STATE OF WASHINGTON
OFFICE OF FINANCIAL MANAGEMENT
STATE HUMAN RESOURCES DIVISION | DIRECTOR'S REVIEW PROGRAM
P.O. Box 40911 · Olympia, WA 98504-0911 · (360) 407-4101 · FAX (360) 586-4694

July 14, 2015

TO: Connie Goff, PHR
Rules and Appeals Program Manager

FROM: Kris Brophy
Director's Review Investigator

SUBJECT: Ken Marquart v. Department of Enterprise Services (DES)
Allocation Review Request ALLO-14-099

Director's Determination

As the Director's designee, I carefully considered all of the documentation in the file, including the exhibits presented during the Director's review conference and the verbal comments provided by both parties. Based on my review and analysis of Mr. Marquart's assigned duties and responsibilities, I conclude his position is properly allocated to the Mail Processing-Driver (MP-D) classification.

Background

On May 28, 2014, DES Human Resources (DES-HR) received Mr. Marquart's Position Review Request (PRR) form, requesting that his position be reallocated to the Mail Processing-Driver Lead (MP-D Lead) classification (Exhibit B-2).

DES-HR, conducted a position review and by letter dated September 15, 2014, notified Mr. Marquart that his position was properly allocated to the MP-D classification (Exhibit B-1).

On October 15, 2014, State Human Resources, OFM received Mr. Marquart's request for a Director's review of DES's allocation determination (Exhibit A-1).

On June 16, 2015, I conducted a Director's review conference with the parties. Present for the conference were Ken Marquart; Stacie Leanos, Council Representative, WFSE; Jubel Abear, Presort Mail Manager, DES; and Kristin Kaphan, Human Resource Consultant, DES.

During the review conference Mr. Marquart submitted two additional exhibits which have been incorporated into the record as exhibits.

Rationale for Director's Determination

The purpose of a position review is to determine which classification best describes the overall duties and responsibilities of a position. A position review is neither a measurement of the volume of work performed, nor an evaluation of the expertise with which that work is performed. A position review is a comparison of the duties and responsibilities of a particular position to the available classification specifications. This review results in a determination of the class that best describes the overall duties and responsibilities of the position. *Liddle-Stamper v. Washington State University*, PAB Case No. 3722-A2 (1994).

Organization Structure

Mr. Marquart works in the Outgoing Mail section of the Consolidated Mail Services (CMS) unit within the Business Resources Division of DES. At the time of the position review request Mr. Marquart reported to Mike Simpson. On July 1, 2014 Mr. Jubel Abear, Presort Mail Manager, became Mr. Marquart's supervisor.

Position Purpose

Mr. Marquart supports the Outgoing Presort mail services operations of CMS. His position guides work flow and provides a variety of presorting, metering, and mail shipping activities. He spends the majority of his time configuring, operating, and maintaining the unit's Optical Character Recognition (OCR) sorter. His tasks include receiving batches of metered mail, keying programmed jobs into the OCR, inserting mail into the OCR, monitoring the machine as it reads and sorts mail by zip-codes, and troubleshooting operating or other issues as they arise.

Duties and Responsibilities:

Mr. Marquart's duties and responsibilities are summarized from the PRR (Exhibit B-2) as follows:

80% **Duty**

Help lead presorting, metering, and shipping activities for Washington State government.

Tasks

Assists supervisory team directing work flow within Outgoing Presort. Operates, maintains, and configures computerized OCR/BCR sorter and DM 1000 mail metering machines in a lead capacity. Troubleshoots machine issues. Maintains OCR. Ensures the mail flow process is accurate and performed in a timely manner. Recommends process changes to enhance work flow. Understands the needs of our customers and is pro-active in customer service.

15% **Duty**

Help lead mail quality control for Washington State government.

Tasks

Adheres to current quality control procedures. Frequently checks mail for correct endorsements. Works with Office Support Supervisor to ensure staff adheres to quality standards.

5% **Duty**

Assists in other sections in CMS per need.

Tasks

Driving, inserting mail, sorting, customer service, and assisting other units within CMS.

Supervisor's Comments

Mr. Simpson completed the Supervisor Portion of the PRR. He indicates in Exhibit B-3 that Mr. Marquart's description of assigned work activities is not fully accurate and complete.

In his comments, Mr. Simpson states the purpose of Mr. Marquart's job is to:

> …help the supervisors lead OCR presorting activities. The shift supervisor is responsible for directing work flow for metering, manifesting, and OCR activities. This position does not check the work of other employees that meter and manifest mail. Employee is responsible for checking the quality of the mail that runs through the OCR.

Mr. Simpson does not believe Mr. Marquart has lead level responsibility. In his comments he states that Mr. Marquart's position, "does not regularly assign work to other staff." He indicates that on occasion throughout the day Mr. Marquart will ask coworkers to get more OCR mail or move on to other areas on the floor. Mr. Simpson states that as the shift supervisor he has primary responsibility for assigning duties to staff.

