



Washington State Department of
Enterprise Services

DIRECTOR'S MANUAL

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INTRODUCTION

GENERAL INFORMATION, DESCRIPTIONS & RESOURCES

This manual is intended to be a high level reference guide. It does not include forms and instructions. A different manual, geared towards the agency liaisons, includes an overview of forms with links to instructions and blank forms.

DES PRIMARY CONTACTS

Small Agency Financial Services

Gwen McClanahan
Program Manager
(360) 407-8132

Steve Voigt
Accounts Payable Manager
(360) 407-9467

Laura Lopez
Accounts Payable Supervisor
(360) 407-8119

Ashley Howard
Payroll Manager
(360) 407-8445

Chelly Seymour
Payroll Supervisor
(360) 407-8127

Stacy Brady
Lead Payroll Analyst
(360) 407-8133

Contracts and Purchasing

Becci Riley
Manager
(360) 407-8149

Shannon Hatton
Contracts Assistant
(360) 407-8141

Servando Patlan
Procurement Reform Manager
(360) 407-9390

Risk Management

Lucy Isaki
State Risk Manager
(360) 407-8143

Melynda Campbell
Executive Assistant
(360) 407-8137

Small Agency HR Services

Anita Bingham
Interim Manager
(360) 407-9215

SMALL AGENCY FINANCIAL SERVICES

Small Agency Financial Services provides accounting, budgeting, and payroll services for more than 45 small agencies. Having us provide these services allows agency staff to focus their efforts on achieving the agency's mission, fulfilling the agency's strategic plan, and using its limited resources more efficiently to serve its constituencies.

We provide a wide variety of services to clients including, but not limited to:

Accounting

- Expenditure/Disbursements including vendor payments, employee and commissioner travel, and other state agency payments
- Revenue including invoicing, accounts receivable, and deposits/cash receipts.
- Fixed Asset Accounting
- Bank Statement Reconciliations for Local Accounts
- Financial Reporting
- Archiving of the financial, budgeting, and payroll records in SACS possession.
- Federal Grant Reporting and Disclosure
- Miscellaneous Income (Federal Form 1099) and Excise Tax Reporting

Budgeting

- Biennial & Supplemental Budget Development Assistance
- Fiscal Note Preparation & Coordination Assistance
- Allotment Preparation
- Financial Report Analysis and Monitoring

Personnel & Payroll

- Input information for employees
- Supply information on payroll changes to agencies
- Enter attendance
- Prepare state and federal reports
- Prepare semi-monthly payroll
- Reconcile the payroll funds, retirement and withholding
- Process insurance and benefits information

Contacts and Web Resources

- Web: <http://des.wa.gov/services/HRPayroll/SmallAgency/SmallAgencyFinancialServices/Pages/SAFS.aspx>
- Phone: (360) 407-8183 | Mail Stop: 41465
- Payroll E-mail: DESSACSPayroll@des.wa.gov
- A/P E-mail: SmallAgencyAP@des.wa.gov
- Travel E-mail: SmallAgencyTravel@des.wa.gov

SMALL AGENCY HR SERVICES

Small Agency HR Services provides human resources consultation and technical support to small agencies. They also provide services to clients who have no dedicated HR Manager.

A full line of HR Services

- **Employment** – Provide end-to-end recruitment services including recruitment planning, posting of positions through the new Online Recruiting System (OLRS), assessment and selection activities, job seeker support and appointment letters when candidates are hired.
- **Classification** – Determine position allocations and provide employee notification letters for appointing authority. Provide consultation on the development of position descriptions. Provide desk audits when needed. Assist with WMS and EMS evaluations and banding.
- **Employee Relations** – Provide rules guidance and interpretation for non-represented state employees. In consultation with the Labor Relations Office, assist agencies with guidance for represented employees.
- **Performance Management** – Provide consultation on performance appraisals, performance communication strategies and assist in setting expectations. Consult on corrective and disciplinary actions; assist with documentation, and processing including development of disciplinary letters. Provide tools and checklists.
- **Personnel Policies & Procedures** – Develop standardized policies and procedures to support Small Agencies in meeting its federal and state legal requirements. Review current agency policies for compliance.
- **Human Resources Administration** – Provide personnel forms, letters, organizational charts and assistance/letters for Shared Leave/Family and Medical Leave, reasonable accommodations and workers compensation.
- **Security Administration** – Assist agencies with password issues, and assign passwords to new employees for Employee Self Service (ESS).
- **Workforce Data Analysis** – Provide reports and information such as Affirmative Action roll-ups as needed to assist Small Agencies.
- **Workforce Management Support** – Assist with “just in time” HR projects such as temporary layoffs and hiring freezes and changes that occur in Washington Management Service.
- **Human Resource Related Meetings** - Provide Small Agencies with a HR consultant to discuss current HR topics and keep them informed on HR issues at monthly meetings, or as needed.

In addition, Small Agency HR will:

- Maintain regular contact with Agency to ensure its HR needs are being;
- Assign HR staff to Agency as appropriate;
- The SAS Manager will assist the agency with strategic decisions regarding reorganizations, layoffs, etc;
- The Primary Consultant will confer with agency management to identify and be responsive to service needs;
- Provide Agency with a Washington Management Service (WMS) and Exempt Management Service (EMS) Coordinator to lead the WMS and EMS evaluation process;
- Provide a monthly meeting for Small Agency HR Liaisons to discuss current HR topics and keep the agency informed and updated on HR issues;
- Attend HR related meetings on behalf of the small agencies and report back information from those meetings at the monthly Small Agency Liaison meeting

Small Agency HR program helps small agencies focus on core missions

Small Agency Services benefits small agencies by offering:

- Consultants who are experts in the HR profession.
- Quick and accurate service.
- Knowledge that HR decisions and actions meet legal standards and requirements.
- Assurance that your needs are a top priority.

Contacts and web resources

- Learn more at <http://www.hr.wa.gov/more/SmallAgencyAssistance/>
- Phone: (360) 407-9215 | E-mail: SAA@des.wa.gov | Mail Stop: 41414

AGENCY CONTRACTS, CONSULTING AND OVERSIGHT

The Agency Contracts, Consulting & Oversight (ACCO) team conducts procurements, negotiates and establishes contracts, and manages vendor relationships on single agency-focused contracts. We provide statewide oversight for personal service contracts. Effective January 1, 2013, this oversight transitioned to all sole source contracts.

