy

It is the policy of the division to comply with the state’s and department’s Merit Based Recruitment and Selection Plan. This policy outlines a commitment to promote qualified candidates from within the division before considering outside candidates.

<http://www.osp.state.nc.us/Guide/Policies/policies.htm>

### Implementation

Title of Responsible Person	Action
All Staff	Follow the state’s and department’s Merit Based Recruitment and Selection Plan.

### Effective Date

Versions	Revisions
April 1, 1998	Original effective date
May 27, 1998	Adds flexibility for external vacancy listing, if appropriate.
October 23, 1998	Reviewed; no changes.
July 1, 2010	Reviewed; revised to new format; removed division level policy statement and implementation and referred readers to DENR policy.
January 4, 2013	Update hyperlinks.



## Personnel (PER – 4): Performance Management

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**Title of Policy or Procedure:** Performance Management

**Purpose:** To provide a policy and procedure for implementing the Performance Management process in the Division of Marine Fisheries

**Primary Responsibility:** Supervisors

**Subordinate Responsibility:** Section Chiefs

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### Policy

It is the policy of the division to comply with the Department’s Performance Management Policy and Standard Operating Procedures located at:

[http://portal.ncdenr.org/c/document\\_library/get\\_file?p\\_l\\_id=1169848&folderId=2313053&name=DLFE-29537.doc](http://portal.ncdenr.org/c/document_library/get_file?p_l_id=1169848&folderId=2313053&name=DLFE-29537.doc)

### Implementation

Title of Responsible Person	Action
All Staff	Follow the department’s Performance Management Policy and Standard Operating Procedures.

### Effective Date

Versions	Revisions
April 1, 1998	Original effective date
October 23, 2001	Eliminated specific dates to accommodate periodic work cycle changes.
July 1, 2010	Reviewed; revised to new format; removed division level policy statement and implementation and referred readers to DENR policy.
January 4, 2013	Updated hyperlinks.



## Personnel (PER – 5): Disciplinary Actions

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**Title of Policy or Procedure:** Disciplinary Actions

**Purpose:** To identify procedures for disciplinary actions

**Primary Responsibility:** Supervisors

**Subordinate Responsibility:** Human Resources Manager

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### Policy

It is the policy of the division that disciplinary actions will follow the department and Office of State Personnel policies. These policies provide for state employees and state government management a fair, clear and useful tool for correcting and improving performance problems, as well as, to provide a process to assist management in handling cases of unacceptable personal conduct. OSP policies can be located at:

[http://www.osp.state.nc.us/Guide/Policies/7\\_Discipline,%20Appeals%20and%20Grievances/Disciplinary%20Actions,%20Suspension%20and%20Dismissal.pdf](http://www.osp.state.nc.us/Guide/Policies/7_Discipline,%20Appeals%20and%20Grievances/Disciplinary%20Actions,%20Suspension%20and%20Dismissal.pdf)

Department of Environmental Quality policies and procedures can be found at:

[http://portal.ncdenr.org/c/document\\_library/get\\_file?uuid=246cd7a3-1a40-4075-920e-78b964a40fe5&groupId=38331](http://portal.ncdenr.org/c/document_library/get_file?uuid=246cd7a3-1a40-4075-920e-78b964a40fe5&groupId=38331)

<http://portal.ncdenr.org/web/hr/standard-operating-processess-sop#section13>

### Implementation

Title of Responsible Person	Action
Supervisors	Discuss problem with section chief to identify options. Seek policy advice from the Human Resources Manager to decide proper course of action.
Human Resources Manager	Advise supervisors and section chiefs on best course of action based on department, state, and division personnel policies. Seek further advice from the department as appropriate.
Supervisors	Work with Human Resources Manager to complete necessary documentation per department Standard Operating Procedures.
Human Resources Manager	Work with DEQ Human Resources to seek necessary approvals.
Section Chief	Ensure all supervisors follow procedures outlined in the



<b>Title of Responsible Person</b>	<b>Action</b>
	policies.

**Effective Date**

<b>Versions</b>	<b>Revisions</b>
April 1, 1998	Original effective date
October 23, 2001	Change in OSP Manual reference; updated attachments.
July 1, 2010	Reviewed; revised to new format; removed attachments; referred readers to DENR policy.
January 4, 2013	Updated hyperlinks.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.





## Personnel (PER – 6): Grievances and Problem Resolutions

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**Title of Policy or Procedure:** Grievances and Problem Resolutions

**Purpose:** To establish a policy and procedures for submittal of problems or grievances by employees and to provide a means of communication among supervisors, management, and employees

**Primary Responsibility:** Supervisors

**Subordinate Responsibility:** Section Chiefs

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### Policy

It is the policy of the division that grievances will follow the department and Office of State Personnel policies to allow for prompt and orderly resolution. For all other issues, employees, supervisors, and managers will attempt to resolve problems at the lowest level possible using the chain of command as appropriate.

