Chapter 383-07 WAC
TEAMWORK INCENTIVE PROGRAM

WAC

383-07-010 Purpose.
383-07-020 Definitions.
383-07-030 Functions of the board.
383-07-040 Duties of productivity board staff.
383-07-045 Responsibilities of agency management.
383-07-050 Responsibilities of the TIP liaison.
383-07-060 Employee responsibilities.
383-07-070 Application procedures.
383-07-080 Application format—For applications submitted prior to the project period.
383-07-085 Application format—For applications submitted after the project period.
383-07-090 Approval or denial of the application.
383-07-100 Reports to the productivity board.
383-07-115 Evaluation of savings.
383-07-120 Distribution of awards.
383-07-125 Payment award scale.
383-07-130 Award authorization and payment procedures.

DISPOSITION OF SECTIONS FORMERLY CODIFIED IN THIS CHAPTER

383-07-110 Criteria for evaluation of savings. [Statutory Authority: Chapter 41.60 RCW. WSR 88-15-033 (Order 88-1), § 383-07-110, filed 7/14/88.] Repealed by WSR 89-19-006, filed 9/7/89, effective 10/8/89. Statutory Authority: Chapter 41.60 RCW.

WAC 383-07-010 Purpose. The purpose of this chapter is to provide rules for the development and administration of the teamwork incentive program (TIP) administered by the productivity board under the authority of chapter 41.60 RCW.

[Statutory Authority: Chapter 41.60 RCW. WSR 88-15-033 (Order 88-1), § 383-07-010, filed 7/14/88.]

WAC 383-07-020 Definitions. As used in this chapter, these definitions refer only to the teamwork incentive program unless the context requires otherwise:

(1) "Board" means productivity board.

(2) "Program manager" is the executive manager of the productivity board and serves as staff to the productivity board.

(3) "Program" means teamwork incentive program developed by the productivity board under chapter 41.60 RCW, and is frequently abbreviated as TIP.

(4) "The act" referred to in this chapter is chapter 41.60 RCW.

(5) "Agency" includes every subdivision of state government eligible to participate under chapter 41.60 RCW, including all merit system agencies and institutions of higher education.

(6) "Team" means a subdivision with a common mission within or between agencies.

(7) "Agency head" means the appointed or elected chief executive of the agency.

(8) "Supervisor" means the person responsible for unit operations in accordance with WAC 356-05-400 or 251-01-395. (Merit system rules and higher education personnel board rules defining supervisor.)

(9) "Liaison" means the individual who is the key contact from an agency to the productivity board.

(10) "Award" means the percentage of savings allowed by chapter 41.60 RCW and WAC 383-07-125.

(11) "Cost savings" means actual net savings and/or revenue generated to the state. Gains to state funds may be reflected in higher receipts or revenue recoveries as a result of improved methods used by the team.

(12) "Outcome" refers to the accomplishments or results achieved by the team.

(13) "Project period" means the team project period during which performance and fiscal measures are monitored.

[Statutory Authority: Chapter 41.60 RCW. WSR 99-24-092, § 383-07-020, filed 11/30/99, effective 1/1/00; WSR 92-09-048, § 383-07-020, filed 4/10/92, effective 5/11/92; WSR 88-15-033 (Order 88-1), § 383-07-020, filed 7/14/88.]

WAC 383-07-030 Functions of the board. The responsibilities of the board shall include:

(1) Promotion and marketing of the program to agency heads and the legislature;

(2) Establishment of policies under which the program shall be promoted and administered, including guidelines cited in WAC 383-07-045, 383-07-050, and 383-07-060 concerning the responsibilities of agency management, TIP liaisons and agency employees;

(3) Adoption of rules and regulations necessary for the administration of this act;

(4) Final determination in approving team participation in the teamwork incentive program;

(5) Final approval of any amount awarded to an eligible team;

(6) Submission of reports required by chapter 41.60 RCW.

[Statutory Authority: Chapter 41.60 RCW. WSR 99-24-092, § 383-07-030, filed 11/30/99, effective 1/1/00; WSR 92-09-048, § 383-07-030, filed 4/10/92, effective 5/11/92; WSR 88-15-033 (Order 88-1), § 383-07-030, filed 7/14/88.]

WAC 383-07-040 Duties of productivity board staff. (1) The program manager shall report to the board and be responsible and accountable to the board for the administration of the program, and shall:

(a) Attend meetings of the board and ensure a record of its actions regarding the program is maintained.

(b) Propose policies, rules, and regulations appropriate for the administration of the program.