All procurements and contracts are developed and coordinated through ACCO (including Request for Proposal, Request for Qualifications and Quotations, Request for Quotation, and development of contracts for goods and services purchased from vendors and/or provided to customers). Contracts may include Interagency Agreements, Contracts for Goods and/or Services, Client Service Contracts, and Information Technology equipment, software and services.

The ACCO team:

- Provides consulting for:
 - Statement of work development
 - Risk assessment and mitigation strategies
 - Requirements review
 - Financial scoring models
 - Negotiation strategies and dispute resolution
 - Performance-based contracting analysis, and process or performance resolution
 - Procurement strategies
 - RFX development and coordination
- Reviews and approves sole source contracts for all agencies subject to [RCW 39.26](#)
- Develops and presents agency contract training

Please contact our customer relations representative if you have questions about our services: Shannon Hatton at des.contracting@des.wa.gov, or (360) 407-8141.

OFFICE OF RISK MANAGEMENT

The Office of Risk Management (ORM) administers the Self-Insurance Liability Program. This program investigates, processes, and adjudicates all tort and sundry claims filed against Washington state agencies. ORM also manages risk financing (including commercial insurance), provides loss prevention services, and administers the loss prevention review team program. In addition, it provides oversight of joint self-insured local government property/liability programs and individual or joint self-insured local government employee health and welfare benefit programs.

Our services include:

- [Agency budget risk management](#)
- [Agency enterprise risk management](#)
 - [E-Discovery](#)
 - [Enterprise risk management](#)
 - [Root cause analysis](#)
 - [Best practices](#)
- [State Drive Vehicle Accident/Collision Report](#)
- [State employee incident reporting](#)
 - [Local Government Self-Insurance Program](#)
 - [Health & welfare programs](#)
 - [Joint property & liability programs](#)
 - [Related links](#)
- [Risk finance program](#)
 - [Commercial insurance](#)
 - [Notary bonds](#)
 - [Self-Insurance Liability Programs](#)

SELF INSURANCE LIABILITY PROGRAM

PURPOSE

The purpose of the Washington State Liability Self Insurance Program (SILP) and the Liability Account is to finance the payment of tort claims arising from negligent actions by state agencies, its officers, employees and volunteers.

AUTHORITY

Revised Code of Washington 4.92.130 through 4.92.270

GOAL

To create an actuarially based, funded self-insurance liability program for state agencies dedicated to payment of tort claims and defense costs, to promote agency accountability, comply with proposed government accounting standards, and help reduce future liability costs.

OBJECTIVES

1. Create a dedicated, non-appropriated account to be used solely for payment of tort liability settlements and judgments and defense costs.
2. Establish a financial method for accurately predicting state liabilities and reducing the budget impact of unforeseen costs, based on sound actuarial principles.
3. Establish a cost-allocation system that recognizes each agency's loss experience, balances accountability with stability and promotes loss control.
4. Use interest earned by the account to reduce the overall cost of financing risk. (This objective was deleted by the 1991 Legislature. Interest income now accrues to the General Fund.)
5. Define the types and amount of risk the state can best afford to fund through the liability account and develop plans to commercially insure the balance.
6. Implement a financial reporting system that properly recognizes and records state tort liabilities and provides for prompt payment of funds.

PARTICIPATION

Coverage is provided to the state of Washington, its agencies, governing bodies, boards and commissions, all as now exist or shall exist, including all state employees, elected appointed officials, members of boards or commissions, volunteers and reserve officers, all while acting within the scope of their employment.

Coverage is not provided for the University of Washington in its entirety, employees of the Washington State Ferry System, students at the community colleges, technical colleges, and universities (unless in the capacity of employees or under the guidance and direct supervision of college or university employees), college and university foundations, and foster parents.

New agencies, boards, and commissions are integrated into the fund at the next available budget period, based on actuarial estimates of predicted losses.

COVERAGE

The Liability Account is used to pay tort claim judgments and settlements and defense costs arising from general liability and vehicle accidents for which the state is found to be wholly or partially negligent.

This includes coverage for claims arising from bodily injury or property damage to third parties, vehicle liability, public officials liability, liquor liability, violations of civil rights, sudden and accidental pollution, certain areas of medical malpractice, and marine docks, quays, shoreside facilities, floats, and buoys.

Exposures that do not presently fall within the state's Self-Insurance Program, and will not be paid from the Liability Account include: aviation incidents, employee fidelity, property damage to state owned facilities, foreign liability, intercollegiate athletic activities and state employees covered under worker's compensation, student-sponsored events, student medical malpractice during practicum, marine hull and protection and indemnity exposures relative to vessel operations, and marine hull and protection, and indemnity, docks, quays, shoreside facilities, floats, buoys relative to Department of Transportation Marine Division.

LIMITS OF PAYMENT

The Liability Account provides first-dollar coverage for each claim resulting in a judgment or settlement, up to \$10 million dollars per claim (no deductible) and the full cost of defense.

SUBROGATION

If a payment is made from the Liability Account for which any person or entity other than a state agency is legally responsible, the state will pursue recovery or subrogation of funds from this person or entity.

Funds recovered through subrogation efforts will be deposited in the Liability Account and credited to the agency(ies) involved.

PREMIUM ALLOCATION

The Liability Account is financed through annual premiums determined by the Department of Enterprise Services, Risk Management Division (RMD).

RMD determines the formula for allocating costs to participating state agencies, based on an independent actuarial study of the state's projected liabilities.

Premiums are computed annually for each state agency, board and commission based on the last five years of tort losses. A minimum premium of \$1,000 per fiscal year is charged. An annual actuarial review is conducted to ensure that future premiums reflect changes in total state liability current payout history

Premiums paid into the Liability Account by agencies, boards or commissions whose existence is terminated remain in the account to pay future losses.

PREMIUM BILLINGS

Each participating state agency, board and commission is billed by RMD, at the start of each fiscal year for its premium contribution to the Liability Account.

SUMMARY OF COVERAGE

COVERAGE

The Liability Account is used to pay tort claim judgments and settlements and cost of defense arising from general liability and vehicle accidents for which the state is found to be wholly or partially negligent. Coverage is provided up to \$10 million for each claim with no deductible.

