

Title 383 WAC

PRODUCTIVITY BOARD

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Chapter 383-06 WAC

GUIDELINES FOR THE EMPLOYEE SUGGESTION PROGRAM

WAC

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DISPOSITION OF SECTIONS FORMERLY CODIFIED IN THIS CHAPTER

- 383-06-050 Responsibilities of agency coordinators. [Statutory Authority: Chapter 41.60 RCW. 86-04-039 (Order 85-1), § 383-06-050, filed 1/30/86; 83-15-063 (Order 831), § 383-06-050, filed 7/20/83.] Repealed by 99-24-093, filed 11/30/99, effective 1/1/00. Statutory Authority: Chapter 41.60 RCW.
- 383-06-060 Responsibilities of agency evaluators. [Statutory Authority: Chapter 41.60 RCW. 86-04-039 (Order 85-1), § 383-06-060, filed 1/30/86; 83-15-063 (Order 831), § 383-06-060, filed 7/20/83.] Repealed by 99-24-093, filed 11/30/99, effective 1/1/00. Statutory Authority: Chapter 41.60 RCW.
- 383-06-110 Eligibility for cash awards. [Statutory Authority: Chapter 41.60 RCW. 86-04-039 (Order 85-1), § 383-06-110, filed 1/30/86; 83-15-063 (Order 831), § 383-06-110, filed 7/20/83.] Repealed by 99-24-093, filed 11/30/99, effective 1/1/00. Statutory Authority: Chapter 41.60 RCW.

WAC 383-06-010 Purpose. The purpose of this chapter is to provide guidelines for the statewide employee suggestion program developed and administered by the productiv-

ity board and the agency unique suggestion program administered by the board's designee under the authority of chapter 41.60 RCW.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-010, filed 11/30/99, effective 1/1/00; 86-04-039 (Order 85-1), § 383-06-010, filed 1/30/86; 83-15-063 (Order 831), § 383-06-010, filed 7/20/83.]

WAC 383-06-020 Definitions. As used in these rules, these definitions refer only to the employee suggestion program(s) unless the context requires otherwise:

- (1) "Board" means the productivity board.
- (2) "Program" means the employee suggestion "brainstorm" program(s) developed by the board under RCW 41.60.020.
- (3) "Statewide employee suggestion program" means an employee suggestion program administered by the productivity board.
- (4) "Agency unique suggestion program" means an employee suggestion program designed and administered by an agency head with delegated authority.
- (5) "Delegated authority" means authority delegated to an agency head by the board to design and implement an agency unique program for the agency.
- (6) "Board designee" means an agency head with delegated authority from the board.
- (7) "The act" referred to in these rules is chapter 41.60 RCW.
- (8) "Employee" means:
 - (a) For purposes of participation in the program, any present employees in state agencies and institutions of higher education except for:
 - (i) Elected officials;
 - (ii) Agency heads and their confidential secretaries and administrative assistants; and
 - (iii) Productivity board members and staff;
 - (b) For purposes of eligibility to receive monetary awards through the program excludes any employee made ineligible by WAC 383-06-080.
- (9) "Suggestion" is a unique, useful or workable, constructive proposal offering a specific change or form of improvement which contributes to state efficiency, service, safety, economy or employee well-being.
- (10) "Agency" includes every subdivision of government which is eligible to participate under chapter 41.60 RCW, including institutions of higher education and merit system agencies.
- (11) "Multi-agency suggestion" meets the criteria for a suggestion, as defined in WAC 383-06-100, and requires evaluation by two or more agencies.
- (12) "Award" means monetary or nonmonetary recognition.

(13) Agency "head" includes the chief executive, whether appointed or elected, of each state agency or institution of higher education.

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

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-020, filed 11/30/99, effective 1/1/00; 86-04-039 (Order 85-1), § 383-06-020, filed 1/30/86; 83-15-063 (Order 831), § 383-06-020, filed 7/20/83.]

WAC 383-06-030 Functions of the board—Statewide employee suggestion program. The responsibilities of the board shall include:

(1) Providing information about the program to agency heads and the legislature.

(2) Establishing policies under which the program shall be promoted and administered, including criteria for suggestion acceptability for evaluation and the granting of awards.