(c) Establish and maintain records and procedures necessary for the administration and maintenance of the program.

(2) Productivity board staff shall:

(a) Interact with agency managers regarding team participation and facilitate understanding and involvement in the program.

(b) Review applications and reports submitted by teams to ensure compliance with chapter 41.60 RCW and to recommend necessary changes.

(c) Interface with agency TIP liaisons and/or other agency personnel about the program.

[Statutory Authority: Chapter 41.60 RCW. WSR 99-24-092, § 383-07-040, filed 11/30/99, effective 1/1/00; WSR 92-09-048, § 383-07-040, filed 4/10/92, effective 5/11/92; WSR 88-15-033 (Order 88-1), § 383-07-040, filed 7/14/88.]

WAC 383-07-045 Responsibilities of agency management. Under the following guidelines, agency management shall be responsible for facilitating agency involvement at all stages of the teamwork incentive program, including the following:

(1) Promotion and administration of the TIP program within the agency, offering assistance in the completion of team applications, including documentation of approval and denial of applications;

(2) Providing support throughout team participation in the TIP project through encouragement, records management and training assistance, and facilitating cooperation between shifts, other teams, other divisions, etc.;

(3) Review of team application, mid-point and final TIP reports, verifying sustained or improved performance and quality measures, and fiscal impact;

(4) Review, approve, and verify savings identified in the team's report for a TIP award for a team that has already implemented their improvements. Teams that have already implemented their project improvements are eligible to receive a TIP award if the agency head nominates the team for a TIP award within one year of implementation of the team project. The agency head shall also support the percentage of the actual net savings and/or net revenue generated to the state that the team is entitled to receive. The TIP award cannot exceed the percentage and maximum award amount permitted in WAC 383-07-125.

(5) Cooperation and assistance in recognizing TIP teams for their efforts and achievements, including timely payment of awards.

(6) Ensurance that gains obtained during the TIP project period are sustained.

The agency head shall appoint an individual as TIP liaison to coordinate agency TIP activities with the productivity board.

[Statutory Authority: Chapter 41.60 RCW. WSR 99-24-092, § 383-07-045, filed 11/30/99, effective 1/1/00; WSR 92-09-048, § 383-07-045, filed 4/10/92, effective 5/11/92; WSR 88-15-033 (Order 88-1), § 383-07-045, filed 7/14/88.]

WAC 383-07-050 Responsibilities of the TIP liaison. The TIP liaison, under these guidelines, serves as the primary link between the board and the agency, and is responsible and accountable to agency management. The TIP liaison shall:

(1) Coordinate the TIP program within the agency and act as an individual liaison between the agency and the board.

(2) Oversee the completion and submission of all TIP applications, working within agency chain of command and with productivity board staff. Ensure that all applications meet the criteria established by RCW 41.60.100, WAC 383-07-070 and 383-07-080. Ensure an executive summary for board meeting packets is prepared and submitted with the TIP application.

(3) Monitor on-going TIP activities within the agency, reviewing all reports for completeness and accuracy and transmit reports to productivity board staff in a timely manner.

(4) Represent the agency on TIP-related issues at board meetings. Attend regularly scheduled board meetings when the agenda includes TIP projects or issues relevant to the agency.

(5) Promote and market the program within the agency through on-site presentations, written communications, facilitation of meetings and other effective means to acquaint employees and supervisors with the purpose and benefits of the program. Coordinate recognition of teams receiving a TIP award.

(6) Ensure that award authorizations are processed, and that payments are made to individuals in a timely manner.

(7) Identify and encourage use of internal resources, such as training staff and management analysts, to assist teams participating in TIP.

(8) Identify and encourage use of other resources inside and outside state government.

(9) Coordinate with agency management and the board for recognition of groups completing the project period.

[Statutory Authority: Chapter 41.60 RCW. WSR 99-24-092, § 383-07-050, filed 11/30/99, effective 1/1/00; WSR 92-09-048, § 383-07-050, filed 4/10/92, effective 5/11/92; WSR 89-19-006, § 383-07-050, filed 9/7/89, effective 10/8/89; WSR 88-15-033 (Order 88-1), § 383-07-050, filed 7/14/88.]

WAC 383-07-060 Employee responsibilities. Employees within a unit(s) form a team under these guidelines. As team members, individuals should:

(1) Understand the mission of the team and be aware of performance goals and fiscal targets identified as a baseline in the TIP application.

(2) Identify areas which the team should address as a means to improve performance outcomes.