Coverage is provided for claims arising from bodily injury, personal injury, and property damage to a third party, including:

- Bodily injury or property damage to a state employee or a third party
- Vehicle liability
- Public officials liability

- Liquor liability
- Violations of civil rights
- Sudden and accidental pollution
- Certain areas of medical malpractice
- marine docks, quays, shoreside facilities, floats, and buoys, vessels that are a maximum of 26 feet in length and which are human-powered or a maximum of 50 horsepower motors

EXCLUSIONS

Excludes and will not pay claims arising from the following, including self-insurance retentions and deductibles:

- Marine hull and protection and indemnity exposures relative to vessels that are greater than a 26 feet in length and 50 horsepower motors
- Marine hull & protection and indemnity, docks, quays, shoreside facilities, floats, and buoys relative to the Department of Transportation Marine division
- Aircraft and aviation hull and liability exposures
- Employee fidelity
- Damage to state-owned facilities and property
- Foreign liability
- Intercollegiate athletic activities
- Student sponsored events
- Injuries to employees under worker's compensation, US Longshore & Harborworker's or Jones Act
- Student medical malpractice during required practicums under outside hospital supervision
- University of Washington and UW Medical School

CONTACTS AND WEB RESOURCES

- [Lucy Isaki](#), State Risk Manager, at (360) 407-8143.
- [Melynda Campbell](#), Executive Assistant, at (360) 407-8137.
- DES Website - <http://www.des.wa.gov/services/Risk/AboutRM/Pages/default.aspx>

IMPORTANT WEB SITES

Department of Enterprise Services

Small Agency Services

<http://des.wa.gov/services/HRPayroll/SmallAgency/Pages/default.aspx>

Risk Management

<http://des.wa.gov/services/Risk/AboutRM/Pages/agencyBudgetRiskManagement.aspx>

Training

<http://des.wa.gov/services/HRPayroll/Training/Pages/default.aspx>

Contracts and Purchasing

<http://des.wa.gov/services/ContractingPurchasing/Pages/default.aspx>

Office of Financial Management

State Administrative and Accounting Manual (SAAM)

<http://www.ofm.wa.gov/policy/default.asp>

Washington State Budget Process

<http://www.ofm.wa.gov/reports/budgetprocess.pdf>

Administrative and Accounting Resources

<http://www.ofm.wa.gov/resources/default.asp>

Training

<http://www.ofm.wa.gov/accounting/training.asp>

Washington State Legislature

Revised Code of Washington (RCW)

<http://apps.leg.wa.gov/rcw/>

Washington Administrative Code (WAC)

<http://apps.leg.wa.gov/wac/>

Other Service Agencies

Dept. of Corrections

<http://www.doc.wa.gov/>

Dept. of Retirement Systems

<http://www.drs.wa.gov/>

Office of the Secretary of State

<http://www.secstate.wa.gov>

Office of the State Auditor

<http://www.sao.wa.gov/>

Executive Ethics Board

<http://www.ethics.wa.gov/>

Health Care Authority

<http://www.hca.wa.gov>

Office of Administrative Hearings

<http://www.oah.wa.gov/>

Office of the Attorney General

<http://www.atg.wa.gov/>

Other Web Sites

Access Washington – The Official State Government Web Site

<http://www.access.wa.gov>

BUDGET

Due Dates and Process Guides

ACCOUNTING & BUDGET DATES OF INTEREST

CALENDAR YEAR 2013 - <http://www.ofm.wa.gov/budget/dates/default.asp>

January	
14	First day of the 2013 legislative session (Legislative cutoff calendar)
15	December fiscal month accounting close (regular accounting close)
25	Quarterly allotment adjustments due to OFM
31	Performance measure actuals for quarter ending December 31, 2012 to be entered into the Results through Performance Management (RPM) system by agencies
31	Budget outlook adopted
February	
14	January fiscal month accounting close (regular accounting close)
March	
14	Caseload Forecast Council meeting
14	February fiscal month accounting close (regular accounting close)
20	March General Fund-State revenue forecast
April	
early- mid	OFM letter to agencies asking for program structure change requests
12	March fiscal month accounting close (regular accounting close)
25	Quarterly allotment adjustments due to OFM
28	Last day of regular 2013 legislative session
30	Performance measure actuals for quarter ending March 31, 2013 entered into the Results through Performance Management (RPM) system by agencies
May	
early- mid	Due date for agency submittal of program structure change requests
14	April fiscal month accounting close (regular accounting close)
mid- late	OFM 2013-15 allotment instructions published
June	
early	Agency allotment adjustments for 2013 supplemental budget due to OFM
14	May fiscal month accounting close (regular accounting close)
19	June General Fund-State revenue forecast
20	Caseload Forecast Council meeting

July

1	Progress status reports for major capital projects due to OFM and legislative fiscal committees
15	June fiscal month accounting close (regular accounting close)
29	First due date for agency 2013-15 initial allotments
31	Phase 1 CAFR close
31	Performance measure actuals for quarter ending June 30, 2013 entered into the Results through Performance Management (RPM) system by agencies

August

1	Capital facility inventory update from small agencies due to OFM
early and mid	Due dates for agency 2013-15 initial allotments
early-mid	OFM memo to agencies requesting 2014 supplemental budget requests
14	July fiscal month accounting close (regular accounting close)
14	Statutory date when all agency 2013-15 initial allotments must be submitted to OFM
19	Deadline for submitting agency activity inventory changes to OFM

September

1	Capital facility inventory update from large agencies due to OFM
early	Deadline for submitting recast of agency activity inventory for enacted 2013-15 budget to OFM
6	Phase 2 CAFR close
6	Federal assistance disclosure forms due to OFM Accounting
6	State disclosure forms due to OFM Accounting
16	August fiscal month accounting close (regular accounting close)
16	Performance measure targets for 2013-15 to be entered into the Results through Performance Management (RPM) system and submitted to OFM
18	September General Fund-State revenue forecast
mid-late	Due date for agencies' 2014 supplemental budget requests
28	Statutory date for OFM to approve agency initial allotments
late	Agency request legislation packages with no budget impact due to Governor's Executive Policy Office

October

1	Capital facility inventory report due to Legislature
2	Phase 3 CAFR close
early	Agency request legislation with a budget impact due to Governor's Executive Policy Office
14	September fiscal month accounting close (regular accounting close)
25	Quarterly allotment adjustments due to OFM
31	Performance Measure actuals for quarter ending September 30, 2013 to be entered into the Results through Performance Management (RPM) system by agencies

