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70.10

Coffee and Light Refreshments

70.10.10

July 1, 2014

The agency must first adopt written policies

An agency may not provide coffee and light refreshments at meetings and formal training sessions unless the agency has formally adopted written internal policies and procedures that describe the approval process for these items.

In accordance with Executive Order 13-06, executive cabinet agencies are required, and all other agencies strongly encouraged, to incorporate healthy food and beverages in their coffee and light refreshment internal policies.

Refer to

<http://www.doh.wa.gov/CommunityandEnvironment/WorksiteWellness/HealthyNutritionGuidelines.aspx>.

70.10.20

July 1, 2005

When may coffee and light refreshments be served?

70.10.20.a

Per RCW 43.03.050(4), with approval of an agency head or authorized designee, an agency may serve coffee or light refreshments at a meeting where:

- The purpose of the meeting is to conduct state business or to provide formal training that benefits the state; **and**
- The coffee or light refreshment is an integral part of the meeting or training session; **and**
- The agency obtains a receipt for the actual costs of the coffee and/or light refreshments.

70.10.20.b

This authority is not intended for use with the normal daily business of elective or appointive officials or state employees, but rather for special situations or occasions, as determined by the agency head or authorized designee, for example, recognizing agency or employee accomplishments. Per RCW 43.03.050(3), in addition to the requirements noted in Subsection 70.10.20.a, coffee and light refreshments may be served to elective or appointive officials or state employees regardless of travel status where:

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- The meeting or training session takes place away from the employee's or official's regular workplace; **and**
- The agency person responsible for the meeting receives agency approval for the serving of coffee and/or light refreshments **prior** to the event.

70.10.20c All legally authorized boards and commissions may provide coffee and/or light refreshments at their official public meetings, including executive sessions.

70.10.20.d Agencies are not required to provide coffee and/or light refreshments at meetings.

70.10.30

May 1, 1999

Expenditures for coffee and light refreshments are prohibited in some cases

Agencies **may not** make expenditures for coffee and/or light refreshments in the following situations:

- For anniversaries of agencies, receptions for new, existing, and/or retiring employees or officials, election celebrations, etc.
- Any "hosting" activities. "Hosting" includes, but is not limited to, those activities that are intended either to lobby a legislator or a governmental official, or are to be a social rather than governmental business event, and include expenditures for coffee and/or light refreshments for those whom agencies are not legally authorized to reimburse.

70.10.40

May 1, 1999

Documentation of approval is required

Agencies must document the request and approval for expenditures for coffee and/or light refreshments. Agencies may use a Travel Authorization (form A40-A) or agency equivalent form, an Invoice Voucher (form A19-1A), or a formally written agency memorandum for this purpose. The documentation should provide support for the authorization, including:

- The names of the state organizations or persons attending the meeting (includes conferences, conventions, and formal training sessions), and
- The purpose of the meeting or expenditure.



70.15

Meals with Meetings

70.15.10

July 1, 2014

Reimbursement for meals with meetings

70.15.10.a

RCW 43.03.050(3) provides for reimbursement for meals, for certain business meetings (includes conferences, conventions, and formal training sessions) involving elective and appointive officials and state employees. Additionally, other statutes may authorize agencies to provide reimbursement for meals for other individuals regardless of travel status.

In accordance with Executive Order 13-06, executive cabinet agencies are required, and all other agencies strongly encouraged, to incorporate healthy food and beverages at meals with meetings when applicable. Refer to <http://www.doh.wa.gov/CommunityandEnvironment/WorksiteWellness/HealthyNutritionGuidelines.aspx>.

70.15.10.b

The agency head or authorized designee may authorize reimbursement for the allowable cost of meals (refer to Subsections 10.40.40 and 10.90.20) for elective and appointive officials and state employees regardless of travel status, and without regard to the Three Hour Rule of Subsection 10.40.50.(1). This authority is intended for use when the agency requires a person to attend a meeting where business meals are served, and where:

- The purpose of the meeting is to conduct official state business or to provide training to state employees or state officials; and
- The meals are an integral part of the business meeting or training session, and
- The meeting or training session takes place away from the employee's or official's regular workplace, and
- The agency obtains a receipt for the actual costs of the meals with meetings, and
- 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 (Subsection 10.10.10) those meetings where attendance by **agency** employee(s), official(s) or others as authorized by statute, and reimbursement for the meals regardless of travel status,

Other Administrative Regulations

is advantageous to the state.