(3) Share ideas with other team members and build upon ideas shared by others.

(4) Propose efficiencies and develop action plans designed to achieve and maintain ongoing productivity gains.

(5) Submit action plans to management as needed to implement proposals.

(6) Implement changes and evaluate their effectiveness.

[Statutory Authority: Chapter 41.60 RCW. WSR 99-24-092, § 383-07-060, filed 11/30/99, effective 1/1/00; WSR 92-09-048, § 383-07-060, filed 4/10/92, effective 5/11/92; WSR 89-19-006, § 383-07-060, filed 9/7/89, effective 10/8/89; WSR 88-15-033 (Order 88-1), § 383-07-060, filed 7/14/88.]

WAC 383-07-070 Application procedures. Teams interested in being considered for participation in the teamwork incentive program shall complete a TIP application form.

(1) Application forms shall be available from the productivity board office or the TIP liaison within the agency.

(2) Applications which are approved by the agency shall be submitted by the TIP liaison to productivity board staff.

(3) Applications should be submitted prior to the beginning of the project period to approve a team's participation in the teamwork incentive program.

(4) An agency head may nominate a team for their outstanding achievements for a TIP award after a team has implemented their project improvements. The agency shall submit the report to the productivity board nominating the team for an award and identifying the performance measures used to determine actual savings and/or revenue within one year of implementation of the team project. The productivity board shall make the final award determination.

(5) Applications presented to the board for action shall contain authorizing signatures and outcome and fiscal information.

(6) A team participating in the program for two or more consecutive times may choose to compare its costs or revenues during the current period of participation with its costs or revenues during for the immediately preceding period or an average of its costs or revenues for the preceding two or three comparable spans of time in the program. Teams completing a TIP project period may reapply by the submission of an abbreviated application, including authorizing signatures, time frames and either a confirmation of the previous results and/or revised performance measures as the baseline to be used.

[Statutory Authority: Chapter 41.60 RCW. WSR 99-24-092, § 383-07-070, filed 11/30/99, effective 1/1/00; WSR 92-09-048, § 383-07-070, filed 4/10/92, effective 5/11/92; WSR 88-15-033 (Order 88-1), § 383-07-070, filed 7/14/88.]

WAC 383-07-080 Application format—For applications submitted prior to the project period. For applications to be considered by the board, teams interested in participating in the teamwork incentive program must meet these eligibility criteria:

(1) An identification of the baseline against which savings shall be evaluated at the end of the project period. Teams shall demonstrate to the satisfaction of the board that it has operated during the period of participation at a lower cost or with an increase in revenue with no decrease in the level of services rendered.

(2) The application must also include the following:

(a) A general description of the team and its mission;

(b) Performance measures which quantify the workflow and outcome measures of the team;

(c) Fiscal information pertinent to outcomes;

(d) A list of participating personnel and their Social Security numbers to be used for payment purposes, with special notation of those working less than full time;

(e) A statement of how the team expects to achieve gains; and

(f) Signatures of agency management authorizing the team's participation in the TIP project, including:

(i) The head of the agency in which the team is located or his/her designee. The agency head may choose to waive the requirement of having other authorizing agency signatures referenced in (f)(ii) through (iv) of this subsection;

(ii) The supervisor/manager of the participating team;

(iii) The appropriate fiscal/budget officer of the agency; and

(iv) Other signatures specified by the agency, such as the personnel manager and division directors.

[Statutory Authority: Chapter 41.60 RCW. WSR 99-24-092, § 383-07-080, filed 11/30/99, effective 1/1/00; WSR 92-09-048, § 383-07-080, filed 4/10/92, effective 5/11/92; WSR 89-19-006, § 383-07-080, filed 9/7/89, effective 10/8/89; WSR 88-15-033 (Order 88-1), § 383-07-080, filed 7/14/88.]

WAC 383-07-085 Application format—For applications submitted after the project period. For applications to be considered by the board for teams that have already implemented their project improvements, teams interested in receiving a TIP award must meet these eligibility criteria:

(1) The report shall be submitted to the productivity board within one year of full implementation of the team's project.

(2) The report must be submitted to the productivity board by the agency with the agency head's approval. The agency head's approval shall be required for the team to be eligible for a TIP award.

(3) An identification of the baseline, against which savings were evaluated at the end of the project period. Teams shall demonstrate to the satisfaction of the board that the team operated at a lower cost or with an increase in revenue with no decrease in the level of services rendered.