October - November

OFM review/recommendations to the Governor on 2014 supplemental budget

November

- 14 [Caseload Forecast Council meeting](#)
- 15 October fiscal month accounting close (regular accounting close)
- 20 [November General Fund-State revenue forecast](#)

December

- By first week Final budget decisions on Governor's budget proposal
- 13 November fiscal month accounting close (regular accounting close)
- By 24th Governor's 2014 supplemental budget to Legislature
- By 30th Fiscal note procedures updated for 2014 legislative session
- 31 Progress status report for major capital projects due to OFM and legislative fiscal committees

WASHINGTON STATE BUDGET INFORMATION

Washington State Budget Process

<http://www.ofm.wa.gov/reports/budgetprocess.pdf>

Budget Instructions

- Allotments – <http://www.ofm.wa.gov/budget/instructions/allotment.asp>
- Capital – <http://www.ofm.wa.gov/budget/instructions/capital.asp>
- Operating – <http://www.ofm.wa.gov/budget/instructions/operating.asp>
- Forms – <http://www.ofm.wa.gov/budget/forms.asp>

ACCOUNTING

Policies, Processes & Resources

QUICK REFERENCE GUIDE – TRAVEL POLICIES

Agency Internal Policies – Travel, Transportation, and Related Issues

The [SAAM](#) requires agencies to have their own written internal policies and procedures for travel, transportation and related policies. The following are high level summaries:

Travel Management Requirements and Restrictions

- [10.10.10.a.3](#) Agencies are to have written internal policies and procedures to cover the items required in Chapter 10.
- [10.10.10.a.3](#) The agency head must specify in its internal policies and procedures the delegated approval level in the agency’s management structure (authorized designee) for control over travel expenses.
- [10.10.10.a.3](#) Agencies, as part of its positive system of management and control over travel are to periodically review purchases of airline tickets to ensure compliance with state travel regulations and terms of airline contracts.
- [10.10.10.a.3](#) The agency’s internal policies and procedures must also identify the amount of time required for advance approval of meals, coffee, and light refreshments at meetings, conferences, conventions, and training sessions.
- [10.10.10.b](#) Agencies may adopt internal travel policies and reimbursement allowances that are more restrictive than in Chapter 10.
- [10.10.25](#) Agencies are to develop and implement alternatives to travel, as well as less expensive means of travel (list of methods to be included are provided in this section).

Travel Reimbursement Principles

- [10.20.20.3](#) Agencies are to define business telephone calls as part of its positive system of management and control over travel.
- [10.20.20.3](#) Before requiring an employee to pay for service calls caused by negligence, agencies may wish to define negligence of the traveler to apply this rule in a fair manner.
- [10.20.60](#) The agency, as part of its positive system of internal control, is to develop policies and procedures when travelers are reimbursed for expenses by a person or outside entity. Reimbursement should be limited to actual expenses except for subsistence, which may be paid at the allowances contained in Section 10.90.

Meals

- [10.40.20.a](#) Agencies who choose to reimburse travelers for the actual cost of subsistence are to adopt written policies and procedures.
- [10.40.50.a](#) Agencies must establish agency meal periods to determine if meal costs can be paid.

Travel Arrangements and Reimbursements

- [10.50.35.e](#) Agencies are to establish written internal policies to require the traveler to repay the state whenever a state contract vehicle is used for occasional incidental personal

use.

Miscellaneous Travel Expenses

[10.60.30](#) The agency, as part of its positive system of internal control, is to establish the maximum reimbursement for the cost of personal care assistants for disabled employees.

[10.60.40](#) Agencies are required to define circumstances under which they will reimburse travelers for baggage fees on international flights.

Boards Commissions, or Committees

[10.70.20.b](#) Agencies are to have written internal policies when option 1 is selected.

[10.70.30.b](#) Agencies are to have written internal policies when option 1 is selected.

Travel Expense Claims, Payments, Reimbursements and Advances

[10.80.55](#) Agencies are required to institute procedures ensuring that direct payments made to vendors are reasonable, accurate, and necessary for the conduct of the agency's business.

[10.80.60.b.7](#) Agencies are to establish written policies prescribing a reasonable amount for travel advances.

Agency Motor Vehicle Management

[12.20.10.8](#) Every state agency having jurisdiction and control of state-owned or operated motor vehicles is to establish policies and procedures designed to operate these vehicles at the lowest effective cost per mile for the life of the vehicle.

[12.20.50.a](#) When authorizing employees to travel in their privately owned vehicle rather than in a state owned vehicle or via public transportation, agencies, as part of their required, positive system of internal control over travel, may adopt and use other guidelines for satisfying what is considered advantageous or economical to the state.

State Motor Vehicle Management

[12.30.20.a](#) We highly recommend that agencies develop internal policies regarding allowing unauthorized passengers to travel in POVs used for official state business and for state rented vehicles.

Other Administrative Regulations

[70.15.10](#) The agency head or authorized designee approves payment for the meals in advance of the meeting by defining in the agency internal policies and procedures.

[70.10.10](#) Meals, coffee and light refreshments at meeting and training sessions are not allowed unless the agency has formally adopted written internal policies and procedures.

[70.50.80](#) Agencies employing airplane pilots are to develop internal policies and procedures related to obtaining commercial lodging for flight crews during prolonged standby periods.

QUICK REFERENCE GUIDE – TRAVEL DOS & DON'TS

The following rules are high level summaries. For further details see the [State Administrative & Accounting Manual \(SAAM\)](#) Chapter 10 – Travel for reference.

