



**STATE OF WASHINGTON**  
**OFFICE OF THE STATE HUMAN RESOURCES DIRECTOR**

DIRECTOR'S REVIEW PROGRAM  
521 Capitol Way South, P.O. Box 40911, Olympia, WA 98504-0911  
(360) 664-0388 · FAX (360) 586-4694

October 9, 2012

TO: Teresa Parsons, SPHR  
Director's Review Program Supervisor

FROM: Kris Brophy, SPHR  
Director's Review Program Investigator

SUBJECT: Cynthia Jones v. Department of Enterprise Services (DES)  
Allocation Review Request ALLO-12-030

**Director's Determination**

Ms. Jones's position was reallocated effective April 1, 2012, following a management-initiated position review completed by DES Human Resources. As the Director's designee, I carefully considered all of the documentation in the file, including the written comments provided by both parties. Based on my review and analysis of Ms. Jones's assigned duties and responsibilities, I conclude her position is properly allocated to the Information Technology Specialist 4 classification.

**Background**

On March 26, 2012, DES HR received a management-submitted Position Description Form (PDF) of Ms. Jones's position. DES-HR conducted a position review of Ms. Jones's position and by letter dated April 2, 2012, notified her that her position was being reallocated to the Information Technology Specialist 4 classification, effective April 1, 2012 (Exhibit B-2).

On May 2, 2012, the Office of State Human Resources Director (OSHRD) received Ms. Jones's request for a Director's review of DES's allocation determination. This position review is based on a review of the written information submitted by both parties.

**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).

In Byrnes v. Dept's of Personnel and Corrections, PRB No. R-ALLO-06-005 (2006), the Board held that "[w]hile a comparison of one position to another similar position may be useful in gaining a better understanding of the duties performed by and the level of responsibility assigned to an incumbent, allocation of a position must be based on the overall duties and responsibilities assigned to an individual position compared to the existing classifications. The allocation or misallocation of a similar position is not a determining factor in the appropriate allocation of a position." Citing to Flahaut v. Dept's of Personnel and Labor and Industries, PAB No. ALLO 96-0009 (1996).

### Duties and Responsibilities

Ms. Jones's position is located in the Information Services Division (ISD) of DES. Her position supports the planning, installation, configuration, and administration of commercial "Off-the-shelf" applications used for client agencies including the Office of Financial Management, the Governor's Office, DES, and other state agencies.

Ms. Jones supports a Document Management/Imaging/Scanning application called TRIM. This program is used to support client agency program delivery and records retention functions. She also provides support to the KOFAX scanning process, and the Internet Quorum Constituent (IQ) tracking systems. Ms. Jones provides technical consultation, specialized technical and process analysis, system design, configuration, support, documentation, and training for the IT processes and services associated with those systems.

Ms. Jones serves under the direction of the CIO and is supervised by Daniel Cole, Portfolio Manager. The Position Description Form submitted for reallocation describes her duties as follows: (summarized from Exhibit B-1)

#### 60% Systems Administration

Assess the infrastructure environments and ensure that agencies are architecturally ready for the implementation of or changes to products as part of project plans. Perform planning with agency staff and customers while implementing changes in business processes by identifying and assessing the opportunities and risks in business plans. Facilitate the resolution of other business issues by reviewing requests from users, gathering statistical or other relevant data, and conducting studies needed to determine needs. Specifies requirements and works with established vendors to acquire hardware/software. Writes requests for proposals and evaluates responses for computer or hardware.

Tasks include configuring computer systems and security based on the specific user roles and the manner in which staff use the systems in an organization. This entails having specific knowledge of operating systems and

application configurations, as well as hardware and software troubleshooting, but also knowledge of the purposes for which people in the organization use the computers and systems as tools.

These activities include the documentation of all aspects of the system, the processes and findings, and the configuration of systems to meet business rules and system requirements. This may include scripting or using system interfaces or management consoles for creating reporting, configuration, or system templates including the setup of security policies for users.

15% Operations

Configuring, supporting, or otherwise maintaining components on servers or other computer systems. Provides required security access. Conducts security awareness training in regards to system use.

This position interacts with support personnel from the system vendor, providing them with relevant diagnostic information, log reports, etc. around issues, and assisting in the implementation of their tested upgrades, patches, etc. Conducts unit or other tests to assure system quality. Prepare for project transition to Maintenance and Operations mode as new systems are implemented. Provide input for internal production support needs with the technical team and cross-train staff. Provides technical information in support of helpdesk and customer service functions for supported products.