(4) The report must also include the following:

(a) A general description of the team and its mission and when the team project was implemented;

(b) Performance measures which quantify the workflow and outcome measures of the team;

(c) The actual net savings and/or revenue derived from the team project and calculations showing how the figures were derived;

(d) Fiscal information pertinent to outcomes;

(e) A list of participating personnel and their Social Security numbers to be used for payment purposes, with special notation of those working less than full time; and

(f) Signatures of agency management authorizing the team's participation in the TIP project, including:

(i) The head of the agency in which the team is located or his or her designee. The agency head may choose to waive the requirement of having other authorizing agency signatures referenced in (f)(ii) through (iv) of this subsection;

(ii) The supervisor/manager of the participating team;

(iii) The appropriate fiscal/budget officer of the agency; and

(iv) Other signatures specified by the agency, such as the personnel manager and division directors.

(5) The report includes final report information, and therefore, shall serve as the only report needed to receive a TIP award. The board shall make the final determination whether to approve the TIP award based on the information provided in the report.

[Statutory Authority: Chapter 41.60 RCW. WSR 99-24-092, § 383-07-085, filed 11/30/99, effective 1/1/00.]

WAC 383-07-090 Approval or denial of the application. Upon receipt of the official application, productivity board staff shall:

(1) Review the application for completeness and accuracy, coordinating with the agency TIP liaison on any points needing clarification.

(2) Schedule the application for board action at the next appropriate meeting.

(3) Prepare an executive summary for applications submitted prior to implementing the team project improvements about the team, its performance measures and its TIP goals to be sent to board members prior to scheduled action.

(4) Prepare an executive summary, if needed, for applications submitted after implementing the team project improvements about the team, its accomplishments, its performance measures including actual net savings and/or net revenue, and the award information to be sent to board members prior to scheduled action.

(5) Make a recommendation to board members concerning the application, based on whether the application is reasonable and practical.

(6) Communicate with the TIP liaison and interested others about dates for the anticipated board action on the application, the mid-point report and the anticipated final review and approval of any team award.

The board may approve or deny an application based upon whether the proposal is deemed reasonable, practical and includes program indicators which lend themselves to a judgment of success or failure.

The board shall make the final determination whether to approve TIP awards for teams that have already implemented their project improvements based on the information provided in the report(s).

[Statutory Authority: Chapter 41.60 RCW. WSR 99-24-092, § 383-07-090, filed 11/30/99, effective 1/1/00; WSR 92-09-048, § 383-07-090, filed 4/10/92, effective 5/11/92; WSR 89-19-006, § 383-07-090, filed 9/7/89, effective 10/8/89; WSR 88-15-033 (Order 88-1), § 383-07-090, filed 7/14/88.]

WAC 383-07-100 Reports to the productivity board. Each team accepted to participate in the program prior to implementation of their project shall submit a mid-point report to the board through the agency's TIP liaison.

(1) The mid-point report shall be submitted to the board in accordance with a schedule arranged by the program manager and shall contain, as a minimum, the following information:

(a) An update on team accomplishments relative to TIP performance measures;

(b) An update on personnel changes; and

(c) An indication of quality of outcomes.

(2) Final reports shall be submitted to the board within three months following the TIP completion date and shall include, as a minimum, the following information:

(a) Project period accomplishments relative to TIP performance measures as compared to TIP baseline measures, expressed in both quantitative and qualitative terms, including the total net savings, the team award and the amount of a full award share;

(b) A list of personnel eligible to receive full award shares;

(c) A list of personnel eligible to receive partial award shares, based on the fraction of the project period each has worked for the team;

(d) A statement of quality of services written by agency management; and

(e) Specific information requested by the program manager on behalf of the board.

(3) In its final report, the team shall submit documentation which quantifies performance measures, fiscal measures, and outcome measures for the TIP project period. Acceptable documentation may include, but is not limited to:

(a) Fiscal documents, such as budgets and accounting reports;

(b) Agency management reports quantifying outcomes;

(c) Reports from other state agencies or federal agencies;

(d) Reports made to other agencies or governmental units;

(e) Personnel reports quantifying overtime hours; and

(f) Other reports relevant to TIP performance outcomes and operational costs.

(4) The program manager may extend due dates for reports.

[Statutory Authority: Chapter 41.60 RCW. WSR 99-24-092, § 383-07-100, filed 11/30/99, effective 1/1/00; WSR 92-09-048, § 383-07-100, filed 4/10/92, effective 5/11/92; WSR 89-19-006, § 383-07-100, filed 9/7/89, effective 10/8/89; WSR 88-15-033 (Order 88-1), § 383-07-100, filed 7/14/88.]