General:

- [1.10.30](#) All state agencies must comply with SAAM
- [10.10.05](#) All state employees, volunteers, and contractors must comply with SAAM
- [10.10.20](#) Use most economical travel alternatives unless Health/Safety issue
- [10.10.50](#) Get agency head approval **in advance** to travel out of state
- [10.10.50](#) Get approval from Governor or Board to travel out of U.S. or British Columbia
- [10.20.20](#) Do not reimburse for unnecessary travel costs such as alcoholic beverages
- [10.20.40](#) Combined business & personal travel must not result in additional cost to the state
- [10.70](#) Follow special travel rules for Board, Commission or Committee members

Meetings:

- [10.10.55](#) State gatherings must be held in government facilities unless properly justified

Lodging:

- [10.90.10](#) Reimburse actual lodging expenses up to limits used in the Continental USA and Non Continental USA schedules
 - [10.30.20](#) **except** under special circumstances
- [10.30.40](#) Do not reimburse lodging expenses incurred at official station or residence
- [10.30.30](#) Do not reimburse lodging expenses within 50 miles of official station or residence

Meals/Coffee and Light Refreshments:

- [10.90.10](#) Reimburse meals on an allowance basis at rates used in the Continental USA and Non Continental schedules
 - [10.40.50](#) when traveling three or more hours beyond regular work shift and
 - [10.40.50](#) when traveling during the entire meal period
- [10.40.40](#) Do not reimburse for meal expenses incurred at official station or residence
 - [70.15](#) **exception** for meals with meetings

[70.10](#) Serve coffee and light refreshments only in accordance with agency policy

Transportation:

[10.90.20](#) Reimburse privately owned vehicle business miles at rate shown on the Reimbursement Rates for Lodging, Meals and Private Vehicle Mileage schedule

[10.20.20](#) **Do not** reimburse for commuting miles between official residence and station

[10.50.40](#) Agencies may purchase airline and other common carrier tickets in advance

[10.50.45](#) Use a DES qualified travel provider when making air travel arrangements

[12.20.30](#) Permanently assign state owned vehicles to employees when warranted

[12.20.35](#) Allow commuting in state owned vehicles when warranted

[12.30.20](#) **Do not** use state owned or leased vehicles for personal business

[10.50.35](#) **Do not** use state contract rental vehicles for personal business

Moving:

[60.10](#) Contact DES Traffic Manager and follow **all** DES Moving Guide Rules

Reimbursements:

[10.80.40](#) Submit original receipts for reimbursements of travel expenses except meals

[10.80.60](#) Account for travel expense advances monthly

Note: Some travel reimbursements may be subject to federal income taxes. If you have questions relating to travel, contact [Bret Brodersen](#) at (360) 725-0229. For questions relating to taxation, contact the IRS State Government contact, [Clark Fletcher](#) at (425) 489-4042.

Revised 3/29/13

FREQUENTLY USED TRAVEL WEBSITES

Office of Financial Management

<http://www.ofm.wa.gov>

General Services Administration

<http://www.gsa.gov>

Department of Enterprise Services Travel Program

<http://www.des.wa.gov/services/Travel/Travel/Pages/default.aspx>

National Association of Counties

<http://www.naco.org/Counties/Pages/CitySearch.aspx>

MapQuest: Driving Directions in North America

<http://mapquest.com>

Foreign Currency Converter

<http://xe.net/currency>

Historical Foreign Currency Rates

<http://www.federalreserve.gov/releases/g5a>

IRS – FSLG Newsletter

<http://www.irs.gov/Government-Entities/Federal,-State-&-Local-Governments/Current-Edition...>

Internet Travel Provider

<http://azumano.com/>

Taxable Fringe Benefit Handout

http://www.irs.ustreas.gov/pub/irs-tege/fringe_benefit_fslg.pdf

Customary Tips

<http://tipping.org/tips/us.html>

Site to determine nautical miles for reimbursement

<http://airnav.com/airports/us/WA>

U.S. Department of Defense - For Hawaii and Alaska Per Diem Rates

<http://www.defensetravel.dod.mil/site/perdiemCalc.cfm>

U.S. Department of State – For International Per Diem Rates

http://aoprals.state.gov/content.asp?content_id=184&menu_id=78

QUICK REFERENCE GUIDE – AGENCY REQUIRED POLICIES

Required agency internal policies, procedures, designations and/or documentation for capital assets, inventories, accounting, and other policies

[State Administrative and Accounting Manual \(SAAM\)](#) sections requiring agencies to have their own internal written policies, procedures, designations and/or documentation:

Capital Assets	
30.10.40	Designation of Agency Inventory Officer to protect and control use of all capital assets.
30.20.70.c	Useful lives for capital assets acquired in less than new condition.
30.40.20	Small and attractive assets policy.
30.40.45	Procedures for timely removal of capital assets from inventory.
Inventories	
35.10.25	Designation of Agency Inventory Officer(s).
35.10.40.b	Definition of bench stock items excluded from inventory balance.
35.10.45.a	Method(s) selected for accounting and reporting for inventories.
35.10.45.f	Document alternative inventory valuation method.
Accounting: Policies/Procedures Related to Receipting/Receivables	
85.20.20	Timely and efficient receipting.
85.54.35	Timely interagency billings.
85.54.50.b	Follow up of past due receivables.
85.54.55.c	Criteria for uncollectible receivables.
85.54.60.c	Adjusting receivables.
85.54.60.g	Records retention for write offs
Accounting: Policies/Procedures Related to Expenditures/Expenses/Disbursements	
85.32.10	Expenditures/expenses and disbursements should be lawful, proper, recorded timely, prompt and accurate.
85.32.40.b	Mathematical accuracy and proper recording.
85.32.50.a	Timely, accurate, and cost effective vendor payments.
85.36.10	Disbursements should be made by the most cost effective means available.
85.90.60.c	Timely, accurate, and cost effective interagency reimbursements.

**Accounting:
Policies/Procedures Related to Petty Cash**

[85.50.50.d](#) Petty cash internal control procedures.

[85.50.60.d](#) Disbursement and reconciliation procedures for petty cash accounts.

[85.50.70.a](#) Establishing local petty cash accounts.

**Accounting:
Policies/Procedures Related to Credit/Debit/Purchase Cards**

[40.10.10](#) Policies for credit and debit cards and other electronic means.

[45.10.60](#) Agency responsibilities regarding purchase cards.

**Accounting:
Policies/Procedures Related to Coffee and Light Refreshments**

[70.10.10](#) Meals, coffee, and light refreshments at meetings and training sessions.

**Accounting:
Other Policies/Procedures**

[85.38.50.b](#) Reviewing cancelled/outstanding warrants and checks.

[85.38.90](#) Controlling local checks.

[85.74.10.a](#) Vendor payment advances (SBCTC & colleges).

[85.74.20.b](#) Escrow Agreements.

AGENCY POLICY GUIDELINES

Agency policy guidelines on paying for professional employee certifications, memberships or training

This guideline is intended to aid an agency in developing internal policies pertaining to the payment of costs associated with its professional staff.