10% Participate in agency strategic and tactical planning activities

Assists in the development of tactical plans to carry out the goals and objectives of the enterprise, agency, division, and/or portfolio units. Develops organizational acquisition plans and coordinates with other groups for their implementation. Assess and understand planning issues, evaluate options, form accurate conclusions, and make decisions. Collaborate with project and business management to identify technical issues which may impact the schedules, deliverables, costs, risks, and quality of projects.

Provides resource estimates, schedules, and other information for project management activities to management staff and project teams. Participates in the planning for changes to systems to support strategic business processes and sustain the goals and objectives of the business as well as the state's record retention policies. Coordinate system configuration with training, operational, record retention policies. Coordinate system configuration with training, operational, and project tasks. Explain complex technical terminology and system functionality in understandable lay-terms for business and project staff so the impacts of decisions are clearly understood.

10% Training

May aid the Product Consultants in the training of users by providing answers to questions about technical aspects and provide data and configurations for training purposes. Contribute to user education training by providing documentation for user manuals, and other system documentation where needed. Lead or assist training efforts by preparing and delivering concise and accurate presentations especially when technical expertise is required. Provide user education in helpdesk scenarios.

In her comments, Ms. Jones explained that she provides recommendations and guidance to business units on specific methodologies and best practices surrounding electronic records management and the systems that control them. She analyzes and converts the business group's paper based process into a paperless process which allows the group to conduct its multi-agency work with appropriate searching, auditing and tracking tools from the receipt of records through record destruction.

She states the systems she supports have a limited number of internal users to DES, but two of the customer groups provide services to fifty state agencies which have high financial impact and financial records management risks.

She also states that the IQ system she administers provides the Governor's Office with a direct online complaint tracking system which is used to manage approximately 100,000 items per year.

Summary of Ms. Jones's Perspective

Ms. Jones asserts her position reaches the ITS 5 class level of responsibility. Ms. Jones contends her duties have expanded in the specialized area of electronics records management (ERM) from maintaining and expanding current systems to serving as the agency's recognized expert in providing electronic records management consultation and analysis, and designing and implementing paperless business processes and imaging for multiple internal and external DES clients.

Ms. Jones asserts she provides expert advice for projects requiring business process changes related to the use of electronic records or the digitizing of paper records into an ERM system. Ms. Jones asserts the ERM applications she supports serve user groups that perform enterprise level or high risk/impact functions daily and have enterprise level impact for the agencies using those systems. Ms. Jones contends that two of the customer groups she supports provide services to fifty state agencies.

Ms. Jones contends she uses her experience in ERM and image capture to perform specialized analysis and recommendations, and she is the only staff member in DES that understands the process well enough to perform the evaluation and provide recommendations to senior IT and other agency management regarding the design and implementation of large scalable ERM systems.

Ms. Jones asserts the level of her decision-making authority, level of responsibility is consistent with the ITS 5 class (Exhibit A-1).

### Summary of DES's Reasoning

DES asserts the overall level and scope of duties and responsibilities assigned to Ms. Jones's position does not reach the ITS 5 level of responsibility.

DES contends the TRIM application that Ms. Jones supports is used by a limited number of customers and is not considered an enterprise or organization-wide, high-risk/high-impact, or mission critical application.

DES asserts the ITS 4 class is more closely aligned with the size of the application and the level of support Ms. Jones exercises in her position. DES asserts Ms. Jones is a senior-level specialist who applies advanced technical knowledge and considerable discretion to evaluate and resolve complex tasks consistent with the ITS 4 level class.

### Comparison of Duties

When comparing the assignment of work and level of responsibility to the available class specifications, the Class Series Concept (if one exists) followed by the 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.

The Class Series Concept for the Information Technology series states in relevant part:

“Positions in this category perform professional information technology systems and/or applications support for client applications, databases, computer hardware and software products, network infrastructure equipment, or telecommunications software or hardware.

This category broadly describes positions in one or more information technology disciplines such as: Application Development and Maintenance, Application Testing, Capacity Planning, Business Analysis and/or Process Re-Engineering...IT Project Management, Systems Software, Web Development, or Voice Communications.”

Ms. Jones's position performs professional technology systems administration support and performs duties associated with the Business Analysis disciplines, and therefore should be allocated to a class within the Information Technology series.

### Comparison of Duties to Information Technology Specialist 5

The Definition for this class states:

This is the supervisory or expert level. Provides expert consultation and specialized analysis, design, development, acquisition, installation, maintenance, programming, testing, quality assurance, troubleshooting, and/or problem resolution tasks for major

organization-wide, high risk/high impact, or mission-critical applications computing and/or telecommunication systems, projects, databases or database management systems; support products, or operational problems.