OSP policies can be located at:

<http://www.osp.state.nc.us/Guide/ER/mediation/mediation.htm>

DEQ policies are located at:

[http://portal.ncdenr.org/c/document\\_library/get\\_file?uuid=df7b8c0c-97d8-4869-9771-f2fb75fb8e58&groupId=38331](http://portal.ncdenr.org/c/document_library/get_file?uuid=df7b8c0c-97d8-4869-9771-f2fb75fb8e58&groupId=38331)

### Implementation

Title of Responsible Person	Action
Employee	<p>Discuss issue/problem with immediate supervisor making every effort to resolve the issue at this level.</p> <p>If the issue involves the supervisor or the employee is not comfortable addressing the supervisor, the employee may take the issue to the next level of management. Depending on the issue/problem, an employee may always elevate the concern to the division Human Resources Manager, Deputy Director, or Director.</p>



<b>Title of Responsible Person</b>	<b>Action</b>
Supervisor/Management/Division Human Resources	Every effort will be taken to resolve an employee conflict in the best interest of the employee and division.

**Effective Date**

<b>Versions</b>	<b>Revisions</b>
April 1, 1998	Original effective date
October 29, 2001	Updated DENR and OSP references.
July 1, 2010	Reviewed; revised to new format; updated policy statement and added internet links to policies.
January 4, 2013	Updated hyperlinks.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Personnel (PER – 7): Exit Process (Separation from Employment)

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**Title of Policy or Procedure:** Exit Process (Separation from Employment)

**Purpose:** To identify the procedure for processing an employee who is separating from employment at the division.

**Primary Responsibility:** Supervisors

**Subordinate Responsibility:** Human Resources Manager, Section Chiefs, and Others designated on the *Checkout Sheet*

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### Policy

It is the policy of the division that all employees leaving employment from the division go through a separation of employment process to ensure all state property is retrieved from the employee, to remind the employee of confidentiality of some data, and separated state employee benefits and rights.

### Implementation

Title of Responsible Person	Action
Employee	If it is the employee's choice to exit, advise supervisor in writing of pending resignation or retirement.
Supervisor	If appropriate, accept employee's resignation. Forward a copy of the employee's notice of separation to the human resources manager within one day of receipt.
Human Resources Manager	<p>Send exiting employee's supervisor the <i>Division Exit Checklist</i> to complete.</p> <p>Set up exit meeting with separating employee.</p> <p>Send him/her <i>DEQ's Confidential Exit Interview</i> form to complete.</p> <p>Hold exit meeting with employee on or before last scheduled work day reviewing applicable state employee benefits using the <i>DEQ Human Resources Checklist</i>.</p> <p>Separate employee in BEACON/SAP and process applicable payouts.</p>
Supervisor	Using the division's <i>Exit Checklist</i> , found on the DMF Intranet, ensure all property is returned.



Title of Responsible Person	Action
	<p>Following the Exit Checklist, ensure employee completes activity sheet and time is entered and approved in BEACON.</p> <p>Complete Final Work Plan Evaluation for exiting employee and forward final evaluation to the division Human Resources Office.</p>

**Effective Date**

Versions	Revisions
April 1, 1998	Original effective date
February 7, 2002	Added <i>Termination of Employment Checkout Sheet</i> requirement and <i>DMF Separation Exit Interview</i> forms.
July 1, 2010	Reviewed; revised to new format; removed attachments, clarified implementation, and removed requirement to meet with deputy director.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Personnel (PER – 8): Confidentiality of Personnel Records and Actions

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**Title of Policy or Procedure:** Confidentiality of Personnel Records and Actions

**Purpose:** To identify policy and procedure for maintaining confidentiality of personnel records and actions.

**Primary Responsibility:** Human Resources Manager

**Subordinate Responsibility:** Section Chiefs, Supervisors

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### Policy

Confidentiality of personnel records is covered in Section 3 of the Office of State Personnel Manual:

[http://www.osp.state.nc.us/Guide/Policies/3\\_Employment%20and%20Records/Personnel%20Records.pdf](http://www.osp.state.nc.us/Guide/Policies/3_Employment%20and%20Records/Personnel%20Records.pdf) ).

Except for information specified by law or policy as public record, all personnel files and actions are confidential to protect an employee’s right to privacy. Confidential information may be made available to the employee concerned, his/her supervisor and chain of administrative authority (supervisory chain).