The cost items considered in these guidelines are the following:

- Professional Licenses Granted by a Government Agency and Certificates Granted by a Private Entity (these are considered to be the same for this purpose)
- Training Related to Professional Status
- Memberships in Professional Organizations

FRAMEWORK for determining what costs can be paid:

The basic payment criterion is answered by the question: “What benefits the agency (not the employee)?” These guidelines can be applied to each item to be considered for payment as follows:

Professional Licenses and Certificates:

- 1) If the license or certificate is required to hold the position, the agency cannot pay any expenses related to cost of the license or certificate. (An agency should consider the license or certificate requirement when establishing the pay scale for the position(s) in question). However, an agency may consider paying for training that leads to the license given the Training Related to Professional Status guidelines below.
- 2) Generally, if the license or certificate is not required to hold the position, the agency should not pay the license or certificate fee unless the license is strictly for agency business (as is the case for Labor and Industries employees who, in addition to their regular duties, also do Notary Public solely for the agency and do not charge for it). But an agency can always consider paying for training that leads to the certificate or license. This again leads to the discussion of employee training below.
- 3) Sometimes a license or certificate requires membership in a professional organization. In those cases when the license or certificate is not required to hold the position, the agency should follow the guidelines in item 2 above or follow the guidelines outlined in Memberships in Professional Organizations, whichever is appropriate for the situation.
- 4) If the agency has established a licensed/certified staff member to certify other individuals' experience requirement to become licensed/certified, and if the other employees' licensure/certification is a direct benefit to the agency, or a job requirement, then the agency may pay for the license/certificate of the one employee authorized to sign off on the experience. Or if the agency has established a licensed/certified staff member to review other professionals or their reports, then the agency may pay for the license/certificate of the one staff member.

Training Related to Professional Status:

In either of the following situations, the agency must document the training benefits.

- 1) If the training meets one or more of the following criteria the agency may pay for all of it, regardless of the training's relationship to professional licensing or certification requirements:
 - a) The training must be directly related to the employee's work.
 - b) The training must either maintain or enhance the employee's work-related skills.
 - c) The individual must share the information gathered at the training with co-workers as needed.
- 2) If the training meets the appropriate preceding criteria and prepares an employee for a license or certification examination, the agency may pay for the training. However, an agency should not pay for the examination as this is generally considered a personal expense.

Memberships in Professional Organizations:

When paying for membership(s) in one or more professional organizations, an agency must be able to document its method and results of determining and quantifying the amount of benefit it derives from the individuals' memberships. The following factors, and others as determined during the appraisal, should be considered during the process of determining and quantifying any benefits gained with the membership payment:

- 1) The amount of influence membership gives the agency, through the individual, over standards setting decisions made by the professional organization.
- 2) The availability of resources, such as interaction, publications, or training, as a member of the professional organization.
- 3) The amount of discounts on resources provided to members by the professional organization.
- 4) The amount by which such membership enhances an individual's job performance.
- 5) The amount of participation required of the individual as a member of the organization.
- 6) Considerations on that may limit which organizations will benefit the agency, such as the type of organization, number of organizations, and amount or availability of money to be spent for each organization or each employee.
- 7) Amount of available work or personal time the individual(s) has to participate in the organization's activities.
- 8) Ancillary costs which may or may not be covered by participating in the organization's activities.
- 9) The mechanism or processes needed for approving these payments.
- 10) Any necessary ethical considerations:
 - a) Exerting influence on other employees to provide contributions or other support to the organization for which the membership is paid.
 - b) Using the organization as a forum for lobbying in support of or opposition to political or legislative actions.
 - c) Using the organization as a forum for promoting endeavors in which the employee may have a direct or indirect financial interest or may acquire a personal benefit or gain.

QUESTIONS TO ASK WHEN PREPARING FOR A MEETING

Helpful Meeting Hints

General

- What is the purpose of the meeting?
- Can the agency absorb all costs associated with the event?
- Do you have a written Light Refreshment policy?
- Is the event provided by another state agency at a lower cost?

Location

- What city?
- Are there state facilities available? If so, who do I contact, and when?
- If no state facilities are available, will the hotel where the attendees are staying give the agency a free or reduced rate on a conference room?

Attendees

- Who? (Agency staff, commissioners, presenters, public)
- How many?
- Will they require overnight lodging?
- What is the maximum amount allowable per person per night?
- How will they get there? (Airplane, personal vehicle, or rental car)
- Will guest speakers be present?
- Will the agency have to pay the guest speaker(s)?
- Will you need to prepare a contract for the guest speaker(s)?

Food

- Can the agency pay for all of the attendees' meals?
- What is the maximum amount allowable per person per meal?
- How many meals are being provided?
- Who will receive these meals?
- Are you planning to serve light refreshments to all attendees?
- Will the agency staff be eligible for the meal?
- Did you document the request and prior approval for coffee/light refreshments and/or meals?

PERSONNEL & PAYROLL

Policies, Processes & Resources

AGENCY POLICIES & PROCEDURES

Helpful Meeting Hints

The following is a list of required and optional rules for agencies. For more information see the [Washington State HR](#) website or the Washington State Legislature for [WACs](#) and [RCWs](#).

Required by Agency	Reference	Procedure	Policy	OSHRD approval
Affirmative Action & Equal Employment Opportunity Statement	357-25-025		x	x AA Plans
Background Checks	357-19-184	X		
Certification	357-16-120	x		
Call Back (Emergency Response & DOC)	357-28-185		x	x
DEL Background Checks	357-19-189	X	X	
Discrimination	Various laws		x	
Domestic Violence and the Workplace	EO 96-05		x	
Electronic Discovery Policy	Various laws		x	
Employee Grievance	Represented Agencies		x	
Employee Training and Development	357-34-030		x	
Family and Medical Leave	357-31-560		x	
Higher Education Temporary Employee Monitoring	357-19-440	x		x
Investigation	Investigative Agencies		x	
Layoff	357-46-020	x		
Leave	357-31-100		x	
Overtime (Emergency or DSHS)	357-28-255		x	x
Performance Management Process	357-37-015		x	x
Performance Based Increments	357-28-075		x	
Personnel Records	357-22-015		X	
PERS 1 Return to Work Retirees	SHB 1262		x	
Probationary and Trial Service Period	357-19-090		x	
Promotional	357-16-150		x	
Reallocation Review	357-13-060	X		