Performs highly-complex tasks such as conducting capacity planning to determine organization-wide needs and make recommendations; designing complex agency- or institution-wide enterprise systems crossing multiple networks, platforms or telecommunication environments; overseeing the daily operations of large-scale or enterprise systems; identifying and resolving operational problems for major high risk systems with centralized, organization-wide functions; testing multi-dimensional applications, providing quality assurance; developing standards or enhancing existing, high risk and impact, mission critical applications; integrating business solutions, or writing feasibility studies and decision packages for high visibility/impact initiatives.

Provides leadership and expert consultation for large-scale projects or enterprise systems that often integrate new technology and/or carry out organization-wide information technology functions, or impact other institutions or agencies. Provides project management leadership, technical expertise and demonstrates knowledge of project management practices, principles, and skills.

May supervise information technology specialists or function as a recognized expert who is sought out by others in resolving or assessing controversial or precedent-setting issues.

While a portion of Ms. Jones's work involves certain aspects of the ITS 5 level class, in total, the majority of her work does not reach the level of responsibility required by the Definition of this class.

Incumbents at the ITS 5 level spend a majority of their time performing highly-complex, expert-level tasks. These tasks require highly-specialized technical knowledge and understanding of complex computing environment(s) and their client's needs. Incumbents perform expert-level tasks such as designing enterprise-level or other large-scale systems with multiple networks, platforms or environments within the organization; directing or leading large-scale, enterprise or mission-critical projects; conducting organization-wide capacity planning and making recommendations; and writing feasibility studies and decision packages for high visibility/impact initiatives.

At this level incumbents have discretion and are delegated authority in their role as an expert-level specialist to resolve the most complex operational problems for major high-risk systems that often have centralized or organization-wide functions; have delegated authority to make decisions affecting project or operational outcomes which often go beyond divisional lines. Performance at this level is evaluated in terms of adherence to program goals, budgetary limitations, compliance with laws and regulations and general organizational policy.

The scope of Ms. Jones's position does not fully reach this overall level of responsibility.

Organization-wide, high risk, high impact, or mission-critical system.

Ms. Jones supports a Document Management/Imaging/Scanning application called TRIM. This program is used to support client agency program delivery and records retention functions. DES states in its comments that TRIM is used by a limited number of customers; i.e. 34 individual licenses. Currently client agencies include the Governor's Office, OFM accounting, DES Small Agency Client Services, and the DES Vendor desk. As stated in the PDF for her position, Ms. Jones also provides support to the KOFAX scanning process, and the Internet Quorum Constituent (IQ) tracking systems. Ms. Jones provides technical consultation, specialized technical and process analysis, system design, configuration, support, documentation, and training for the IT processes and services associated with those systems.

However, DES states in its response that it does not consider any of these applications to be high-risk, high-impact, or mission-critical systems. Therefore, the TRIM, KOFAX and IQ applications do not fully reach the size or scope of application anticipated at the ITS 5 level involving organization-wide or enterprise-level systems. Further, these applications do not serve centralized, organization-wide functions for DES or the client agencies.

Highly-complex & Expert-level Tasks

Ms. Jones performs systems administration work for the TRIM and IQ applications. She is the designated Systems Administrator for those systems, using her technical ERM expertise to perform all phases of business analysis, systems design, development/programming, testing and implementation.

While Ms. Jones provides expert-level technical systems administration support to the TRIM application, the overall scope of her position does not involve performing a majority of highly-complex tasks as stated in the Distinguishing Characteristics for this class.

Ms. Jones's position does not have primary or lead responsibility for designing enterprise-level systems crossing divisional lines with multiple networks, platforms, or telecommunication environments. She does not have primary responsibility for developing project plans and directing large-scale projects at the level intended by this class. Ms. Jones provides consultation and advice to business units on specific methodologies and best practices surrounding electronics management and the systems that control them. Ms. Jones is not responsible for conducting capacity planning to determine organization-wide needs.

Project leadership/Expert consultation

Incumbents at the ITS 5 level provide leadership and expert-level consultation for large-scale projects or enterprise systems that often integrate new technology and/or carry out organization-wide information technology functions, or impact other agencies. Incumbents exercise broad discretion and authority in their role as expert-level specialists and are generally delegated decision-making authority across divisional

lines. As a whole, Ms. Jones's position does not reach this overall level of responsibility.