Mr. Simpson states Mr. Marquart's decision making authority includes assisting supervisors in directing work flow and personnel and making service calls. He indicates that Mr. Marquart does not direct these activities on a regular basis.

Summary of Mr. Marquart's Perspective

Mr. Marquart asserts the majority of his duties meet the requirements of the MP-D Lead classification. Mr. Marquart asserts he has responsibility for assigning work to other employees working on the OCR machine. This includes observing the volume of work coming to the OCR and telling other employees to sweep the machine as needed.

Mr. Marquart asserts he instructs others by showing new employees the entire function of the OCR machine when they start employment. He also instructs and corrects employees who are not following department procedures when they are working in the area.

Summary of DES's Reasoning

DES asserts Mr. Marquart does not have designated lead responsibility to regularly assign, instruct, and check the work of others on a ongoing basis. DES contends this responsibility rests with Mr. Simpson. DES argues Mr. Marquart coordinates the work of staff assigned to work on the OCR machine which aligns more appropriately with directing the work of others.

DES asserts that the scope and level of responsibility assigned to Mr. Marquart's position remains consistent with MP-D class.

Comparison of Duties to Class Specifications

When comparing the assignment of work and level of responsibility to the available class specifications, the class series concept (if one exists) followed by definition and distinguishing characteristics are primary considerations. While examples of typical work identified in a class specification do not form the basis for an allocation, they lend support to the work envisioned within a classification.

Comparison of Duties to Mail Processing-Driver Lead (MP-D Lead)

The Definition for this class states:

> Positions allocated to this level regularly assign, instruct, and check the work of others and independently oversee and perform mail services including sorting, processing, delivering, and collecting mail, and operating mail management system.
>
> Incumbents typically interpret department and institutional rules and regulations concerning mail operations, resolve complex customer problems, recommend cost effective mailing methods, and address other special or complex mailing requirements and needs.

There are no Distinguishing Characteristics for this class.

Lead

The State HR "*Glossary of Classification Terms"* defines "lead" as follows:

> **Lead.** An employee who performs the same or similar duties as other employees in his/her work group and has the designated responsibility to regularly assign, instruct, and check the work of those employees on an ongoing basis.

The *Glossary* defines "Direct the Work of Others" as follows:

> **Direct the Work of Others.** Provides work guidance or direction but is NOT a "lead"; does NOT have the responsibility of assigning, instructing and checking the work of others on a regular and ongoing basis.

Mr. Marquart's position does not fully reach the primary allocating criteria stated in the Definition of this class of serving in a lead capacity.

Assigning Work

First, as the shift supervisor, Mr. Simpson retains formal responsibility for assigning work to staff. In his comments Mr. Simpson indicates that he retains authority for directing the work flow for metering, manifesting, and performing other OCR-related activities for the Presort area.

Mr. Marquart has primary responsibility for operating the OCR machine. The OCR requires several staff working at the machine during normal operations. Mr. Marquart's role includes coordinating the work flow of the machine with other staff. This includes directing on-call staff to perform different tasks in the Presort area including sweeping the machine as needed. Mr. Marquart is responsible for making sure the mail is getting processed and will direct staff to sweep the OCR machine or perform other functions. However, Mr. Marquart does not meet with the staff working in the area on a regular daily basis to assign work. For example, some staff coming on to shift will ask Mr. Marquart where to work, others will begin working at various stations, and some will check in with the shift supervisor. Mr. Simpson also states that on occasion throughout the day Mr. Marquart will ask coworkers to get more OCR mail or move on to other areas on the floor. This overall scope of responsibility aligns more appropriately with directing the work of others.

Instructing and Correcting Work

Mr. Marquart instructs new staff on the operation of the OCR machine; however he does not have responsibility for instructing staff, providing feedback, and correcting performance on an ongoing basis. Mr. Simpson states in his comments that Mr. Marquart does not have formal responsibility for checking the work of other employees but is responsible for checking the quality of the mail that comes from the Insert area of CMS to be run through the OCR. He performs random audits of batches of this mail prior to processing. If he finds errors he notifies his supervisor who is responsible for notifying the Insert area and returning the mail for correction. In addition, responsibility for correcting the work of other employees working on the OCR machine rests with Mr. Marquart's supervisor. Mr. Simpson further indicates that Mr. Marquart is responsible for letting his supervisor know of any quality control or performance issues of other staff while operating the OCR machine; however Mr. Marquart does not have designated responsibility for contacting or following up with employees individually in order to correct their work.

In total, based on the information provided, Mr. Marquart's position does not have full designated responsibility for serving as the Lead for the Presort area during his assigned shifts.

Mr. Marquart works with a high degree of autonomy and independence in performing his work. Mr. Marquart performs a variety of duties which includes directing the work of other staff assigned to work the OCR machine. However, the focus of his position has not been recognized as the lead for the Presort area. While a portion of his duties reach certain aspects of performing lead work, as a whole, his position is more accurately described as directing the work of others.

