

**STATE OF WASHINGTON**  
**OFFICE OF FINANCIAL MANAGEMENT**  
STATE HUMAN RESOURCES | DIRECTOR'S REVIEW PROGRAM  
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September 24, 2014

TO: Connie Goff, PHR  
Rules and Appeals Section Chief

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

SUBJECT: Lorene Hansen v. Department of Corrections (DOC)  
Allocation Review Request ALLO-13-074

**Director's Determination**

This position review was based on the work performed for the twelve-month period prior to June 26, 2013, the date DOC Airway Heights Corrections Center Human Resources (AHCC HR) received Ms. Hansen's request for a position review. As the Director's Review Investigator, I carefully considered all of the documentation in the file, the exhibits, and the written comments provided by both parties. Based on my review and analysis of Ms. Hansen's assigned duties and responsibilities, I conclude her position is properly allocated to the Office Assistant 3 classification.

**Background**

On June 26, 2013, DOC AHCC HR received Ms. Hansen's Position Review Request (PRR) form asking that her position be reallocated to the Administrative Assistant 3 classification.

On September 4, 2013, DOC HR notified Ms. Hansen that her position was properly allocated to the Office Assistant 3 class (Exhibit B-1).

On October 1, 2013, the State HR Director's Program received Ms. Hansen's request for a Director's review of DOC's allocation determination (Exhibit A-1).

On September 9, 2014, I conducted a Director's review telephone conference with the parties. Present during the call were Lorene Hansen; Captain Barbara Arnett, DOC AHCC; Sara Conly, HR Consultant, DOC HR; Linda Sutherland, HR Consultant, DOC HR; and Tina Cooley, Manager, Classification, Pay and HRIS, DOC HR.

### **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).

### **Duties and Responsibilities**

Ms. Hansen works in the Captain's Office within the DOC AHCC facility. Her position provides complex clerical support to unit staff and operations.

Ms. Hansen reports to Captain Barbara Arnett. The purpose of Ms. Hansen's position as stated in the Position Review Request (PRR) form is to provide "support ...to the Captain's Office with responsibility to the Shift office, Roster department (hiring) and Capacity Manager (offender movement)" functions.

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

65% Gather research and input collected information from various areas throughout the institution.

Violence Tracking – Gather and maintain monthly OMNI violence tracking information for Main and MSU Institution. Provide accurate and timely information to HQ for GMAP purposes.

Screening Committee Incoming Transport Review Checklist (Captain's designee).

Public Disclosure Request – Gather information as requested and provide information as requested to Public Disclosure Coordinator for Captain's Office. Ensure time frames are met.

Muster Folder – Organize and rename folders for staff viewing.

Liberty Net Program – Liaison for main facility to HQ for Liberty net program.

Log in ID Coordinator (LID) Custody.

Key watcher/AHCC Key database (ACCESS) Update staff action form information into program (ACCESS). Resource for Shift Commander in event of lost keys to identify doors, keys, key rings, and additional information which could be affected due to a key incident.

25% Criminal Histories

Complete NCIC [National Crime Information Center] request form, process, review NCIC/WACIC. Review for warrants, missing person, terrorist, no contact orders, etc. Notify Law Enforcement Agencies as needed. Review for institution eligibility and notify Captain of concerns.

Review DISCIS for open, pending or deferred charges.

Verify outstanding court warrants expired with NCIC/WAICIC but active with

DISCUS.

Review SCOMIS for docket, sentence and charge information as needed.

Process license plate inquiries as requested.

5% Support/Assist Captain Secretary Senior, Roster Department and Capacity Manager

Captains Secretary – distribute mail, issue Custody Badges. Gather information as needed (use of force packets, recounts, video tapes, evidence tapes etc.) Input shift overtime summary into spreadsheet. Provide back up as needed per the Captain's direction.

Roster Department – Review for accuracy and completeness (3) shift rosters and shift summaries as completed by shift Lieutenants. Research discrepancies or any issues noted. Input data from shift summaries into roster database (ATLAS). Assist roster department and Human Resources with recruitment/hiring event for potential new custody staff. Complete reference checks on potential new employees.