### Implementation

Title of Responsible Person	Action
Supervisors	<p>Discuss any request for specific personnel information with the Human Resources Manager to obtain policy guidance.</p> <p>Limit discussion of personnel actions to the employee’s division chain of supervision. Do not discuss personnel actions outside the supervisory chain or where it could be easily overheard by unauthorized personnel.</p>
Human Resources Manager	<p>Advise supervisors on best course of action based on department, state, and division personnel policies. Seek additional clarification from the department on requests for personnel information that is not covered by this policy, is sensitive in nature, or that could have major impact on division programs or employees.</p> <p>Inform only the employee’s supervisor and supervisory chain of personnel issues. Do not discuss any personnel</p>



Title of Responsible Person	Action
	<p>item, issue, or problem outside this chain or where it could be easily overheard by unauthorized personnel.</p> <p>Maintain absolute confidentiality of all personnel matters, issues, files, and legal issues discussed with division supervisors and division supervisory chain.</p> <p>Release information from personnel files to appropriate individuals as outline in the Office of State Personnel Manual.</p> <p>Maintain absolute confidentiality of personal conversations with employees regarding personnel matters. Relay contents of confidential conversations to the appropriate division supervisor or other employee only with the permission of the employee concerned.</p> <p>Release confidential information to interested third parties ONLY with signed authorization for release by the employee concerned.</p> <p>Safeguard personnel information and files to prevent unauthorized access.</p>
Section Chief	Ensure all supervisors follow procedures outlined in the policy.

**Effective Date**

Versions	Revisions
April 14, 1998	Original effective date
October 30, 2001	Change in OSP Manual Reference
July 1, 2010	Reviewed; revised to new format.
January 4, 2013	Updated hyperlinks.



## Personnel (PER – 9): Worker’s Compensation Procedures

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**Title of Policy or Procedure:** Worker’s Compensation Procedures

**Purpose:** To provide medical benefits and disability compensation for employees injured on the job.

**Primary Responsibility:** Employee

**Subordinate Responsibility:** Section Chiefs, Supervisors, Human Resources Manager

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### Policy

The Worker’s Compensation law provides medical benefits and disability compensation including a weekly compensation benefit for time lost. The weekly benefit is equal to 66 2/3 of the employee’s average weekly earnings up to a maximum established by the Industrial Commission each year. When an employee is injured and unable to perform duties, limited or otherwise, the employee must go on worker’s compensation leave and receive worker’s compensation weekly benefits after the waiting period required by G.S. 97-28.

### Implementation

Title of Responsible Person	Action
Employee	<p>Report an accident or injury to the supervisor as soon as possible after the accident occurs. North Carolina law requires all clams must be reported within five days.</p> <p>If an employee is injured on-the-job in an area with an approved worker compensation vendor health provider, the employee must seek treatment from one of these physicians or facilities. In areas where there is no approved worker compensation vendor provider, the injured employee may select a physician or medical facility for treatment. Employees should seek immediate treatment at the nearest medical facility, however, in the event of life threatening injury.</p> <p>Follow prescribed treatment and recommendations and notify the supervisor of any medical restrictions immediately. Refusal to comply with work restrictions will bar employee for further compensation. Shall return to regular work schedule if no restrictions apply. Notify supervisor of any changes in his/her medical condition or</p>



Title of Responsible Person	Action
	<p>any other concerns in the case.</p> <p>Complete all appropriate forms. See human resources staff or DMF Intranet for forms and instructions.</p>
Supervisor	<p>Contact the worker's compensation coordinator for the division immediately after receiving notice that an injury has occurred.</p> <p>The workers compensation coordinator will recommend an approved medical facility or will send to other medical provider. A supervisor or human resources representative may authorize medical treatment. In an emergency, get the employee immediate medical attention and then notify human resources.</p> <p>Obtain required forms (DMF Intranet) to be completed by employee and/or supervisor.</p> <p>Follow the procedure detailed on the incident/injury and workers compensation process form.</p> <p>Maintain weekly contact with employee during period of disability and keep the human resources informed.</p> <p>Report employee days of disability to the DMF Human Resources office.</p>
Worker's Compensation Coordinator (DMF Human Resources Office)	<p>Upon request, supply supervisor/employee with worker's compensation vendor's approved physicians and medical facilities using the vendor's online system.</p> <p>Maintain all appropriate forms and provide to employee and supervisor.</p> <p>Upon receipt of incident/ injury forms, verify information, and process according to the worker's compensation vendor's claim system and instructions.</p> <p>Photocopy for division files, and submit original forms to DEQ Human Resources.</p> <p>Log injury or illness in Bureau of Labor Statistics Log and Summary of Occupational Injuries and Illnesses, to be posted annually.</p>





Title of Responsible Person	Action
	<p>Monitor all cases and maintain communication with the worker's compensation provider and or the department's worker's compensation liaison.</p> <p>Process worker's compensation leave of absence in BEACON according to BEACON job aid.</p> <p>Follow all other requirements as outlined in the department's SOP Section 15A.</p>

**Effective Date**

Versions	Revisions
April 14, 1998	Original effective date
October 30, 2001	Review; no changes
July 1, 2010	Reviewed; revised to new format; removed formal reference by name of the vendor and modified the process and implementation.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Personnel (PER – 10): Academic Assistance

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**Title of Policy or Procedure:** Academic Assistance

**Purpose:** To provide support for employees to pursue academic activities that are beneficial to the employee and division.