Therefore, the scope of duties, and the overall level of responsibility assigned to his position does not reach the requirements of the MP-D Lead definition and his position should not be reallocated to that class.

Comparison of Duties to Mail Processing – Driver (MP-D)

The Definition for this class states:

> Positions at this level independently perform mail services such as delivering, collecting and processing both foreign and domestic mail and resolving routine customer problems. Incumbents configure and operate routine and complex electronic mailing equipment, digital scanning and tracking equipment, and x-ray and biohazard scanners. When delivering and collecting mail, incumbents regularly operate pickup, panel, and other trucks up to one-ton capacity.

Incumbents in this class use their knowledge of the United States Postal Services regulations to perform a variety mail services in a mail services unit or department. The majority of duties performed by Mr. Marquart closely meet this Definition.

For example, the focus of Mr. Marquart's position is to operate the OCR and perform related mail processing functions for the consolidated mail services function of the State of Washington. His position operates complex electronic mailing equipment. This includes primary responsibility for operating, maintaining, and configuring the computerized OCR/BCR sorter and DM 1000 mail metering machines. He ensures the OCR mail flow process is accurate and performed in a timely manner.

Although the examples of work do not form the basis for an allocation, they lend support to the work envisioned within a classification. The following examples of work are listed under the MP–D class and most relate to the duties he performs:

> Processes bulk and individual outgoing mail from departments to foreign and domestic areas that require postage and/or special mailing classifications;
>
> Operates mail equipment such as inserters, folders, trimmers and bursters, tabbers, high-speed address printers, postage equipment address verification systems, small package manifest, and mail management systems;
>
> Inspects, cleans, maintains, and troubleshoots mailing equipment and machines;
>
> Makes deliveries for commercial surface or air transport services within the facility or local campus;
>
> Determines cost most effective methods for sending mail and packages.

These examples of work are fully consistent with the duties Mr. Marquart performs.

Based on the information provided and the discussion held during the Director's review conference, it is clear Mr. Marquart has an important role in processing mail. Based on

the overall assignment of work, his position is most appropriately aligned within the MP-D class.

Most positions within the civil service system occasionally perform duties that appear in more than one classification. However, when determining the appropriate classification for a specific position, the duties and responsibilities of that position must be considered in their entirety and the position must be allocated to the classification that provides the best fit overall for the majority of the position's duties and responsibilities. See *Dudley v. Dept. of Labor and Industries*, PRB Case No. R-ALLO-07-007 (2007).

Further, positions are to be allocated to the class which best describes the majority of the work assignment. *Ramos v DOP*, PAB Case No. A85-18 (1985).

A position's allocation is not based on an individual's ability to perform higher-level work or on an evaluation of performance. Instead, a position's allocation is based on the majority of work assigned to a position and how that work best aligns with the available class specifications. In this case, the level, scope and diversity of the overall duties and responsibilities of Mr. Marquart's position best fit the Mail Processing-Driver classification. His position is properly allocated to that class.

Appeal Rights

RCW 41.06.170 governs the right to appeal. RCW 41.06.170(4) provides, in relevant part, the following:

> An employee incumbent in a position at the time of its allocation or reallocation, or the agency utilizing the position, may appeal the allocation or reallocation to . . . the Washington personnel resources board . . . . Notice of such appeal must be filed in writing within thirty days of the action from which appeal is taken.

The mailing address for the Personnel Resources Board (PRB) is PO Box 40911, Olympia, Washington, 98504-0911. The PRB Office is located on the 3rd floor of the Raad Building, 128 10th Avenue SW, Olympia, Washington. The main telephone number is (360) 407-4101, and the fax number is (360) 586-4694.

If no further action is taken, the Director's determination becomes final.

c: Ken Marquart, DES
Stacey Leanos, WFSE
Kristin Kaphan, DES

Enclosure: List of Exhibits

Ken Marquart v DES

ALLO-14-099

List of Exhibits

A. Ken Marquart Exhibits

1. Request for Directors Review
2. Department of Enterprise Services Allocation Determination
3. Position Review Request Employee Portion
4. Position Review Request Supervisors Portion
5. Position Description Form
6. Class Specification for Mail Processing Driver
7. Class Specification for Mail Processing Driver Lead
8. Organizational Chart-Consolidated Mail Services

Exhibits submitted during review conference:

9. Activity tracking documents – Quality Control Verifier, OCR Check Log, OCR/BCR POST-RUN VERIFICATION
10. Screen shot of Presort Weekly Supervisor/Lead Meeting

B. DES Exhibits

1. September 15, 2014 DES allocation determination letter
2. Position Review Request –employee portion
3. Position Review Request –supervisor portion
4. Position Description Form
5. CMS Organizational Chart
6. Class specifications
7. Glossary of Classification Terms
8. Email from Marissa McKay
9. Kristin Kaphan's overview and notes

C. Class Specifications

1. Mail Processing Driver
2. Mail Processing Driver Lead