Approvals must be in writing (Subsection 70.15.30). One-time approvals for recurring meetings can be made at the time of the initial request.

70.15.20

April 15, 2004

Expenditures for meals with meetings are prohibited in some cases

Agencies **may not** make expenditures for meals in the following situations:

- For anniversaries of agencies, receptions for new, existing, and/or retiring employees or officials, election celebrations, etc.
- Any "hosting" activities. "Hosting" includes, but is not limited to, those activities that are intended either to lobby a legislator or a governmental official, or are to be a social rather than governmental business event, and include expenditures for meals for those whom agencies are not legally authorized to reimburse.

70.15.30

April 15, 2004

Documentation of advance approval for meals with meetings is required

Agencies must document the request and approval in advance for expenditures for meals with meetings. Agencies may use a Travel Authorization (form A40-A) or agency equivalent form, an Invoice Voucher (form A19-1A), or a formally written agency memorandum for this purpose. The documentation should provide support for the authorization, including:

- The names of the state organizations or persons attending the meeting (includes conferences, conventions, and formal training sessions), **and**
- The purpose or accomplishments of the meeting.



70.20

Prospective Employee Interview Expenses

70.20.10

May 1, 1999

Agencies may pay certain expenses for qualified prospective employees

A state agency may pay a qualified prospective employee, as defined below, the necessary travel expense related to their employment interview or examination (RCW 43.03.130). The agency head has the responsibility to exercise prudent judgment in the payment of interview expenses and to follow the travel reimbursement policies stated in this section and in Chapter 10 of this policy manual.

70.20.20

July 1, 2010

Who is a qualified prospective employee?

Qualified prospective employees are limited to applicants for the position of director, deputy director, assistant director, state supervisor or equivalent or higher position, engineers or other personnel having both executive and professional status.

In the case of institutions of higher education, prospective employees are limited to applicants being considered for academic positions above the rank of instructor, or professional, or administrative employees in supervisory positions.

Community and technical colleges may pay travel expenses for prospective employees being considered for full-time faculty positions or administrative employees in supervisory positions.

The Washington State Investment Board may pay travel expenses for prospective employees being considered for investment officer positions.

70.20.30

May 1, 1999

Allowable travel expenses and reimbursement limits

Allowable travel expenses are defined as necessary expenses, reimbursable by law, incurred by a prospective employee in traveling to and from an interview or merit system examination. Travel expenses may include:

- Transportation expenses,
- Per diem expenses, and
- Other miscellaneous travel costs.

Travel expenses may be reimbursed at rates not to exceed those established for state employees in Chapter 10 of this policy manual. For example, the agency may reimburse the prospective employee for transportation costs not to exceed the lowest class fare for the transportation mode used.

70.20.40

January 1, 2012

How expenses should be documented and paid

The agency needs documentation of the travel expenses before reimbursing the prospective employee. The prospective employee should document and submit travel expenses on an Invoice Voucher (form A19-1A) or a Travel Expense Voucher (form A20-A) in the same detail as required for travel reimbursement to state employees. Original invoices should be attached to the voucher or the agency file location referenced.

70.20.50

January 1, 2012

Prior authorization is required for classified positions

With agency head authorization, an agency may pay for prospective employee interview expenses when the classified position is essential to carrying out the critical work of an agency. The requesting agency head is accountable for the action and required to have appropriate documentation.



70.40 Higher Education Enrollment Reporting

70.40.05

August 1, 2006

Purpose of these policies

The Higher Education Enrollment Reporting (HEER) policies and procedures serve as the basis for collecting data on higher education enrollment. This data is used by the Office of Financial Management and the Legislature for budget calculations as well as to track budgeted FTEs versus actual FTEs (full time equivalents), to monitor legislative mandates, to project short and long term enrollment and to conduct other related studies.

70.40.10

August 1, 2006

Authority for these policies

RCW 43.62.050 and RCW 28B.10.784 require the Office of Financial Management to collect and report higher education enrollment data.

70.40.20

August 1, 2006

Who must comply with these policies?

These policies apply to all public four-year institutions of higher education.