**Primary Responsibility:** Employee

**Subordinate Responsibility:** Section Chiefs, Supervisors

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### Policy

The academic assistance program is a tool for managers and supervisors to support academic activities that directly relate to developing an organization’s key competencies. The academic assistance program is not an employee benefit, right or entitlement; it is a management program for workforce development.

The academic assistance program provides reimbursement of approved academic costs if funds are available at the agency level, and/or time off the job if the course is available only during working hours. Each State agency is delegated responsibility for, and authority to, administer the academic assistance program within the provisions of the state-wide policy in a fair, consistent and equitable manner. See the Office of State Personnel’s policy for eligible employees and approved academic sources at:

[http://www.osp.state.nc.us/Guide/Policies/9\\_Training/Academic%20Assistance%20Program.pdf](http://www.osp.state.nc.us/Guide/Policies/9_Training/Academic%20Assistance%20Program.pdf)

### Implementation

Title of Responsible Person	Action
Employee	<p>Prior to enrollment, discuss proposed course with supervisor to ascertain that it is job related and eligible for reimbursement. Reimbursement includes required academic costs normally charged to all enrolled students and is not to exceed the maximum charged by the University of North Carolina.</p> <p>Complete Section I of the PD-136, <i>Application for Academic Assistance</i> form and secure supervisor and director signatures.</p> <p>Forward completed form to DMF Human Resources.</p>



Title of Responsible Person	Action
	Approvals for Academic Assistance must be obtained before the start of the course.
Human Resources	<p>Send PD-136 form to DENR Human Resources for approval.</p> <p>When form is approved, return form with memo to employee advising him/her to return form and verification of satisfactory course completion to Human Resources.</p>
Employee	<p>After completion of course, complete Section III of the <i>Application for Academic Assistance</i> form.</p> <p>Attach receipt and course grade or verification of satisfactory completion to approved application and forward to DMF Human Resources for reimbursement approval.</p> <p>Reimbursement must be requested within 30-days of course completion.</p>
Human Resources	Submit completed PD-136 and receipt to DMF accounts payable for processing.
Accounts Payable	Process reimbursement, Section IV of the PD-136

**Effective Date**

Versions	Revisions
April 14, 1998	Original effective date
October 30, 2001	Review; no changes
July 1, 2010	Reviewed; revised to new format; changed title to Academic Assistance to be consistent with OSP and updated policy and implementation.
January 4, 2013	Updated hyperlinks.



## Personnel (PER – 11): Secondary and Dual Employment

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**Title of Policy or Procedure:** Secondary and Dual Employment

**Purpose:** To provide a process through which employees may receive approval for secondary and dual employment and for monitoring compliance with approved secondary and dual employment.

**Primary Responsibility:** Employee

**Subordinate Responsibility:** Section Chiefs, Supervisors

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### Policy

#### Secondary Employment

Secondary employment is covered in Section 3 of the Office of State Personnel Manual:

[http://www.osp.state.nc.us/Guide/Policies/3\\_Employment%20and%20Records/Secondary%20Employment.pdf](http://www.osp.state.nc.us/Guide/Policies/3_Employment%20and%20Records/Secondary%20Employment.pdf) that includes the excerpt below:

The employment responsibilities to the State are primary for any employee working full-time; any other employment in which that person chooses to engage is secondary. An employee shall have approval from the agency head before engaging in any secondary employment. The purpose of this approval procedure is to determine that the secondary employment does not have an adverse effect on the primary employment and does not create a conflict of interest. These provisions for secondary employment apply to all employment not covered by the policy on Dual Employment.

(1) Secondary employment shall not be permitted when it would:

- Create either directly or indirectly a conflict of interest with the primary employment.
- Impair in any way the employee's ability to perform all expected duties, to make decisions and carry out in an objective fashion the responsibilities of the employee's position.

(2) If the secondary employment has any impact on or may create any possibility of conflict with State operations, the form must be approved by the State Personnel Director in conjunction with the Board of Ethics.

(3) The employee shall have approval of the agency head, or designee, before beginning any secondary employment. Approval of secondary employment



may be withdrawn at any time if it is determined that secondary employment has an adverse impact on primary employment.

DMF staff must, and will be, held to a higher standard in regards to fisheries violations. Any violation of fisheries laws that occurs while staff is engaged in secondary employment will result in an immediate and permanent revocation of those privileges. A violation is defined as any 'hard' citation. A warning results in a one year revocation to be reinstated at the director's discretion.

There will be no new requests for secondary employment approved for commercial or recreational fishing activities. Staff who already have an approved form on file with commercial or recreational fishing listed as secondary employment prior to January 25, 2010, will be able to continue approved activity indefinitely, with annual approval, provided all existing policies have been abided. This policy does not require staff to give up fishing licenses; they may hold a license to participate in licensed activities for pleasure, but not for employment while employed by DMF.