Capacity Manager – Completed offender movements into OMNI for Capacity Manager. In house moves, releases, medical trips, hospital watch, one on one watch, emergency transports, special transports etc. Review and process daily transports for incoming/outgoing offenders. Process violator's coming into the institution. Update release movement tracking of offenders being released or transporting to jail. Update count sheets into database. Build transfer orders for offenders for institution change as requested. Reconcile movement count and master control movement numbers are accurate and all offenders movement are accounted for. Maintain accurate spreadsheet for transport violators. Maintain staff accountability sign in/out sheet log books.

5% Other duties as assigned

[Perform] duties as assigned by the Captain's office including typing, filing, archiving, ordering supplies, preparing and gathering information and documents for reports and audits.

Incident Command Recorder – In an emergent situation, perform duties as directed by Incident Commander/Designee.

Communicate security concerns to supervisor and other staff.

Supervisor Comments

Captain Arnett completed the Supervisor's section of the PRR. Captain Arnett indicates in the PRR that Ms. Hansen's description of her assigned duties and responsibilities is accurate and complete.

Summary of Ms. Hansen's Perspective

Ms. Hansen asserts her position meets the Administrative Assistant 2 or 3 classes by providing varied higher-level administrative support duties for her supervisor and having delegated responsibility for multiple program activities for her supervisor. This includes her duties associated with the Violence Tracking, Key Watcher, AHCC Key database, NCIC criminal

history background checking, Intake screening, Shift Summaries, Star Program, and Log on ID Coordinator assignments and functions.

Ms. Hansen asserts she also serves in a back up capacity for the Captain's Secretary Senior and the Roster department and Capacity Manager. In total, Ms. Ms. Hansen asserts she performs various administrative functions for the Captain's Office which accurately falls within the Administrative Assistant 2 or 3 level classes.

#### Summary of DOC's Reasoning

DOC asserts that the scope of Ms. Hansen's position does not meet the allocating criteria for allocation to a class within the Administrative Assistant series.

DOC asserts that Ms. Hansen's position is responsible for establishing and maintaining manual and electronic files and databases such as the Muster Folder, OMNI, Liberty, and the Access Key Database. DOC asserts Ms. Hansen prepares, reviews, verifies and processes documents and records including GMAP reports, NCIC/WAICIC forms, and Public Disclosure information. DOC contends these duties have remained consistent over time and the additional duties she has assumed are more routine and clerical in nature to support unit operations.

In total, DOC asserts Ms. Hansen spends a majority of her time performing complex clerical duties and her position is properly allocated to the Office Assistant 3 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 Administrative Assistant 3

The Definition of the Administrative Assistant 3 classification states:

Positions perform varied administrative and secretarial support duties or positions are responsible for one or more major program activities under a second line supervisor.

The Distinguishing Characteristics for this class state:

Positions are delegated higher-level administrative support duties or positions are delegated one or more major program activities that would be performed under a second-level professional supervisor, manager or administrator in WMS Band II or above or in exempt service, chief administrator, or head of a major organizational unit such as a school, college, or major academic or administrative department. Only one position will be allocated to an individual second-line supervisor for those positions performing one or more major program activities.

A major program activity is defined as a function that is a major element of the supervisor's job. The duty must stand alone and would create significant adverse

consequences if poorly performed. However, full delegation can't occur if the supervisor's position requires specialized licensure such as attorneys, medical doctors, and engineers.

Higher-level administrative duties are duties of a substantive nature that are appropriate to be performed by the supervisor, manager, administrator, or professional level employee but have been delegated to the administrative assistant to perform. Areas may include but are not limited to, the following: budget development and/or management, expenditure control, office space management, equipment purchases, budget development and/or management, public relations, personnel administration, records management, and report preparation.

Incumbents in these positions represent the supervisor's and/or unit's goals and interests and provide interpretation or explanation of the supervisor's policies or viewpoints.

The scope of Ms. Hansen's position does not include responsibility for providing administrative support duties at the level required by the Definition and Distinguishing Characteristics of this class.

#### Major Program Activities

Ms. Hansen's position does not have responsibility for providing assistance for one or more major program activities for her supervisor as required. Major program activities consist of performing functions that are a major element of the supervisor's job. Captain Arnett indicated during the review conference that this level of responsibility has not been delegated to Ms. Hansen's position.

It is acknowledged that a portion of her work involves performing higher level administrative clerical support tasks on behalf of the Captain. This includes performing the Captain Office's portion of the initial offender intake screening process, and running criminal histories through the NCIC for the facility for potential new employees, vendors, visitors, and others. However, while it is acknowledged that Ms. Hansen performs these complex, specialized duties independently, the scope of this work does not constitute providing assistance for one or more major program activities for her supervisor as required.