(3) Adopting rules and regulations necessary for the administration of the act.

(4) Making the final determination whether an award should be made and the nature and extent of any award or recognition given.

(5) Hearing of appeals pursuant to WAC 383-06-140.

(6) Meeting upon the call of the chairman or a majority of the board at least four times per year. Four voting members shall constitute a quorum. Ex officio members may not vote.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-030, filed 11/30/99, effective 1/1/00; 86-04-039 (Order 85-1), § 383-06-030, filed 1/30/86; 83-15-063 (Order 831), § 383-06-030, filed 7/20/83.]

WAC 383-06-031 Functions of the board—Agency unique suggestion program. The responsibilities of the board shall include:

(1) Reviewing agency proposals that request delegated authority to administer an agency unique suggestion program. The board shall make the determination whether to accept or reject an agency proposal to administer an agency program based on current board criteria.

(2) Establishing rules, regulations, and reviewing policies under which the agency unique suggestion program shall be administered, including criteria for suggestion acceptability for evaluation and the granting of awards.

(3) Handling hearings of appeals pursuant to WAC 383-06-141, when requested by the agency or suggester(s).

(4) Reviewing agency reports submitted to the board. The board shall make the final determination whether to recertify agency unique programs contingent upon the findings in the report, and on additional information available to the board.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-031, filed 11/30/99, effective 1/1/00.]

WAC 383-06-040 Duties of productivity board staff.

(1) The program manager shall be responsible and accountable to the board for the administration of the program, and shall:

(a) Attend all meetings of the board and ensure an official record of its actions.

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

(2) Productivity board staff shall:

(a) Report to agencies about implemented suggestions, indicating those requiring a post audit.

(b) Establish and maintain records showing the use and effectiveness of the system, including the participation rate and results of involved agencies.

(c) Support agencies regarding program promotion and participation through such things as training, technical assistance, etc.

(d) Perform other duties as required by the board.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-040, filed 11/30/99, effective 1/1/00; 86-04-039 (Order 85-1), § 383-06-040, filed 1/30/86; 83-15-063 (Order 831), § 383-06-040, filed 7/20/83.]

WAC 383-06-045 Responsibilities of agency—Statewide employee suggestion program. (1) Each agency head or his/her designee shall appoint an individual(s) to act as liaison between the agency and the productivity board.

(2) Encourage all levels of management to support the program.

(3) Promote the program and distribute forms throughout the agency.

(4) Assign an individual(s) to evaluate a suggestion recommending adoption, partial or modified adoption, or rejection of the suggestion. Facilitate evaluation of all suggestions referred by the productivity board office within forty-five days unless special circumstances exist that prohibit completion within the specified time frame. In this instance, the agency is required to notify the suggester(s) and the productivity board of the status of the suggestion and provide the suggester(s) and the productivity board with a new timeline.

(5) Maintain documentation of all agency evaluations and implementation plans.

(6) Notify the suggester(s) of the agency recommendation. Submit copies of the evaluation via hard copy, fax or on-line to the suggester and board.

(7) Make the final decision to implement a suggestion.

(8) Ensure that new employees receive orientation about the program.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-045, filed 11/30/99, effective 1/1/00; 86-04-039 (Order 85-1), § 383-06-045, filed 1/30/86.]

WAC 383-06-046 Responsibilities of agency—Agency unique suggestion program. (1) Each agency head or his/her designee shall appoint an individual(s) to coordinate the agency unique suggestion program and act as liaison between the agency and the board.

(2) Encourage all levels of management to support the program.

(3) Promote the program and distribute forms throughout the agency.

(4) Assign an individual(s) to evaluate a suggestion recommending adoption, partial adoption, or rejection of the suggestion. Facilitate evaluation of all suggestions within forty-five days unless special circumstances exist that prohibit completion within the specified time frame. In this instance, the agency is required to notify the suggester(s) of

the status of the suggestion and provide the suggester(s) with a new timeline.

(5) Maintain documentation of all agency evaluations and implementation plans.

(6) Develop a documented program with published criteria and communicate the information throughout the agency.

(7) Allow for suggestions submitted by nonagency employees to be evaluated within the agency.

(8) Review internal suggestions and determine whether the suggestion is applicable for another agency. Forward internal suggestions that apply to another agency to the productivity board for dissemination.