Relocation Compensation (Written Criteria)	357-28-320			
Removal from layoff list	357-46-147	X		
Requesting Reasonable Accommodation	357-16-090	x		
Reasonable Accommodation	357-26-020		x	
Return to Work	357-19-525		x	
Review Exam Results	357-16-177	x		
Salary Determination	357-28-030		x	x
Sexual Harassment and Reasonable Accommodation	357-25-025 357-26-020		x	
Sexual Harassment Awareness and Prevention Training	357-25-025		x	
Shift Premium (Emergency & DOC)	357-28-190		X	
Sick Leave Pool (If participating)	357-31-575		x	
Suspended Operations	357-31-275	x		
Telework and Flexible Work Schedules	EO 01-03		x	
Training and Development Plan	357-34-030		x	
Uniformed Service Shared Leave Pool	357-31-655		x	
WMS Lump Sum Relocation Compensation (Written Criteria)	357-58-155			
WMS Layoff	357-58-455	x		
WMS Reconsider Agency Action	357-58-515	x		
WMS Recruitment and Retention	357-58-180		x	
WMS Recruitment and Selection	357-58-185	x	x	
WMS Salary Administration	357-58-075		x	

Optional/Recommended for Agency	Reference	Policy
Corrective Discipline	357-40-015	x
Drug Testing	Agency Specific	x
Ethics	www.ethics.wa.gov	x
Exchange Time	Compensation Plan	x
Overtime	Compensation Plan	x
Sick Leave Pool		
Voluntary Employee's Beneficiary Association (VEBA) & Medical Expense Plan (MEP)	357-31-375	
Whistleblower	RCW 42.40.070	
WMS Additional Compensation	357-58-170	x
Workplace Safety	EO 96-05	

NEW HIRE PACKET

Description

A packet containing important information to get a newly hired employee enrolled in the state's benefits programs and set up in the state payroll system. The packet contains the following:

- Health, Life, and Long-Term Disability forms and booklets.
- Direct deposit forms for payroll and non-payroll payments.
- Retirement enrollment forms.
- Miscellaneous information from the Health Care Authority.
- Employment Eligibility Verification Form (I-9).
- Retirement Status form.
- Information for online research at the Department of Retirement Systems.
- Federal Withholding Tax form (W-4).
- Optional misc. benefit plans (deferred comp, DCAP, FSA.)

Agency Responsibilities

- Notify DES Small Agency Payroll each time the agency hires a new employee.
- Have the new employee complete each form in the packet that pertains to them.
- Confirm that each form is completed accurately.

Send the completed forms to DES within two weeks of receipt. If the new hire occurs near the end of pay period, the agency should send the completed forms to DES in accordance with the payroll cutoff e-mail's deadline for submission.

EXIT CHECKLIST

State Ethics Law - Former State Employees

Former agency employees are subject to provisions of the state Ethics Law. The Ethics Law (RCW 42.52.080) limits employment and other activities of former employees as follows:

1. Within one year of termination, no employee may accept employment or compensation from an employer, if: 9a) the employee, during the two years immediately preceding termination negotiated or administered contract with that employer or was in a position to make discretionary decisions regarding the negotiation or administration of such contracts; and (b) such contract or contracts had a total value of more than \$10,000, and (c) the former state employee's duties would include implementation of such contracts;
2. Within two years of termination, no employee may have a beneficial interest in a contract or grant expressly authorized or funded by specific legislative or executive action in which the former employee participated.
3. A former employee may not accept employment or receive compensation from an employer, if he or she knows, or has reason to believe that the offer is intended to influence the performance or nonperformance of the employee's duties while employed by the state.
4. A former employee may not accept employment or receive compensation from an employer, if the circumstances would lead a reasonable person to believe that the offer or compensation was given for the purpose of influencing the performance or nonperformance of the employee's duties while employed by the state.
5. A former employee may not assist another person in a transaction involving the state in which the employee participated while employed by the state.
6. A former employee may not accept employment or engage in any business or professional activity that the employee might reasonably expect would require or induce him or her to disclose confidential information acquired by reason of his or her official position.

The following action items need to be completed prior to the departure of the employee:

- Letter of resignation:** Ensure the letter references the effective date the employee will go off the agency's payroll, the last working day if different from the effective date and the new agency the employee is going to, if applicable.
- Personnel Payroll Data Sheet:** Complete the PPDS and send to DES Small Agency Payroll.

Eliminate Access

- E-mail (Network Access)
- Scheduler (Network Access)
- Travel Voucher System
- Mainframe Access

Please return the following equipment/supplies to the appropriate staff member. If you do not have the listed equipment, please indicate by marking "NA" in the box.

- Cellular Phone
- Files
- Laptop Computer (state tag #)
- Office Keys/Card Keys
- Laptop mouse, wiring, power cords, case
- Scan+ Card
- Pager
- Palm Pilot
- Parking Sticker/Pass
- Safety Kit
- Star Pass (\$20 if not returned)
- Agency Credit Card(s)
- Software/Manuals
- Other _____

I have returned all of the above checked items.

Employee's Signature _____ Date _____

Verified by (Supervisor) _____ Date _____

CONTRACTS AND PURCHASING

Policies and Resources

PROCUREMENT REFORM

Changes in state purchasing practices took effect January 1, 2013

State government spends more than \$1 billion annually to buy a variety of goods and services, ranging from paper and pencils to computers and fuel.

For more than a decade, internal groups have worked to bring together the disparate and sometimes contradictory statutes into a common framework that would enable potential contractors and purchasers to easily understand contracting laws.

The 2012 Legislature passed a [bill](#) to consolidate procurement laws under Enterprise Services. The legislation is designed to make the procurement process more transparent, competitive and efficient. The changes were codified in chapter [39.26 RCW](#) and took effect Jan. 1, 2013.

What will be different?

- The procurement process for goods and services will be outlined in a single chapter of law. A common approach will be used for goods and services.
- Agency employees who develop, manage or execute contracts will receive training and/or certification to ensure consistent practices are followed for all types of procurement.
- Agencies will be delegated authority for purchasing goods and services based on a risk assessment process developed by Enterprise Services and stakeholders.
- Agencies will have to submit sole-source contracts to Enterprise Services for review and approval, but will no longer submit personal-service contracts that are competitively solicited for review.
- Contractors and agencies will be allowed to submit bid documents and signatures electronically for ease of transaction.
- Contracts may be awarded based on best value criteria that aligns with the strategic goals and values of the state.
- Agencies will notify bidders and identify awarded contractors in a central system.
- Agencies will post information about awarded contracts with Enterprise Services so the public can see basic information about all awarded contracts on a single site.
- Enterprise Services will be able to debar contractors for cause.