Marine Patrol Officers are specifically prohibited by law from engaging in secondary employment that creates financial interest in any fishing industry.

Dual Employment:

Dual employment is covered in Section 3 of the Office of State Personnel Manual:

[http://www.osp.state.nc.us/Guide/Policies/3\\_Employment%20and%20Records/Dual%20Employment.pdf](http://www.osp.state.nc.us/Guide/Policies/3_Employment%20and%20Records/Dual%20Employment.pdf) and is defined as:

...when one state agency secures the services of an employee of another State agency on a part-time, consulting or contractual basis.

**Implementation**

<b>Title of Responsible Person</b>	<b>Action</b>
Employee	<p>Receive prior written approval using the DENR Request for Approval of Supplemental Employment form (<a href="http://portal.ncdenr.org/c/document_library/get_file?uuid=af876c86-d5ca-4871-ab4f-c897a443ea3d&amp;groupId=38337">http://portal.ncdenr.org/c/document_library/get_file?uuid=af876c86-d5ca-4871-ab4f-c897a443ea3d&amp;groupId=38337</a> ) before engaging in any activity, other than DMF employment, for which you will receive income or any other compensation.</p> <p>Annually, submit a completed Request for Approval of Supplementary Employment form with any supporting documents to immediate supervisor prior to engaging in income-producing</p>



Title of Responsible Person	Action
	<p>activity.</p> <p>Submit a new form for approval if there is any substantial change in supplemental employment.</p>
Supervisor	<p>Review request and ensure compliance with policy. Ensure there is no conflict of interest with employee's duties.</p> <p>Approve or disapprove requests for secondary or dual employment and forward to the Section Chief for approval or disapproval.</p>
Section Chief	<p>Review requests and approve or disapprove as appropriate. Approved requests are forwarded the DMF's Human Resources.</p> <p>Disapproved requests will be discussed with the employee to explain the reason(s) for denial.</p> <p>Ensure all supervisors and employees comply with procedures outlined in policy.</p>
Human Resources Office	<p>Review form for completeness and forward to director for approval or denial.</p>
Director	<p>Review requests and approve or disapprove as appropriate (this cannot be delegated).</p> <p>Forward to the Human Resources Office for final disposition.</p>
Human Resources Office	<p>Forward copy of approved or disapproved form to the employee and file the original copy in the employee's personnel file. Send copy to DEQ Human Resources.</p>

**Effective Date**

Versions	Revisions
April 14, 1998	Original effective date
October 30, 2001	Changed in OSP Manual References.
September 11, 2002	Change in wording to reflect monitoring practices.
November 5, 2003	Changed to reflect delegation to Deputy Director.
July 1, 2010	Reviewed; revised to new format; added excerpts from OSP policies, added information on fisheries violation, added grandfather clause for fishing employment, annual approval and removal of deputy director delegation.
January 4, 2013	Updated hyperlinks.
July 1, 2014	Reviewed and clarified actions to be taken if violation results in a warning.



## Division of Marine Fisheries Policy Manual

<b>Versions</b>	<b>Revisions</b>
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Personnel (PER – 12): Classification and Position Management

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**Title of Policy or Procedure:** Classification and Position Management

**Purpose:** To establish policy for resolving position classification problems.

**Primary Responsibility:** Supervisors

**Subordinate Responsibility:** Employees

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### Policy

All positions are to have proper job classification and have accurate signed job descriptions on file. Job descriptions are to be reviewed at least every four years and updated, if needed. All job descriptions are to ensure job duties are properly assigned and evolve as programs, technology, methodology, etc. change.

If job duties significantly change requiring additional responsibility, skills, knowledge, or abilities, job descriptions are to be updated or amended. These positions may need to be reviewed for potential reclassification or the employee may be eligible for in range adjustments. Either of these requests must be thoroughly justified.

### Implementation

Title of Responsible Person	Action
Supervisors	<p>Properly assigning duties, design positions, and restructure units to achieve program goals. Notify section chief of changes in assigned duties and/or work unit structure.</p> <p>Notify the human resources manager of changes in positions so classification may be maintained to support efficient and equitable management.</p> <p>Prepare job description (PD102) with employee to reflect changes in duties and responsibilities. Forward completed job description to the Human Resources Office.</p>
Human Resources Manager	<p>Discuss changes in classification with supervisor and the Department of Environmental Quality (DEQ) classification analyst to ensure classification change is warranted. Assist supervisor/employee in writing new job description.</p> <p>Complete position action request forms and forward to Director or Deputy Director with job description for</p>





Title of Responsible Person	Action
	<p>approval.</p> <p>Forward approved request forms and job description to DEQ and/or Office of State Personnel (OSP) for review and approval. Establish onsite interview with supervisor and employee, if DEQ and/or OSP require.</p> <p>Track progress by DEQ and/or OSP of job description review. Notify section chief of progress or any additional information that DEQ and/or OSP requires.</p> <p>Insist on face-to-face discussion between DENR and OSP with the supervisor if the request is recommended to be denied by DEQ/OSP and prefer DEQ/OSP visit the employee's work location to review the job first-hand.</p>
Director or Deputy Director	Approve or deny position action requests and job description and return to the Human Resources Office.
Section Chiefs	Ensure supervisors comply with this policy.