#### Higher Level Administrative Duties

Further, Ms. Hansen's position does not provide higher-level administrative support services to her supervisor. Higher level administrative duties are duties of a substantive nature that are appropriately performed by her supervisor, but have been delegated to the Administrative Assistant to perform.

While Ms. Hansen does perform certain higher level administrative clerical tasks in support of the unit's operations, her position does not have delegated responsibility to act on her supervisor's behalf in substantive areas at the level envisioned by this class. Her position does not have a reporting alignment identifying her position as the administrative assistant to her supervisor. The scope of Ms. Hansen's position does not include responsibility for representing her supervisor's and/or the unit's goals and interests and providing interpretation or explanation her supervisor's policies or viewpoints to lower level supervisors or staff commensurate with the level of authority anticipated by this class.

For example, Ms. Hansen has not been delegated responsibility for any of the following administrative functions: budget development and/or management, expenditure control, office space management, equipment purchases, budget development and/or management, public relations, personnel administration, records management, or report preparation. Ms. Hansen's duties more accurately consist of performing a variety of complex clerical duties and functions in support of the unit's security and other operational functions.

Further, Ms. Hansen does not have administrative responsibility regarding unit personnel issues. The unit's Correctional Lieutenants are responsible for managing staffing and performing other personnel-related activities for their staff and any involvement with Ms. Hansen regarding staffing issues is informational or procedural rather than managerial. Ms. Hansen's position does not have any budget-related responsibility.

Similarly, Ms. Hansen's position does not provide administrative staff support services for a section or unit with delegated authority to act in her supervisor's behalf in areas of substance as required at the Administrative Assistant 2 level. Ms. Hansen did not have authority to act on behalf of her immediate supervisor, Captain Arnett. Ms. Hansen does not supervise professional or clerical subordinates and does not have a formal reporting alignment identifying her position as the principal administrative assistant to her supervisor as required at the Administrative Assistant 2 level.

Finally, Ms. Hansen does not provide para-professional administrative and staff assistance to a professional supervisor by reviewing, controlling, prioritizing, and coordinating the work of the supervisor's professional staff, or performing a fully delegated technical portion of a professional position's duties for a majority of her time as required at the Administrative Assistant 1 class level. During the review conference Captain Arnett indicated that this level of responsibility has not been formally delegated to Ms. Hansen.

In total, Ms. Hansen's position does not meet the primary allocating criteria for allocation to the Administrative Assistant 3 class, or other classes within the Administrative Assistant series.

For each of these reasons Ms. Hansen's position should not be allocated to the Administrative Assistant 3 class or other classes within the Administrative Assistant series.

#### Comparison of Duties to Office Assistant 3

The Class Series Concept of the Office Assistant series states that positions perform "a variety of clerical duties in support of office or unit operations."

The Definition for Office Assistant 3 states:

Under general supervision, independently perform a variety of complex clerical projects and assignments such as preparing reports, preparing, reviewing, verifying and processing fiscal documents and/or financial records, composing correspondence such as transmittals and responses to frequent requests for information, establishing manual or electronic recordkeeping/filing systems and/or data base files, and responding to inquiries requiring substantive knowledge of office/departmental policies and procedures. Positions may perform specialized complex word processing tasks in a word processing unit or complex rapid data inquiry and/or entry functions.

The Distinguishing Characteristics for Office Assistant 3 include the following:

Assignments and projects are of a complex nature. Independent performance of complex clerical assignments requires substantive knowledge of a variety of regulations, rules, policies, procedures, processes, materials, or equipment. Problems are resolved by choosing from established procedures and/or devising work methods. Guidance is available for new or unusual situations. Deviation from established parameters requires approval. Work is periodically reviewed to verify compliance with established policies and procedures. . . .

This class describes positions which independently perform a variety of complex clerical duties in support of daily office or unit operations. Consistent with Ms. Hansen's position, Office Assistant 3 positions work under general supervision and independently perform a variety of complex clerical assignments requiring substantive knowledge of a variety of regulations, rules, policies, procedures, processes, and materials. As a whole, Ms. Hansen's position closely aligns with this focus.