What will be the same?

- The bill keeps the same exemptions for the Legislature, higher education, public hospitals, client services and the data center as in current law.
- Enterprise Services will establish rules and guidelines for procurement of goods and services.
- Agencies can continue to make emergency purchases, direct buy purchases and negotiate contracts when appropriate.

Current status

- Six new policies have been issued to implement procurement reform: delegation of authority, sole source contract requirements and filing, emergency contracts, direct buy, and complaints and protest processes.
- The rulemaking for the debarment process has been initiated and a hearing on the rules was held on March 13, 2013.
- The risk assessment pilot project has been launched with participation of thirteen state agencies and three higher education institutions

- Work is continuing on the implementation of procurement reform with:
- A group developing the remaining policies, which are first provided to all stakeholders for feedback before any policy is issued.
- A separate workgroup is focused on the implementation of electronic signatures and electronic bidding.
- A separate workgroup is focused on the requirements for reporting and transparency

Policies

- [DES-090-00 – Delegation of Authority](#)
- [DES-140-00 – Sole Source Contracts](#)
- [DES-130-00 – Emergency Procurements/Purchases](#)
- [DES-125-03 – Direct Buy Procurements/Purchases](#)
- [DES-170-00 – Complaints and Protests](#)
- [DES-210-01 – Agency Contract Reporting](#)
- [Topic 7 Draft - protest bonds policy recommendations](#)

TRAINING INFORMATION

Due to changes to procurement laws effective January 1, 2013, all of the contract training will be restructured and new classes will be offered. The new procurement training requirements and classes will be posted when they are finalized.

If you have any questions regarding contract training, please contact the DES Agency Contracts, Consulting and Oversight (ACCO) team at des.contracting@des.wa.gov or visit Procurement Reform.

Contact

- Roselyn Marcus, Assistant Director for Contracts and Legal Services
(360) 407-8569
roselyn.marcus@des.wa.gov
- Servando Patlan, Procurement Reform manager
(360) 407-9390
servando.patlan@des.wa.gov

ETHICS

Policies and Resources

ETHICS IN PUBLIC SERVICE ACT

Background

The Executive Ethics Board (the Board) was created in 1994 by legislation at the request of the Governor and Attorney General. The law went into effect on January 1, 1995. The Board is comprised of five members appointed by the Governor and serve five year terms:

- State Exempt Employee
- State Classified Employee
- Recommended by State Auditor
- Recommended by Attorney General
- Member at large.

Roles of the Members

The members have statutory responsibility to:

- Develop training materials
- Adopt rules
- Issue advisory opinions
- Investigate and hear complaints
- Impose penalties for violations
- Recommend suspension or other disciplinary action.

Violations and Penalties

If the Board determines that a state employee or officer violated the ethics law, they can order the following:

- Penalties up to \$5,000 per violation
- Damages sustained by the State
- Investigative Costs.

Staff

The agency is staffed by members of the Office of the Attorney General and is comprised of an Executive Director, Administrative Officer and two Investigators. They are charged with:

- Issuing non-binding staff opinions
- Approving contracts for outside employment if with another state agency
- Investigating complaints – making recommendations to the Board
- Developing training materials and conducting training.

Issuing Non-Binding Staff Opinions

Staff frequently receives questions from the public or state employees about a variety of topics. Staff provides answers to these questions in the form of a non-binding staff opinion. This is staff's best guess on how the Board would view the situation, and is based on Advisory Opinions and previously heard enforcement cases.

Approving Contracts for Outside Employment

With a few exceptions, when a state employee contracts with another state agency to perform work, the employee must seek approval from the Board.

Investigating Complaints

Staff investigates complaints that are submitted. If staff believes that a violation of the ethics law has occurred, they will submit the case before the Board. The Board members decide if the law was violated and what penalty should be assessed for the violation.

LAWS & RULES GOVERNING THE ETHICS IN PUBLIC SERVICE ACT

Laws

- [RCW 42.52](#), Ethics in Public Service

Rules

- [WAC 292-100](#), Procedural Rules
- [WAC 292-110](#), Substantive Rules
- [WAC 292-120](#), Penalty Rules
- [WAC 292-130](#), Public Record and Agency Organization Rules.

ETHICS TRAINING

www.ethics.wa.gov

Agency Provided Ethics Training

The Executive Ethics Board staff has put together materials that will allow agency's to provide in house Ethics Training. Please feel free to download, print and use these materials within your agency to assist in giving all state officers and employees the information they need to learn about the Ethics in Public Service Act.

Below are links to the Agency Guide, Agency Guide Answer Key as well as a PowerPoint presentation:

- [Agency Guide](#)
- [Agency Guide Answer Key](#)
- [Ethics in Public Service PowerPoint Presentation](#)

Contact Ethics Board Staff at 360-664-0871 if you have any questions or comments regarding the materials. The staff also provides training to executive management teams.

Helpful Links and Resources from the Executive Ethics Board

- [New State Employee Guide](#) (PDF)
- [Ethics in Public Service Brochure](#) (PDF)
- [Can I Accept a Gift Brochure](#) (PDF)
- [Post-State Employment Brochure](#) (PDF)
- [Filing a Complaint Brochure](#) (PDF)
- [COGEL](#) - Council on Governmental Ethics Laws —
- [State Auditor](#): Whistleblower questions
- [Public Disclosure Commission](#): Lobbying, campaign finance questions
- [Legislative Ethics Board](#): Ethics questions related to members or staff of the legislature

WHISTLEBLOWER PROGRAM

The Whistleblower Act provides an avenue for state employees to report suspected improper governmental action.

Improper governmental action is defined as any action by an employee undertaken in the performance of the employee's official duties which:

- Is a gross waste of public funds or resources.
- Is in violation of federal or state law or rule, if the violation is not merely technical or of a minimum nature.
- Is of substantial and specific danger to the public health or safety.
- Is gross mismanagement.
- Prevents dissemination of scientific opinion or alters technical findings.

State law preserves the confidentiality people who file whistleblower assertions and of people who provide information for whistleblower investigations. It also prohibits retaliation against people who file whistleblower assertions. The Human Rights Commission investigates retaliation cases.

The Whistleblower Act -- [Chapter 42.40 RCW](#) -- was enacted by the Washington State Legislature in 1982 and amended in 1999 and 2008.

[Whistleblower FAQ](#)