**Effective Date**

Versions	Revisions
May 26, 1998	Original effective date
October 30, 2001	Review only; no changes.
July 1, 2010	Reviewed; revised to new format; added policy narrative and statement about face-to-face visits with DEQ and/or OSP for denials.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Personnel (PER – 13): Temporary Positions

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**Title of Policy or Procedure:** Temporary Positions

**Purpose:** To establish policy for establishing division temporaries and temporary agency positions.

**Primary Responsibility:** Supervisors

**Subordinate Responsibility:** Section Chiefs

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### Policy

A temporary position is a limited term up to 11 months; but in no case shall the temporary employment period exceed twelve consecutive months. Exception for students and retired employees, but must be approved by the supervisor and section chief and contingent on budgetary priorities.

Employees with a temporary appointment do not receive leave, total state service credit, health benefits, retirement credit, severance pay, or priority reemployment consideration.

### Implementation

Title of Responsible Person	Action
Supervisors	<p>Identify staffing needs within the section in order to achieve objectives necessary to meet division goals.</p> <p>Discuss need with section chief to obtain approval and identify funds to support additional position.</p>
Section Chief	<p>Submit request in writing to the Human Resources Office with justification, identification of funding, and duration of position. Include in request a list of job duties, required education, and training for position.</p>
Human Resources Office	<p>Review requests and ensure funds are in place to support the requested position(s).</p> <p>For a temporary agency position, contact an approved temporary agency and coordinate qualified individuals with the supervisor.</p> <p>Review temporary agency invoices for compliance with policy and approve for payment. Submit to accounts payable for payment.</p>



<b>Title of Responsible Person</b>	<b>Action</b>
	If division temporary, create position in BEACON according to job advertisement.  Add position to organization chart.  Track time of temporary positions to ensure compliance with policy.
Section Chiefs	Ensure supervisors comply with policies governing temporary positions and employees.

**Effective Date**

<b>Versions</b>	<b>Revisions</b>
May 26, 1998	Original effective date
October 30, 2001	Review; Corrected typo
July 1, 2010	Reviewed; revised to new format; added policy narrative and removed information on specific forms to use since changes will occur over time; few other changes for clarification.



## Personnel (PER – 14): Salary Reserve

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**Title of Policy or Procedure:** Salary Reserve

**Purpose:** To inform all employees of policy on distribution of salary reserve within the division

**Primary Responsibility:** Human Resources Manager

**Subordinate Responsibility:** Deputy Director

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### Policy

The Division of Marine Fisheries (DMF) will try to resolve all salary reserve issues as promptly as possible. The intent of this policy is to elevate need for salary reserve to the Department of Environmental Quality (DEQ) Deputy Secretary and Budget Director when the division does not have sufficient funds to meet salary reserve needs. In August 2003, DEQ Human Resources withdrew authorization to “Reserve the Right” for additional monies with promotion and re-instatement personnel actions. In order for employees to receive appropriate salary increases for promotions, the division will be awarding all available promotional monies at the time of promotion and will not reserve the right for additional increases.

### Implementation

Title of Responsible Person	Action
Human Resources Manager/Budget Officer	<p>Identify salary reserve needs by employee and date. Monthly, human resources manager provides deputy director a current list of salary reserve needs by employee excluding promotions and re-instatements.</p> <p>Research current salary reserve available, including vacant positions, to create salary reserve.</p> <p>When salary reserve funds are identified, human resources manager recommends distribution of those funds to deputy director based on the length of time the issue has remained unresolved. Priority will be given to the oldest unresolved salary reserve action.</p> <p>If deputy director approves recommendation, prepare correct salary reserve forms and forward to DEQ Division of Budget, Planning, and Analysis (BP&amp;A) for approval. Once approved, process BEACON action to award employee salary increases.</p>



Title of Responsible Person	Action
	Notify employee in writing of salary award and effective date.
Deputy Director	<p>Ensure every avenue is pursued to identify salary reserve and that awards are made as promptly as possible.</p> <p>Assist human resources manager in obtaining DEQ approval.</p>

**Effective Date**

Versions	Revisions
May 26, 1998	Original effective date
October 30, 2001	Added requirement to notify employees of status changes; replace obsolete SR-1 (attachment) with current form.
September 12, 2003	Added DENR Human Resources change from "Reserving the Right" for promotions and reinstatement actions.
July 1, 2010	Reviewed; revised to new format; removed information on specific forms to use since changes will occur over time; few other changes for clarification.
January 26, 2016	Changed Department of Environment and Natural Resources to Department of Environmental Quality and DENR to DEQ.