Further, 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 following typical work examples describe the scope and level of responsibility assigned to her position:

- Resolving problems and responding to inquiries regarding rules, regulations, policies, department procedures;
- Reviewing documents and records for completeness, accuracy, and compliance with rules and determining or explaining action necessary to achieve compliance or approval;
- Reviewing, verifying for accuracy, and investigating discrepancies to ensure compliance with established procedures and policies;
- Establishing and maintaining complex electronic or manual file systems or data base files;
- Preparing or assisting in the preparation, compilation, and coordination of records;
- Compiling material requiring specialized knowledge and judgment in selection and treatment of data and format.

Ms. Hansen's position requires substantive knowledge of the Captain's Office's policies and procedures. She spends a majority of her time performing complex clerical assignments. This includes gathering information, compiling data and reporting information. It also includes reviewing documents and records for completeness, accuracy and compliance with internal policies and procedures. This includes such activities as compiling monthly OMNI Violence Tracking information and updating and maintaining the AHCC Key database. She serves as a resource to management staff in the event of lost keys or other key incidents. She also serves as a liaison for the Liberty Net Program, and serving as a Log in ID Coordinator. She responds to Public Disclosure requests.

She also provides backup support and assistance to the Captain's Office Secretary Senior, Roster Department and Capacity Manager. She performs a variety of tasks to ensure accurate monitoring and reporting of information and data. This includes such functions as inputting shift overtime summary information into a spreadsheet, assisting the Roster Department by reviewing completed shift rosters and shift summaries for accuracy and completeness, identifying and noting discrepancies and inputting data into the Roster database (ATLAS).

She also maintains the movement tracking of offenders being released or transported to jail. She updates count sheets into a database. She builds transfer orders for offenders for institution change requests. She also reconciles movement counts and ensures master control movement numbers are accurate so that all offender movement is accounted for properly.

She also assists the Roster department and Human Resources with recruitment and hiring activities by running criminal history checks for potential new custody staff. She also completes reference checks on potential new employees.

When considering the totality of the duties Ms. Hansen performs, the majority of her work assignments fit within the Office Assistant 3 classification. The majority of Ms. Hansen's work assignments include performing a variety of complex clerical tasks and functions to support the Captain's Office's custody and security functions.

It is clear the work she performs is very important and valued by AHCC and DOC. A position's allocation is not a reflection of performance or an individual's ability to perform higher-level work. Rather, it is based on a comparison of duties and responsibilities to the available job classifications. The Office Assistant 3 classification best encompasses the overall scope of work and level of responsibility assigned to her position.

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. Dudley v. Dept. of Labor and Industries, PRB Case No. R-ALLO-07-007 (2007).

For each of these reasons her position should remain allocated to the Office Assistant 3 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 on the 3<sup>rd</sup> floor of the Raad Building, 128 10<sup>th</sup> 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: Lorene Hansen  
Tina Cooley, DOC  
Lisa Skriletz, SHR

Enclosure: List of Exhibits

**LORENE HANSEN v DOC**

**ALLO-13-074**

List of Exhibits

A. Lorene Hansen Exhibits

1. Director's Review Form from Lorene Hansen received October 1, 2013 (2 pages)
2. Letter of justification from Lorene Hansen for reallocation to Administrative Assistant 3 (1 page)
3. Excerpts from the State HR, "Glossary of Classification Terms" (2 pages)
4. State HR Class Specification for Administrative Assistant 3 with handwritten notes supporting justification (2 pages)
5. Position Description Form (PDF) for Lorene Hansen upon hiring date (no date) (4 pages)

B. DOC Exhibits

1. Allocation determination letter from Linda Sutherland to Lorene Hansen dated September 4, 2013 (5 pages)
2. Position Review Request (PRR) form for Lorene Hansen received June 26, 2013 by AHCC HR (7 pages)
3. Position Description (PDF) on file for Lorene Hansen's position dated July 12, 2011 (4 pages)
4. Position Description (PDF) for Lorene Hansen's position dated June 26, 2013 (6 pages)
5. Captain's Office Organizational Chart (1 page)
6. State HR Class Specification – Office Assistant 3 (2 pages)
7. State HR Class Specifications – Administrative Assistant 1, 2, and 3 (5 pages)

C. Class Specifications

1. State HR Class Specification Office Assistant 2, 100J
2. State HR Class Specification Administrative Assistant 1, 105E
3. State HR Class Specification Administrative Assistant 2, 105F
4. State HR Class Specification Administrative Assistant 3, 105G