70.40.30

August 1, 2006

Special definitions

State-funded enrollment - Enrollment meeting **all** of the following conditions is considered state funded enrollment:

- 1) The course is a credit course.
- 2) The course is degree-applicable or is required for a student to make progress toward a degree, as certified by the institution.
- 3) The enrolled student does not receive a state sponsored tuition waiver per RCW 28B.15.0131 (certain American Indian students), RCW 28B.15.540 (residents age 60 or older), RCW 28B.15.558 (state employees), or RCW 28B.15.621 (3) (certain veterans).
- 4) Regular resident or non-resident tuition fees as per RCW 28B.15.067 and RCW 28B.15.100 are charged.

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- 5) The course is not self-sustaining as defined in item 3 under definitions of self-sustaining immediately below.

Self-sustaining enrollment – Enrollment meeting **all** of the following conditions is considered self-sustaining enrollment:

- 1) The course is a credit course.
- 2) The enrolled student does not receive a state sponsored tuition waiver per RCW 28B.15.0131 (certain American Indian students), RCW 28B.15.540 (residents age 60 or older), RCW 28B.15.558 (state employees), or RCW 28B.15.621 (3) (certain veterans).
- 3) The direct costs of the course are entirely funded by Account 148, Institutions of Higher Education – Dedicated Local Account, or by external funds, or by a combination of the two.

Summer enrollment – All summer enrollments are self-sustaining except certain state-funded courses that have prior approval from OFM.

Fee-waiver enrollment – Enrollment meeting all of the following conditions is considered fee-waiver enrollment:

- 1) The course is a credit course.
- 2) The enrolled student receives a state sponsored tuition waiver per RCW 28B.15.0131 (certain American Indian students), RCW 28B.15.540 (residents age 60 or older), RCW 28B.15.558 (state employees), or RCW 28B.15.621 (3) (certain veterans).

Data element definitions used for higher education enrollment reporting in the Public Centralized Higher Education Enrollment System (PCHEES) and reporting formats for standard reports (HEER Tables 1–18A) and for the distance learning reports (HEER Tables 19–22) are available at <http://www.ofm.wa.gov/hied/pchees/>.

70.40.40
August 1, 2006

Higher Education Enrollment Reporting Requirements

Data for the HEER report must be submitted electronically in student unit record files through the PCHEES. All unit record files and reports submitted are considered official.

The following reporting requirements must be met:

- 1) Each data unit record submitted must include all required academic course enrollment and student characteristic information elements. Current requirements are available at <http://www.ofm.wa.gov/hied/pchees/>.
- 2) All credited course enrollments regardless of their type of funding, i.e., state funded, self-sustaining, or fee-waiver, must be reported.
- 3) Changes from the last reported regular term in the funding type of courses (i.e., from self-sustaining to state funded or vice versa) must be reported to the OFM Forecasting Division. A “Changes of Course Funding Types” form is available at <http://www.ofm.wa.gov/hied/pchees/>. The submitted form must be signed by the person authorized to complete the report. Summer term is not considered a regular term.
- 4) Remedial courses offered for credit must be flagged as remedial courses. A remedial course is a course that is designed to remedy a deficiency and qualify a student to take a regular credited academic course. A remedial course may be state-funded, self-sustaining, or fee-waiver. If a state-funded course is flagged as remedial, it must meet the requirements set forth in section 70.40.30.
- 5) To ensure that courses reported can be traced to the term in which they originate and end, all course data submitted must include start and end dates.
- 6) Reports for regular terms (fall, winter, and spring) must reflect net enrollment at the conclusion of the second Friday of instruction (the “10th day”).
- 7) The net enrollment is enrollment after adjustments for drop, add, withdrawal, cancellation, and other relevant course enrollment transactions.

Other Administrative Regulations

- 8) The 10th day report for a regular term can include enrollment of courses beginning after the 10th day of the prior regular term. The Fall 10th day data submittal can include enrollment of courses beginning after the end of summer and before the start of fall term.
- 9) Data for the summer term must be submitted at the end of the summer term.



70.60 Unified Business Identifier (UBI)

70.60.10

May 1, 1999

The purpose of the UBI

The purpose of the UBI is to provide a uniform means of identifying and servicing business entities and employers which are required to be registered with, licensed by, or regulated by any agency of the state of Washington.

The UBI serves three purposes:

1. Simplifies business registration and record-keeping. Each business needs only one number to identify itself to any state agency.
2. Enables consolidation of periodic business reporting. In situations where a business is required to file reports with several agencies, these reports may be consolidated.
3. Enables consolidation and information sharing of state services. Agency records of a non-confidential nature relating to any individual business entity may be easily accessed.