(9) Make the final determination on whether an award should be made, except for appeals submitted to the board. Recommend and approve an award based on the payment award scale outlined in WAC 383-06-125 developed by the productivity board.

(10) Facilitate payment and recognition to the suggester for adopted suggestions.

(11) Notify the suggester(s) of the agency recommendation. Submit copies of the evaluation to the suggester.

(12) Notify the suggester(s) in writing of their appeal rights and the length of time they have to submit an appeal as specified in WAC 383-06-141. Inform suggesters of their right to appeal to the board if they believe the result of the internal appeal is unsatisfactory.

(13) When a suggester appeals an agency recommendation, the agency shall send the productivity board a copy of the appeal. If the suggester requests to appeal to the board after the agency evaluates the appeal, the agency shall send a complete copy of the suggestion file to the board.

(14) Provide reports to the board showing agency statistics and any informative information that would benefit the board and agencies. Reports should be submitted to the board annually, or at the board's discretion.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-046, filed 11/30/99, effective 1/1/00.]

WAC 383-06-070 Procedures for processing multi-agency suggestions—Statewide employee suggestion program. Multiple-agency suggestions require evaluation by two or more agencies. Productivity board staff will determine if the suggestion meets the criteria enumerated in WAC 383-06-020(11), following processing according to procedures developed in accordance to WAC 383-06-100. Productivity board staff will coordinate the multi-agency evaluation processing.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-070, filed 11/30/99, effective 1/1/00; 86-04-039 (Order 85-1), § 383-06-070, filed 1/30/86; 83-15-063 (Order 831), § 383-06-070, filed 7/20/83.]

WAC 383-06-071 Procedures for processing multi-agency suggestions—Agency unique suggestion program. Multiple-agency suggestions require evaluation by two or more agencies. The agency will determine if the suggestion meets the criteria enumerated in WAC 383-06-020(11), following processing according to procedures developed in accordance to WAC 383-06-100. An agency may advertise suggestions that are beneficial for other agencies through web sites, newsletters and other methods used for advertising

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by their agency. Agencies shall disseminate all suggestions to the productivity board that need review by another agency(ies). Agencies shall also disseminate suggestions to the productivity board that result in substantial savings or that could be beneficial for other agencies.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-071, filed 11/30/99, effective 1/1/00.]

WAC 383-06-080 Eligibility for participation and monetary awards. (1) Any employee, as defined in WAC 383-06-020(8), may participate in the program.

(2) Employees are ineligible to receive monetary awards through the program for the following categories, except through internal recognition in accordance with RCW 41.60.150. It is up to the agency head to make the determination whether the following categories of suggestions will receive internal recognition:

(a) Suggestions that fall within the suggester's job responsibility. The following circumstances are considered to fall within this category:

(i) Employees whose normal duties involve research and planning, unless unrelated to their routine work assignment;

(ii) The employee has the authority to implement the change;

(iii) The suggestion falls within the suggester's normal assigned job responsibilities;

(iv) The employee has been given the change as a work assignment or the suggested change has been tasked to a team that includes the suggester.

(b) Suggestions submitted after the idea is implemented. Implementation means the time the idea becomes fully operational.

(c) Suggestions wherein the suggester either directly or indirectly has a proprietary interest in the suggestion.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-080, filed 11/30/99, effective 1/1/00; 86-04-039 (Order 85-1), § 383-06-080, filed 1/30/86; 83-15-063 (Order 831), § 383-06-080, filed 7/20/83.]

WAC 383-06-090 Suggestion format—Statewide employee suggestion program. (1) Suggestions shall be submitted via hard copy, fax or on-line:

(a) In a legible manner on the application forms to be provided by the agency or the productivity board office.

(b) To the productivity board at the address/ mailing information indicated on the form: P.O. Box 40244, Mailstop: 40244, Olympia, WA 98504-0244.

(2) Submitted suggestions shall contain:

(a) A specific and concise narrative describing the solution and how it can be accomplished;

(b) A brief and concise narrative describing the present methods, practices or problem;

(c) A cost-benefit-analysis of the anticipated savings that will result from implementing the suggestion, and the method used to determine the calculated savings. If savings are not anticipated then a statement of the improved services or benefits which will accrue from adoption of the suggestion must be included.