Ms. Jones states in her comments that the scope of her responsibility involves analyzing a business group's paper based process in order to convert it into a digital or "paperless" process so that the group can conduct its multi-agency work with appropriate searching, auditing, and tracking tools from the point of receipt until record destruction.

As the systems administrator for her assigned systems, approximately ten percent of Ms. Jones's time is spent participating in strategic and tactical planning activities. Ms. Jones collaborates with project and business management staff to identify technical issues which may impact project schedules, deliverables, costs, risks and other issues related to the implementation of ERM systems. She provides resource estimates, schedules, and other information to project management staff and project teams. She also participates in the planning stages for ERM system implementations and ensures business processes are properly identified and implemented.

Ms. Jones provides expert level technical guidance and advice to project teams. Ms. Jones works in collaboration with other agency and DES staff to provide technical support during planning, development, and implementation efforts, but does not lead these efforts.

Ms. Jones performs her work independently and works under the direction of the DES Portfolio Manager. As stated in the PDF for her position, she interacts with executive level Business Managers, other ISD Portfolio managers, and agency Executives to provide technical expertise and consultation in enterprise-wide issues related to ERM systems. This level of interaction reaches ITS 5 level of responsibility.

However, Ms. Jones does not lead work teams or provide overall project leadership for these efforts. From the information and exhibits presented, Ms. Jones's responsibilities are tactically focused, primarily focused on working closely with other system support staff inside DES to assist in the proper installation and configuration of these system's components. She assesses infrastructure requirements and ensures client agencies are architecturally ready for implementation of products. She independently assists in the configuration of the applications to meet the client's business needs, rules and other system requirements. She participates in the testing of upgrades to the systems, works with vendors regarding application defects, and interacts with business analysts and end users to complete the projects.

Ms. Jones's position is tactical in nature involving providing technical consultation regarding the application systems. Overall, the scope of her work does not reach the ITS 5 level of responsibility for project leadership and guidance.

In total, Ms. Jones's position does not have the scope of individual responsibility for performing ITS 5 level work. This is supported in Pogue and Goshorn v. Labor and Industries, PRB Case Nos. R-Allo-07-017 & R-Allo-07-018 (2008) which states in relevant part:

... Appellants do not perform highly-complex tasks with the breadth of impact envisioned by the ITS5 classification. While Appellants' work impacts all employers and recipients of certain benefits, their work does not impact DES on an organization-wide level. For example, Appellants do not conduct capacity planning to determine organization-wide needs; design complex agency-wide enterprise systems crossing multiple networks, platforms or telecommunication environments; or identify and resolve operational problems for major high risk systems with centralized, organization-wide functions. While Appellants provide leadership and expert consultation in their assigned areas, they do not perform these functions for large-scale projects or enterprise systems involving organization-wide information technology functions. Duties performed at an organization-wide level would potentially impact all business areas within an agency. Appellants' work impacts Claims Administration; their work does not impact all of LNI's business areas.

Overall, Ms. Jones's position does not encompass the full scope and level of responsibility required by this class. For these reasons, Ms. Jones's position should not be allocated to the Information Technology Specialist 5 class.

#### Comparison of Duties to Information Technology Specialist 4.

The Definition for this class states:

Performs analysis, system design, acquisition, installation, maintenance, programming, project management, quality assurance, troubleshooting, problem resolution, and/or consulting tasks for complex computing system, application, data access/retrieval, multi-functional databases or database management systems, telecommunication, project or operational problems.

As a senior-level specialist in an assigned area of responsibility and/or as a team or project leader, applies advanced technical knowledge and considerable discretion to evaluate and resolve complex tasks such as planning and directing large-scale projects; conducting capacity planning; designing multiple-server systems; directing or facilitating the installation of complex systems, hardware, software, application interfaces, or applications; developing and implementing quality assurance testing and performance monitoring; planning, administering, and coordinating organization-wide information technology training; acting as a liaison on the development of applications; representing institution-wide computing and/or telecommunication standards and philosophy at meetings; or developing security policies and standards.

Incumbents understand the customer's business from the perspective of a senior business person and are conversant in the customer's business language. Projects assigned to this level impact geographical groupings of offices/facilities, and/or regional, divisional, or multiple business units with multiple functions. The majority of tasks performed have wide-area impact, integrate new technology, and/or affect how the mission is accomplished.

The primary thrust of Ms. Jones's position, and the majority of her duties as a whole, falls within the scope and level of responsibility stated by the Definition for this class.