## Personnel (PER – 15): Probationary Status

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**Title of Policy or Procedure:** Probationary Status

**Purpose:** To establish a minimum required probationary period for new employees and provide guidance on moving probationary status to permanent status.

**Primary Responsibility:** Supervisors

**Subordinate Responsibility:** Section Chief

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### Policy

The Division of Marine Fisheries (DMF) recognizes importance of new employees having sufficient training and evaluation time in the performance of their job. Therefore, the division will remove probationary employees and grant permanent status only after the employee has filled the permanent position for at least six months. Six months will ensure the employee has ample opportunity to successfully learn all aspects of the job and responsibilities.

### Implementation

Title of Responsible Person	Action
Supervisors	<p>Ensure the employee has a work plan and job description in place within 30 days of employment.</p> <p>Evaluate job performance of probationary employee on a monthly basis.</p>
Human Resources Manager	<p>Track probationary status employees. At six months, send supervisor <i>Status Change</i> form to initiate action to remove employee from probationary status, separate employee from probationary status, or continue to evaluate probationary employee monthly for the remaining nine months.</p> <p>If separation from probationary status is being considered, supervisor and human resources manager will follow the agency policy Section 13-G:</p> <p><a href="http://portal.ncdenr.org/c/document_library/get_file?uuid=e209df50-302f-4322-92ae-5bca2d5b5b9a&amp;groupId=38331">http://portal.ncdenr.org/c/document_library/get_file?uuid=e209df50-302f-4322-92ae-5bca2d5b5b9a&amp;groupId=38331</a></p>
Supervisor	<p>If supervisor intends on recommending permanent status, follow the steps on the <i>Status Change</i> form and send his/her recommendation for the status change to the section chief. Otherwise, the supervisor will continue to evaluate probationary employee monthly.</p>



Title of Responsible Person	Action
Section Chief	If the section chief concurs with the supervisor recommendation, the section chief notifies the human resources manager of approval for the status change in writing.
Human Resources Manager	Review the <i>Status Change</i> form for receipt of required documents and process the BEACON action to change status from probationary to permanent status. Send letter to employee notifying him/her of the status change and file copy in personnel file.

**Effective Date**

Versions	Revisions
May 26, 1998	Original effective date
October 30, 2001	Clarification of purpose of policy; review
July 1, 2010	Reviewed; revised to new format; removed information on specific forms to use since changes will occur over time; clarified process for those not recommended for permanent status; few other changes for clarification.
January 4, 2013	Updated hyperlinks.



## **Personnel (PER – 16): Public Inquiries for Personnel Records**

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**Title of Policy or Procedure:** Public Inquiries for Personnel Records

**Purpose:** Policy on how DMF will respond to public information requests for personnel records.

**Primary Responsibility:** Public Information Officer

**Subordinate Responsibility:** Human Resources Manager

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### **Policy**

General Statute 126-23 as amended in 2010 allows certain personnel records kept by State agencies to be open for inspection. All employees are to be aware that General Statute 126-23, as amended in 2010, requires each state agency to, upon request, make available to the public the following information from employee's records:

- Name
- Age
- Date of original employment or appointment to service
- The terms of any contract by which the employee is employed, whether written or oral, past and current, to the extent that the agency has the written contract or a record of the oral contract in its possession
- Current position
- Title
- Current salary (including pay, benefits, incentives, bonuses or other forms of compensation)
- Date and amount of each increase or decrease in salary (including pay, benefits, incentives, bonuses or other forms of compensation)
- Date and type of each promotion, demotion, transfer, suspension, separation or other change in position classification
- Date and general description of the reasons for each promotion
- Date and type of each dismissal, suspension or demotion for disciplinary reasons taken by the agency
- If the disciplinary action was a dismissal, a copy of the written notice of the final decision of the head of the department setting forth the specific acts or omissions that are the basis of the dismissal

### **Implementation**





Title of Responsible Person	Action
Employees	Any employee who receives a request from the public for information pertaining to employee personnel records is to forward the inquiry to the public information officer.
Public Information Officer (PIO)	<p>Make contact with the requester to determine the scope of the inquiry. To the extent that the requester is willing to volunteer information, the public information officer will attain the name of the person making the inquiry, any news media outlet or organization he or she represents, how he or she would like the information delivered and any deadlines that pertain. The public information officer may ask the requester to put the inquiry in writing to facilitate quicker response, however, the requester is not legally obligated to do so.</p> <p>Make an initial determination as to whether any or all of the requested information is public record under N.C. General Statute 126-23. In the event the person making the inquiry asks for information that is not public record, the public information officer will explain the law and the reason for not granting the request.</p> <p>Forward all requests for public records pertaining to personnel to the Human Resources Office.</p> <p>If the inquiry comes from a news media outlet, the public information officer will follow normal DENR policies for news media requests.</p>
Human Resources Manager	<p>Double-check the inquiry to make sure the information requested is public record under state law. Assemble the public information requested and send it to the person making the inquiry within the timeframe of any requested deadline, if reasonable.</p> <p>Keep a log and copy of any public record pertaining to personnel that is released to the public and notify the public information officer when the request is completed.</p> <p>If the request is for information about a former employee, who was later employed by another state agency, the request will be forwarded to subsequent state agency employers and inform the PIO of this information.</p>
Employees	May ask the Human Resources Office if it has received any public inquiries for information about them. If so, the employee may request a copy of what was released.