(3) Suggesters shall research the suggested proposal to determine whether the proposal is practical.

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(4) Suggestions must also include the suggester's signature or e-mail address, title of position, department and division, and mailing address. Social Security numbers are optional at the time of submittal, but are needed upon adoption for payment purposes.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-090, filed 11/30/99, effective 1/1/00; 86-04-039 (Order 85-1), § 383-06-090, filed 1/30/86; 83-15-063 (Order 831), § 383-06-090, filed 7/20/83.]

WAC 383-06-091 Suggestion format—Agency unique suggestion program. An agency with delegated authority to administer an agency unique suggestion program may develop their own forms and submittal process, and shall share copies of their forms with productivity board staff to ensure the intent is consistent with the statewide employee suggestion program.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-091, filed 11/30/99, effective 1/1/00.]

WAC 383-06-100 Suggestion acceptability. Suggestions considered acceptable are those which improve the efficiency and/or the effectiveness of state government.

(1) This may include, but is not limited to:

- (a) Savings in time or money;
- (b) Generation of revenue;
- (c) Elimination of waste or duplication;
- (d) Improved service or product;
- (e) Energy conservation;
- (f) Improved working conditions.

(2) Suggestions shall be considered in the order of the date by which they are officially received by the productivity board or the agency.

(3) Suggestions may be unacceptable when a remedy exists through other established administrative procedures, such as:

- (a) Personalized complaint affecting suggester only;
- (b) Proposing items in state stock be issued and used for their intended purpose;
- (c) Changing salary, position, classification, employee benefits, state holidays, leave benefits, retirement compensation, or any other compensation to an employee;
- (d) Enforcement of laws, policies, procedures, regulations, rules, etc.;
- (e) Common sense ideas;
- (f) Outside purview of state government.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-100, filed 11/30/99, effective 1/1/00; 86-04-039 (Order 85-1), § 383-06-100, filed 1/30/86; 83-15-063 (Order 831), § 383-06-100, filed 7/20/83.]

WAC 383-06-120 Payment of cash awards—State-wide employee suggestion program. (1) Cash awards shall be based on the payment award scale developed and maintained by the productivity board and outlined in WAC 383-06-125.

(2) Awards for suggestions which will result in actual cost savings shall be recommended by the evaluating agency and the board shall make the final award determination in light of the agency recommendation and the payment award scale after consideration of the savings to be effected.

(3) Suggestions which will result in cost-avoidance, intangible improvements such as benefits in safety, health, welfare, morale, etc., or when savings cannot be calculated shall receive internal recognition from the agency permitted through RCW 41.60.150. The award shall not exceed the amount permitted in RCW 41.60.150. The nature and extent of the award shall be determined by the agency in light of the payment award scale outlined in WAC 383-06-125.

(4) The board may direct incremental payment of any award.

(5) The acceptance of cash awards shall constitute an agreement that the use by the state of Washington of the suggestion for which the award is made shall not form the basis for a further claim of any nature upon the state by the employee or the employee's heirs or assignees. Upon adoption the suggested idea becomes the property of the state of Washington.

(6) When a suggestion is submitted by more than one employee, any resulting award will be shared by the cosuggesters listed on the suggestion form.

(7) Cash awards may not be used for the purpose of computing a retirement allowance under any public retirement system of the state.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-120, filed 11/30/99, effective 1/1/00; 86-04-039 (Order 85-1), § 383-06-120, filed 1/30/86; 83-15-063 (Order 831), § 383-06-120, filed 7/20/83.]

WAC 383-06-121 Payment of cash awards—Agency unique suggestion program. (1) Cash awards shall be based on the payment award scale developed and maintained by the productivity board and outlined in WAC 383-06-125.

(2) Awards for suggestions which will result in actual cost savings shall be determined by the agency after consideration of the savings to be effected in accordance with the payment award scale outlined in WAC 383-06-125.

(3) Suggestions which will result in cost-avoidance, intangible improvements such as benefits in safety, health, welfare, morale, etc., or when savings cannot be calculated shall receive internal recognition from the agency permitted through RCW 41.60.150. The award shall not exceed the amount permitted in RCW 41.60.150. The nature and extent of the award shall be determined by the agency in light of the payment award scale outlined in WAC 383-06-125.