Ms. Jones performs senior-level IT systems administration work supporting the TRIM application and other systems used in the VIP Portfolio. Ms. Jones's position provides technical consultation and support to applications that are primarily implemented with business units of client agencies, which is consistent with the Definition of this class for independently resolving complex computing needs within an assigned area of responsibility. Ms. Jones's position encompasses an area of responsibility which impacts, "...divisional, or multiple business units with multiple functions."

Ms. Jones performs senior-level information technology systems administration. Ms. Jones spends approximately sixty percent of her time performing senior level systems administration work. She ensures the TRIM document management, KOFAX scanning process, and Internet Quorum Constituent Tracking systems support the business needs of client business groups. She performs system administration, project planning and implementation assistance, training, and other functions including resolving operational problems and performing other tasks at a level of responsibility that is consistent with the Definition of this class.

Although the Typical Work examples do not form the basis for an allocation, they lend support to the work envisioned within a classification. The following provides an example of the level of work assigned to the Information Technology Specialist 4 class, as stated on the class specification:

Conducts capacity planning to determine the needs of an assigned area. Analyzes new capabilities that may be applied. Tests and evaluates new software and/or hardware products, document characteristics, and make recommendations;

Coordinates user/client requirements for computing services. Designs multiple-server systems ...to meet regional, divisional, or multiple business unit needs. Designs specialized interfaces, file transfers, data gathering and integrator systems, control apparatus, or telecommunication equipment;

Designs/re-designs systems which may include such tasks as system modeling, system mapping and planning system connectivity; or re-configuring existing systems;

Identifies and resolves multiple-server problems, transmission problems, etc. Works with vendors to solve complex problems. Uses advanced diagnostic tools to analyze work of others and personally resolve complex problems. Leads problem solving teams;

Develops, codes, tests, and implements specifications for complex regional, divisional, or multifunctional applications;

...Monitors database management system and application performance. Analyzes and documents performance problems. Designs, develops, and maintains common modules of a database management system;

Performs data analysis. Develops and maintains logical data models. Maintains data repository, including design and development of applications for maintaining and reviewing repository information. Trains and assists staff in use of repository;

Acts as a liaison on the development of applications and modifications to existing applications. Represents organization-wide computing standards and philosophy at meetings, and reports information back to unit administrators;

Develops and implements quality assurance testing and performance monitoring, utilizing quality assurance techniques and practices;

Conducts traffic studies, analyzes information and trends, makes recommendations and takes action to improve system performance and efficiency;

Conducts unit, system, or usability testing for applications;

Assesses and develops training materials and conducts advanced instruction on the use of information technologies.

Develops and coordinates with organizational acquisition plans. Specifies requirements, works with established vendors to acquire hardware/software. Writes requests for proposals and evaluates responses for computer or telecommunications software or hardware;

Ms. Jones's duties are fully consistent with these statements. Her responsibilities serving as the systems administrator for the TRIM application and other systems including planning with agency staff and customers and implementing changes in business processes related to the implementation of an ERM system; gathering statistical or other relevant data, and conducting studies needed to determine needs are consistent with the level of responsibility of this class. Ms. Jones determines systems requirements and works with established vendors to acquire hardware/software. She writes requests for proposals and evaluates responses for computer or hardware purchase needs.

She configures computer systems and security, scripting or using system interfaces or management consoles for creating reporting, configuration, or system templates including the setup of security policies for users.

Based on the level, scope and diversity of the overall duties and responsibilities assigned to Ms. Jones's position, her position is properly allocated to the ITS 4 classification.

**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 P.O. Box 40911, Olympia, Washington, 98504-0911. The PRB Office is located at 600 South Franklin, Olympia, Washington. The main telephone number is (360) 664-0388, and the fax number is (360) 753-0139.

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

c: Cynthia Jones  
Liz Maguire, DES HR  
Lisa Skriletz, OSHRD

Enclosure: List of Exhibits

**Cynthia Jones v. Department of Enterprise Services**

ALLO-12-030

Exhibit List

A. Cynthia Jones Exhibits

1. Request for Director's Review from Cynthia Jones received May 2, 2012
2. April 2, 2012 DES reallocation notification letter
3. Ms. Jones's written argument in support of her position reallocation request

B. DES Exhibits

Cover letter from Liz Maguire to Office of State HR Director, submitting the following exhibits:

1. Position Description form for Cynthia Jones received on March 26, 2012 by DES Human Resources
2. Allocation determination letter from Lori Wells to Cynthia Jones, dated April 2, 2012
3. DES's written justification for the position reallocation.

C. Class Specifications

1. DOP Class Specifications for Information Technology Specialist 4 (479L).
2. DOP Class Specifications for Information Technology Specialist 5 (479M).