<b>Title of Responsible Person</b>	<b>Action</b>

**Effective Date**

<b>Versions</b>	<b>Revisions</b>
October 1, 2010	Original effective date



## Personnel (PER – 17): Licenses and Certifications

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**Title of Policy or Procedure:** Licenses and Certifications

**Purpose:** To establish policy on division payment of licenses and certifications needed for employees to perform duties and responsibilities of their position.

**Primary Responsibility:** Supervisors

**Subordinate Responsibility:** Section Chiefs and Employees

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### Policy

*Note: For the purpose of this policy, the term “license” is synonymous with certification, registration, or any other title used by an issuing entity.*

Several positions within Division of Marine Fisheries require specific licenses. To qualify for some positions, the person must already hold the license. It is difficult to determine or project what licenses may be necessary as division needs, responsibilities, and job requirements change over time. The purpose of this policy is to provide guidance to ensure consistency as to when the division is responsible for paying the license fee and when it is the responsibility of the employee. Depending on the situation and need, division management will determine what is best for the division and will make every effort to apply standards uniformly, but recognizes final decisions and application of policy may vary.

### Qualification for Position:

Positions with required licenses, whether requirements are identified by state or division specifications for the position, are to be advertised with information stating the license is a minimum requirement for position qualification. Persons qualifying for the position by holding the license are required to maintain that license at their own expense throughout their tenure in the position (i.e., law enforcement certification, commercial driver’s license for heavy equipment operator positions, vessel captain license, etc.) Some positions requiring certain licenses are difficult to recruit; these positions may be recruited with an indication that the person hired into the position must obtain the required license within a set time frame and may be designated as a trainee until that requirement is fulfilled. State employment policy will guide these designations. If allowed, the hiring manager, section chief and division management will determine and approve if this designation is necessary. If granted, the supervisor and section chief are to ensure the license is acquired within a specified time period and, if not, appropriate action is taken due to lack of compliance with the minimum position qualification. For these positions, it is the employee’s responsibility to pay for the license.



Continuing education requirements to maintain licenses may be paid by the division as determined by the supervisor, division management and available budget resources, but initial fees, annual fees, renewal costs, etc. are to be paid by the employee.

Requirement After Employment:

If it is determined during an employee’s tenure that a license is necessary, thus changing the minimum qualifications or requirements for the position, the division may incur the cost for training and initial cost to acquire the license, but maintaining the license is the employee’s responsibility.

Licenses for Efficient Operation:

Some licenses are beneficial and necessary for efficient and effective division operation, but are not a minimum qualification or requirement for the position. These employees volunteer or are nominated to obtain these licenses. A few examples are CPR and first aid instructors, some notaries, some dive qualifications, fork-lift operation trainer, etc. For these licenses, the division is to pay for the training, materials, and maintenance of the license. Individuals holding these licenses paid by the division are to provide assistance in any division operation requiring their skill, knowledge, and abilities gained from these licenses, as determined to be needed by division management.

Secondary Employment:

Employees using licenses for personal gain through secondary employment are responsible for obtaining and maintaining the license and paying all fees at their own expense.

**Implementation**

<b>Title of Responsible Person</b>	<b>Action</b>
Supervisors/Hiring Manager	<p>Identify positions requiring a license as a minimum requirement for qualification for a position and identify the required licenses.</p> <p>Recruit for the position and recommend hiring applicants possessing the license.</p> <p>For positions that are difficult to recruit, consult with Human Resources Office for options such as requiring the employee to be hired as a trainee. If trainee designation is allowed and approved, ensure the person obtains the license in a specified time period, and develop processes to implement if the employee fails to obtain the license.</p>



Title of Responsible Person	Action
Human Resources Office	<p>For vacancies with required licenses, ensure job posting announcement indicates requirement in the Knowledge, Skills, and Abilities section.</p> <p>Ensure only applicants with required license as minimum requirements screen as qualified.</p> <p>Guide hiring managers/supervisors for people hired into trainee positions and processes to implement if there is failure to meet minimum license requirements.</p>
Division Management	Approve exemptions, if allowed by state policy, from this policy when it is in the best interest of the division.
Licensed Employees	Obtain, maintain, and pay for licenses required for division employment and operations in accordance with this policy.
Section Chiefs	Ensure supervisors/hiring managers and employees comply with the requirements of this policy.

**Effective Date**

Versions	Revisions
July 21, 2015	Effective date