(4) The acceptance of cash awards shall constitute an agreement that the use by the state of Washington of the suggestion for which the award is made shall not form the basis for a further claim of any nature upon the state by the employee or the employee's heirs or assignees. Upon adoption the suggested idea becomes the property of the state of Washington.

(5) When a suggestion is submitted by more than one employee, any resulting award will be shared by the cosuggesters listed on the suggestion form.

(6) Cash awards may not be used for the purpose of computing a retirement allowance under any public retirement system of the state.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-121, filed 11/30/99, effective 1/1/00.]

WAC 383-06-125 Payment award scale. The following payment award scale shall be developed by the productivity board and shall be used by the statewide employee suggestion and agency unique programs when determining awards.

(1) Cash awards for suggestions generating actual savings and/or revenue to the state shall be ten percent of the actual net savings and/or revenue generated. Savings and/or revenue shall be calculated for one full year and should be for the first year of implementation.

(2) Cash awards for suggestion teams shall be up to twenty-five percent of the actual net savings and/or revenue generated to be shared by the team in a manner approved by the agency head. In order for suggestion teams to receive a cash award they must have the approval of the agency head or designee. A suggestion team is a group of individuals involved in the suggestion and the implementation process.

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

(4) All suggestions that result in cost-avoidance, for which benefits to the state are intangible or for which savings cannot be calculated, shall receive recognition. Internal recognition shall be given in accordance with RCW 41.60.150. Internal recognition may be monetary and/or nonmonetary recognition and may not exceed the amount permitted by RCW 41.60.150. The agency may consider additional recognition, such as a certificate of appreciation, a letter thanking the suggester for the idea, recognizing the suggester(s) for the suggestion at an agency event, meeting, etc.

(5) Awards shall be consistent and given in a timely manner.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-125, filed 11/30/99, effective 1/1/00.]

WAC 383-06-130 Recognition of merit. The board may issue nonmonetary recognition of merit in such form and manner as it determines.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-130, filed 11/30/99, effective 1/1/00; 86-04-039 (Order 85-1), § 383-06-130, filed 1/30/86; 83-15-063 (Order 831), § 383-06-130, filed 7/20/83.]

WAC 383-06-140 Appeal/perfection of right to appeal—Statewide employee suggestion program. (1) A suggester, or the suggester's representative, may, by written appeal, request that either a denial of award or the amount of an award be reconsidered. To be valid, the appeal must be received by the board within thirty calendar days of board action. For an appeal to be accepted, new evidence or new information must be supplied. Such appeal must state with specificity the grounds for the appeal and a statement of the relief sought.

(2) Productivity board staff shall make the determination whether an appeal request is accepted or rejected based on the new information or new evidence that is submitted by the suggester. An agency shall reconsider accepted appealed suggestions based upon new information or new evidence provided in the written appeal and report its findings to the productivity board. The board shall reconsider the suggestion in light of new information and/or evidence and evaluations.

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(3) If a rejected suggestion is implemented within two years of board action, the employee may file an appeal based on the suggestion's implementation. Such appeal must be filed within two years of board action.

(4) The board reserves the right to rule on cases which involve extenuating circumstances.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-140, filed 11/30/99, effective 1/1/00; 86-04-039 (Order 85-1), § 383-06-140, filed 1/30/86; 83-15-063 (Order 831), § 383-06-140, filed 7/20/83.]

WAC 383-06-141 Appeal/perfection of right to appeal—Agency unique suggestion program. (1) A suggester, or the suggester's representative, may, by written appeal, request that either a denial of award or the amount of an award be reconsidered. To be valid, the appeal must be received by the agency within thirty calendar days of the agency's formal action of the suggestion. For an appeal to be accepted, new evidence or new information must be supplied. Such appeal must state with specificity the grounds for the appeal and a statement of the relief sought.

(2) If a rejected suggestion is implemented within two years of the agency's formal action of the suggestion, the employee may file an appeal based on the suggestion's implementation. Such appeal must be filed within two years of agency action.

(3) The agency shall direct all appeals to the agency head with a copy to the productivity board.