WAC 383-07-115 Evaluation of savings. Teams must demonstrate cost efficient operations during the TIP project period through lower costs, improved productivity, and/or higher level of receipts with no decrease in level of service. Legitimate cost efficiencies are actual cost savings or gains to the state and may be achieved in one or more of the following ways:

(1) Net cost reductions, when spending levels decrease;

(2) Revenue recoveries, when more moneys owed to the state are collected as a result of enhanced operations leading to higher yield of receipts; or

(3) Other means considered by the board to represent true costs savings or enhanced generation of revenue.

[Statutory Authority: Chapter 41.60 RCW. WSR 99-24-092, § 383-07-115, filed 11/30/99, effective 1/1/00; WSR 92-09-048, § 383-07-115, filed 4/10/92, effective 5/11/92.]

WAC 383-07-120 Distribution of awards. Awards shall be distributed to employees and supervisors of the team identified as team members in the final report as follows:

(1) If the board determines in its judgment that a team qualifies for an award, the board shall authorize payment of the award to the team a percentage of net savings as negotiated between the team and agency management. The percentage of actual net savings and/or revenue generated shall not exceed twenty-five percent of the total net savings and/or revenue to be shared among team members.

(2) The team award shall be divided and distributed in equal shares to members of the team, except those who have worked within the team for less than the TIP project period or less than full time during the project period shall receive a pro rata share based upon the fraction of the TIP project period worked.

(3) No individual share of the team award shall exceed ten thousand dollars per person, which is the maximum award allowed in RCW 41.60.041(2) and WAC 383-07-125(2).

(4) Funds for paying awards shall be drawn from the agency in which the team is located. Awards for generating increased revenue to a state fund or account may be paid from the benefitted fund or account. Awards may be paid to teams for process changes which generate new or additional money for the general fund or any other funds of the state. The director of the office of financial management shall distribute moneys appropriated for this purpose with the concurrence of the productivity board. Transfers shall be made from other funds of the state to the general fund in amounts equal to award payments made by the general fund, for innovations generating new or additional money for those funds. Awards may only be given for savings derived and/or revenue generated for the state.

(5) Teams not demonstrating cost efficiencies may receive special recognition of merit in the form and manner determined by the board.

[Statutory Authority: Chapter 41.60 RCW. WSR 99-24-092, § 383-07-120, filed 11/30/99, effective 1/1/00; WSR 92-09-048, § 383-07-120, filed 4/10/92, effective 5/11/92; WSR 89-19-006, § 383-07-120, filed 9/7/89, effective 10/8/89; WSR 88-15-033 (Order 88-1), § 383-07-120, filed 7/14/88.]

WAC 383-07-125 Payment award scale. The following payment award scale shall be developed by the productivity board. TIP awards shall be based on the following:

(1) Team awards are based on a percentage of the savings and/or revenue determined by the team and agency management during the application process. The total team award shall not exceed twenty-five percent of the actual net savings and/or net revenue generated to the state for the TIP project period. The team award shall be divided among the team members.

(2) No award may be granted in excess of ten thousand dollars.

(3) No cash awards shall be given for team projects that do not produce actual cost savings or generate revenue to the state.

[Statutory Authority: Chapter 41.60 RCW. WSR 99-24-092, § 383-07-125, filed 11/30/99, effective 1/1/00.]

WAC 383-07-130 Award authorization and payment procedures. Following approval of a teamwork incentive award by the productivity board, the program manager shall submit a notice to the agency authorizing payment of awards in accordance with RCW 41.60.120 and WAC 383-07-125.

(1) The award authorization notice shall include:

(a) The total amount of savings and/or revenue;

(b) The team award based upon the percentage specified by WAC 383-07-125; and

(c) A list of employees and the amount of each individual's award share.

(2) The award authorization notice shall be sent to the agency's TIP liaison for processing payments of awards and fees. A copy of the authorization shall be forwarded to the team supervisor.

(3) The award authorization notice shall be sent as soon as possible following board action.

(4) The agency shall arrange for payment of awards in a timely manner.

[Statutory Authority: Chapter 41.60 RCW. WSR 99-24-092, § 383-07-130, filed 11/30/99, effective 1/1/00; WSR 92-09-048, § 383-07-130, filed 4/10/92, effective 5/11/92; WSR 89-19-006, § 383-07-130, filed 9/7/89, effective 10/8/89; WSR 88-15-033 (Order 88-1), § 383-07-130, filed 7/14/88.]