70.60.20

May 1, 1999

The UBI and how it is used

The Unified Business Identifier (UBI) is standard nine digit sequential number used by all state agencies to uniquely identify a business entity. The UBI is intended to identify public and private business entities and employers.

Business Entity - Except for the exclusions noted below, a "business entity" or "business" is defined as any sole proprietor, partnership, corporation, or political subdivision of the state of Washington. It includes any individual, receiver, administrator, executor, assignee, trustee in bankruptcy, trust, estate, firm, joint venture, club, company, joint stock company, business trust, state or local agency, association, society, or any group of individuals acting as a unit, whether mutual, cooperative, fraternal, nonprofit, or otherwise which is required to be registered with, or licensed by, any agency of the state of Washington and for which agency registration records are established or maintained.

Other Administrative Regulations

Exclusions - Agencies need not establish UBIs for certain individuals as follows:

- Students;
- Private individuals receiving grants or subsidies;
- Employees, or past employees; and,
- Professional licensees, who are not employers or subject to state business taxes.

70.60.30

May 1, 1999

Certain agency systems must include the UBI

Any agency information system designed to process data relating to business entities, as defined in Subsection 70.60.20, shall carry the UBI as part of the agency's record for each business entity.

70.60.40

May 1, 1999

Assigning the UBI

A UBI is assigned to a business when it first registers with the Secretary of State's office, or Departments of Revenue, Labor and Industries, or Employment Security, or when it obtains a business registration or license issued through the Department of Licensing Business License Center. If an agency finds that a business does not have an assigned UBI, the agency should refer the business to offices of one of these agencies. For established businesses currently registered with the Department of Revenue, the tax registration number assigned by the Department of Revenue is the UBI.

70.60.50

May 1, 1999

Applicability

The provisions of this section are applicable to and binding to all agencies **that regulate, register, or license business entities** in the state of Washington.



70.70

Child Care Services for Children of State Employees

70.70.10

May 1, 1999

These policies establish minimum requirements

The purpose of this policy is to establish minimum requirements for the contracting of child care services for state government employees consistent with Chapter 41.04 RCW and RCW 43.88.160(4)(c) as amended by Laws of 1993, Chapter 194.

70.70.20

January 1, 2012

Identifying suitable space for a child care facility

70.70.20.a

At the request of an organization of state employees interested in establishing a child care facility, an agency may work with the owner of the state-owned or state-leased building it occupies in whole or in part to identify space that is, or can be made, suitable for use as a child care facility.

70.70.20.b

Suitable space is defined as space that is, or, with an identified financial resource, can be made, sufficient to meet licensing requirements as a child care facility. The space must be able to be set aside exclusively for use as a child care facility, including provision for a food preparation area, storage areas sufficient for the program, and restroom and changing facilities. It must be able to be made secure and must be convenient to the place of employment of the state employee parents or guardians of children enrolled in the program.

70.70.30.c

If suitable space cannot be identified in the building, the agency shall work with the Department of Enterprise Services to identify other suitable space. Nothing in this policy precludes agreements between agencies to identify suitable space for a child care facility that would serve employees of two or more agencies

70.70.30

January 1, 2012

Determining the rental rate for the space

The Department of Enterprise Services shall establish or negotiate the rental rate at which the identified suitable space would be made available for operation of a child care facility, a portion of which may be used by non-state employees for care of their children.

70.70.40

January 1, 2012

Child care facility contracting requirements

A contract is required between the owner of a building in which space for a child care facility is to be established and an agency whose employees will use services provided by the child care facility. This contract shall be negotiated by the Department of Enterprise Services (DES), under the provisions of RCW 43.82.010, and shall include, but not be limited to, the following provisions:

70.70.40.a

DES, in consultation with the agency and an organization of state employees, will identify and specify the renovations and/or modifications to the building needed to support operation of a child care facility and negotiate with the owner of the identified suitable space the lowest price for those renovations or modifications. No moneys shall be committed to renovation or modification of the building until all of the following are complete:

1. A viable business plan for self-supporting operation of the child care facility has been prepared and agreed to by the agency, the organization of state employees, and the child care provider. The business plan should include at a minimum, a definition of the scope of services to be provided, their estimated costs (including any agency subsidy), and a projection of revenues based upon specific assumptions related to total average annual enrollment, fee structure, and proportion of children in care who are not dependents of state employees, if any.
2. The child care provider commits to meeting all licensing requirements.
3. Funding for the child care facility has been allocated to the agency for renovation or modification of suitable space in a state-owned building, or the Director of the Office of Financial Management (OFM) has approved agency payment of higher lease costs reflecting the cost of renovation or modification to suitable space financed by the owner of a leased building.