(4) The agency shall make the determination whether an appeal request is accepted or rejected based on the new information or new evidence that is submitted by the suggester. An agency shall reconsider accepted appealed suggestions based upon the new information and/or evidence provided in the written appeal and report its findings to the suggester.

(5) If the suggester believes the agency appeal process is unsatisfactory the suggester may appeal to the board. An agency head may also request the appeal be turned over to the board if he/she believes an outside party should become involved with the appeal process. The agency shall inform all suggesters of their rights to appeal to the board if they are not satisfied with the agency appeal evaluation. When a suggester or the agency head appeals to the board, complete copies of the suggestion file must be submitted to the board.

(6) The board reserves the right to rule on cases which involve extenuating circumstances.

[Statutory Authority: Chapter 41.60 RCW. 99-24-093, § 383-06-141, filed 11/30/99, effective 1/1/00.]

Chapter 383-07 WAC TEAMWORK INCENTIVE PROGRAM

WAC

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**DISPOSITION OF SECTIONS FORMERLY
CODIFIED IN THIS CHAPTER**

383-07-110	Criteria for evaluation of savings. [Statutory Authority: Chapter 41.60 RCW. 88-15-033 (Order 88-1), § 383-07-110, filed 7/14/88.] Repealed by 89-19-006, filed 9/7/89, effective 10/8/89. Statutory Authority: Chapter 41.60 RCW.
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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. 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. 99-24-092, § 383-07-020, filed 11/30/99, effective 1/1/00; 92-09-048, § 383-07-020, filed 4/10/92, effective 5/11/92; 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. 99-24-092, § 383-07-030, filed 11/30/99, effective 1/1/00; 92-09-048, § 383-07-030, filed 4/10/92, effective 5/11/92; 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. 99-24-092, § 383-07-040, filed 11/30/99, effective 1/1/00; 92-09-048, § 383-07-040, filed 4/10/92, effective 5/11/92; 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. 99-24-092, § 383-07-045, filed 11/30/99, effective 1/1/00; 92-09-048, § 383-07-045, filed 4/10/92, effective 5/11/92; 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. 99-24-092, § 383-07-050, filed 11/30/99, effective 1/1/00; 92-09-048, § 383-07-050, filed 4/10/92, effective 5/11/92; 89-19-006, § 383-07-050, filed 9/7/89, effective 10/8/89; 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. 99-24-092, § 383-07-060, filed 11/30/99, effective 1/1/00; 92-09-048, § 383-07-060, filed 4/10/92, effective 5/11/92; 89-19-006, § 383-07-060, filed 9/7/89, effective 10/8/89; 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. 99-24-092, § 383-07-070, filed 11/30/99, effective 1/1/00; 92-09-048, § 383-07-070, filed 4/10/92, effective 5/11/92; 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. 99-24-092, § 383-07-080, filed 11/30/99, effective 1/1/00; 92-09-048, § 383-07-080, filed 4/10/92, effective 5/11/92; 89-19-006, § 383-07-080, filed 9/7/89, effective 10/8/89; 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. 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. 99-24-092, § 383-07-090, filed 11/30/99, effective 1/1/00; 92-09-048, § 383-07-090, filed 4/10/92, effective 5/11/92; 89-19-006, § 383-07-090, filed 9/7/89, effective 10/8/89; 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. 99-24-092, § 383-07-100, filed 11/30/99, effective 1/1/00; 92-09-048, § 383-07-100, filed 4/10/92, effective 5/11/92; 89-19-006, § 383-07-100, filed 9/7/89, effective 10/8/89; 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

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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. 99-24-092, § 383-07-115, filed 11/30/99, effective 1/1/00; 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. 99-24-092, § 383-07-120, filed 11/30/99, effective 1/1/00; 92-09-048, § 383-07-120, filed 4/10/92, effective 5/11/92; 89-19-006, § 383-07-120, filed 9/7/89, effective 10/8/89; 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. 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. 99-24-092, § 383-07-130, filed 11/30/99, effective 1/1/00; 92-09-048, § 383-07-130, filed 4/10/92, effective 5/11/92; 89-19-006, § 383-07-130, filed 9/7/89, effective 10/8/89; 88-15-033 (Order 88-1), § 383-07-130, filed 7/14/88.]