

Effective Date: August 26, 2017

POLICY 1004

Cancels:

See Also: POL 1002

Approved by: /S/ Joe Stohr

POL-1004 APPROVAL AND BUSINESS ACTION AUTHORITIES

The purpose of this policy is to identify the minimum approval and business action authorities for conducting agency business activities. This policy was written to be consistent with state law and regulations; and the Fish and Wildlife Commission's delegation of authority to the Director. However, if state law and regulations, and the Fish and Wildlife Commission's delegation are more restrictive than this policy, they will prevail.

Definitions:

Act or Acting: A subordinate's temporary ability to administer the duties of the Approval Authority.

Appointing Authority: An individual lawfully authorized to appoint, transfer, layoff, reduce, dismiss, suspend or demote employees under the state's civil service rules (Title 357 WAC). Appointing Authority status is held by Assistant Directors and Deputy Assistant Directors. Appointing Authority cannot be further delegated without the Director's approval.

Approval Authority: The minimum level of approval required prior to performing a Business Action. There are four levels of Approval Authority:

Level 1 – Signature Authority Manager (SAM); or Immediate Supervisor

Level 2 – Division Manager or Regional Program Manager

Level 3 - Assistant Director/Deputy Assistant Director, Regional Director or Special Assistant to the Director

Level 4 - Director/Deputy Director

Business Action: The act of executing a transaction or obligating agency funds.

Business Action Authority Matrix (BAAM): The document that identifies specific business actions, the minimum level of approval authority for those actions, and the position or unit that has processing authority for those actions. (Appendix A)

Processing Authority: The individual or work unit responsible or the authority required for performing a business action.

Signature Authority Manager (SAM): An individual identified in a specific program's Chart of Accounts that has the authority to approve purchases out of a specific master index code.

1. **Employees Will Obtain Authorization for Business Actions Consistent with the BAAM (Appendix 1).**

2. **Business Actions Not Listed on the BAAM May Still Require Approval.**

Business actions not listed in the BAAM may be governed by other agency policies and procedures; unit procedures; bargaining unit agreements; state regulations, such as the State Administrative and Accounting Manual; and state and federal laws.

Staff should contact subject matter experts within the agency (such as Human Resources for personnel issues; the Fiscal Office for payroll, payment, and billing issues; IT Services for information technology issues etc.) before initiating business actions not listed in the BAAM.

3. **Approval Authority is Required Before a Business Action is Performed.**

The Approval Authority is the minimum level of approval required by a Processing Authority to take action; the Processing Authority can accept a higher Approval Authority level for any action listed on the BAAM.

The Approval Authority may require the approval of prior (lower) levels of authority prior to granting approval; i.e. an Assistant Director may require the approval of the SAM and the SAM's Division Manager prior to exercising Approval Authority.

4. **Approval Authority Status May Be Delegated in Writing.**

Level 2 through 4 Approval Authority status may be delegated to a subordinate for specific business actions, provided such delegations are a) made in writing; b) can be verified by the Processing Authority;

and c) have not been prohibited by the Approval Authority's chain of command.

Level 1 Approval Authority cannot be delegated without the approval of the Program Assistant Director/Deputy Assistant Director.

If Acting Approval Authority status has not been designated in writing the next level of approval authority is required.

5. **A Subordinate in Acting Status Will Approve under the Approval Authority's Signature Block.**

6. **Programs Will Maintain Approval Authority Delegation Memos on the Agency Shared Drive for Ninety Days.**

Individual programs are responsible for posting and maintaining current delegations of Approval Authority status in writing on the WDFW Shared Drive under S:\All Agency\Shared Projects\Approval Authorities. Programs may not remove specific written delegations for a minimum of ninety days after the end of the period of each delegation.

7. **Only the Director Can Delegate Processing Authority.**

Processing Authority identified in this Policy cannot be further delegated by the unit or person with that authority. However, the Director may make delegations of Processing Authority in writing for specific business actions or projects.