Other Administrative Regulations

4. The director of OFM has approved the amount of the subsidy related to operation of the child care facility. Subsidy is defined as the difference between an annual rental rate established as a result of Subsection 70.70.30 and a lower annual rental rate for suitable space made available to the child care provider that is approved by the director of OFM. The monthly value of this subsidy for state employees with children in the facility's care equals the annual subsidy divided by twelve months divided by the projected monthly average enrollment of children of state employees.

70.70.40.b The owner is obligated to maintain the space in a condition that is safe for use as a child care facility.

70.70.50

January 1, 2012

Child care program contracting requirements

Either an agency or an organization of state employees may contract with a child care provider. A contract with a child care provider shall include, but not be limited to, the following provisions:

70.70.50.a The dates and hours that the facility will be open and operating will be stated.

70.70.50.b The child care provider will provide reimbursement for repairs of any damage to the facility beyond wear and tear related to normal use of space.

70.70.50.c The provider shall be responsible for providing and maintaining equipment, furniture, or appliances in the facility or, if originally provided by the agency, the provider shall replace equipment, furniture and appliances at the termination of the contract. Supplies, program materials, and other related items are the sole responsibility of the child care provider.

70.70.50.d The provider shall plan, and accept responsibility, for maintaining adequate security of the children in its care, including keeping the children within the space allocated to the facility.

70.70.50.e The agency shall not be responsible for day-to-day management, monitoring, quality control, dispute resolution or other like activities related to the child care provider. These responsibilities shall be assigned to the organization of state employees or to the child care provider, as appropriate.

Other Administrative Regulations

- 70.70.50.f Rates and the factors affecting them are to be explicitly stated. If the agency is subsidizing facility costs, the monthly rate for children of state employees and others requiring similar care will differ by the size of the average monthly subsidy divided by the projected average number of children of state employees in care each month as assumed in the business plan. No less than quarterly, the provider will reimburse the agency in the amount of the average subsidy times the number of child-months of non-state employee children in care in excess of the projection.
- 70.70.50.g The provider shall carry sufficient insurance and provide indemnification of the state and the agency from any liability associated with activities of the child care provider.
- 70.70.50.h The provider shall maintain books, records, documents and other evidence of accounting procedures and practices which sufficiently and properly reflect all costs of any nature expended in the performance of the contract. These records shall be subject at all reasonable times to inspection, review, or audit by personnel duly authorized by the agency and the Office of the State Auditor.
- 70.70.50.i The provider shall provide right of access to its facilities to the agency, the Department of Enterprise Services, the organization of state employees, or to any other authorized agent or official of the state of Washington in order to monitor and evaluate performance, compliance, and quality assurance under the contract.



70.75

Suspected Losses of Public Funds or Property

70.75.10

June 1, 2016

Purpose of these policies

The purpose of these policies is to establish how a state agency must respond in the event of a suspected loss of public funds or property.

70.75.20

June 1, 2016

Authority for these policies

The authority for these policies is RCW 43.88.160, RCW 43.09.185 and RCW 43.09.330.

70.75.30

June 1, 2016

Applicability of these policies

These policies are applicable to all agencies of the state of Washington as defined in RCW 43.88.020(4), unless otherwise exempted by statute or rule.

70.75.40

June 1, 2016

Responsibilities of the State Agency

Agencies are responsible to establish procedures that detail how to address a suspected loss of public funds or property. The procedures are to identify appropriate personnel who should be immediately notified prior to contacting the outside agencies. This may include the agency head or deputies, chief financial officer, or internal auditor depending upon the circumstances.

Further in the event of a suspected loss of public funds or property, the agency should:

- a. Take action to minimize the loss.
- b. Ensure that investigations are not hampered.
- c. Ensure that bond claims are not jeopardized.
- d. Ensure that appropriate personnel actions are taken.
- e. If appropriate, report the suspected loss to the Department of Enterprise Services Risk Management Office.
- f. Comply with RCW 43.09.185 and immediately report losses to the Office of the State Auditor (SAO).
- g. Comply with RCW 43.09.330 and include the SAO and the Office of the Attorney General in any loss settlement.