



STATE OF WASHINGTON
OFFICE OF FINANCIAL MANAGEMENT
STATE HUMAN RESOURCES | DIRECTOR'S REVIEW PROGRAM
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January 26, 2015

TO: Connie Goff, PHR
Rules and Appeals Program Manager

FROM: Kris Brophy
Director's Review Program Investigator

SUBJECT: Marshall Kono v. State Auditor's Office (SAO)
Allocation Review Request ALLO-14-033

Director's Determination

This position review was based on the work performed for the six-month period prior to February 7, 2014, the date SAO Human Resources (SAO-HR) received Marshall Kono's request for a position review. As the Director's designee, I carefully considered all of the documentation in the file, the exhibits presented during the Director's review conference, and the verbal comments provided by both parties. Based on my review and analysis of his assigned duties and responsibilities, I conclude Mr. Kono's position is properly allocated to the Information Technology Specialist 5 (ITS 5) classification.

Background

On February 7, 2014, SAO-HR received Mr. Kono's Position Review Request (PRR), requesting reallocation to the Information Technology Systems/Applications Specialist 6 (ITS/AS 6) classification. (Exhibit B-4)

On March 7, 2014, SAO-HR issued its allocation decision, concluding that Mr. Kono's position is properly allocated to the ITS 5 class. (Exhibit B-1)

On April 2, 2014, State HR received Mr. Kono's request for a Director's review of SAO's allocation determination. (Exhibit A-1)

On January 6, 2015, I conducted a Director's review conference with the parties. Present for the meeting were Marshall Kono; Michael Marty, CIO, SAO; and Marie Davis, HR Manager, SAO.

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

Mr. Kono works as an Information Technology Specialist in the agency's centralized Information Services (IS) department located within the Administration division of the SAO.

Mr. Kono serves as a member of the agency's network services team and provides expert information technology network operations and infrastructure support work. His position serves as the unit's Network Manager, with primary responsibility for ensuring efficient operations and delivery of network services for the agency. His position also performs network architecture, security, and related IT support tasks.

Mr. Kono completed a Position Review Request Form (Exhibit B-4) to document his duties and responsibilities.

He describes his major job duties as follows:

40% Network Manager

- Analyze and determine current or future organizational data communication or network service needs.
- Identify the target objectives aligned with the organization's core goals and strategic direction; create and articulate a vision for the team of where we want to be.
- Plan, analyze, and lead strategic business initiatives and legislative mandates in the area of Information Technology.
- Evaluate proposed actions and timelines against organizational mission and values. Integrate the actions with the current plan as needed to achieve the overall mission.
- Provide senior level leadership with the Information Technology team, assist with mentoring and providing technical guidance to other staff members.
- Build a team that has depth as well as skill in critical areas for both the issues at hand and anticipate what will be needed in the future so that the team is prepared for new challenges.
- Keep the Information Services Manager informed of project status and staffing needs.
- Translate technological options into business terms and interact with

management to create technology solutions to business problems.

- Communicate the role and value of the network to the organization and present the business case for technology investments.
- Develop policies and procedures that govern network services and security.
- Oversee the creation of disaster recovery procedures and documentation for network services.
- Plan and manage high risk, high profile technology initiatives that may significantly impact customer services.
- Supervise network administrators.

30% Network Operations Manager

- Manage the delivery of network services with time critical and customer focused awareness.
- Direct the daily operations of the network services team.
- Advise senior management and serve as technical consultant to upgrade or improve the operation of networked systems.
- Ensure that proper change management is in place to minimize the impact of change-related incidents upon service quality.
- Seek ways to improve service delivery. Assess the organization and its services from the customer's point of view.
- Establish standards for network designs, network naming and numbering standards, configurations and procedures.
- Generate documentation for the Network Services team including business processes, procedures and diagrams.
- Lead projects for integrating new technologies or upgrading existing technologies.

20% Network Architect

- Proactively develop IT strategies with business managers to support their processes or goals with the appropriate technology.
- Design and manage an agency-wide infrastructure to improve stability, performance, and security while anticipating agency growth or future technologies.
- Assess and manage system capacity and availability to insure a reliable and resilient network.
- Identify potential vulnerabilities or risks to the network and design appropriate preventive controls and procedures.

10% **Network Security Manager**

- Plan, design and direct the implementation of key network security initiatives.
- Ensure the integrity and security of agency data on servers, multiple databases, and during data transfer in accordance to business needs and industry best-practices.
- Coordinate and conduct incident response reporting.
- Safeguard the enterprise infrastructure and information.
- Coordinate with the agency Security Officer to establish security policies and standards.
- Analyze new application data flows and design firewall policies that support application requirements.
- Keep abreast of current cyber security threats and mitigation techniques.
- Plan for regulatory compliance. Analyze risks, document policies and procedures for achieving compliance, and direct the implementation of OCIO standards.

Supervisor's Comments

During the review period Mr. Kono reported directly to Mr. Gary McIntosh, Information Services Manager, who in turn reported to Diane Perry, Deputy Director of Administration.

Mr. McIntosh completed the Supervisor's Portion of the PRR. In his comments he indicates that he disagrees with Mr. Kono's description of his assigned duties and responsibilities relating to the supervision of others. Mr. McIntosh states in his comments that, "...While this position has supervised one employee in the past, the position does not currently supervise staff..."

During the review conference the parties clarified that during the review period Mr. Kono did not supervise or lead others.

Summary of Mr. Kono's Perspective

Mr. Kono asserts his position has been designated as the division's highest technical specialist for supporting network services in the agency, which includes serving as the IS department's Network Manager, Chief Network Architect, and Network Operations Manager.

As stated in the Position Purpose section of the PRR, Mr. Kono asserts he is responsible for providing the leadership and expertise necessary to define and direct the strategic technology environment for the agency's network operations in alignment with the agency's mission, business goals, technology resources and key priorities.

Mr. Kono contends that all technology additions, upgrades and modifications performed by the Network Services team were completed under his direction or with his approval. He contends that as the Network Services manager he is responsible for delegating network administration tasks to the agency's network administrators. Mr. Kono asserts that he plans, analyzes and provides technology options for the agency's business needs and directs the application of the appropriate technology.

Mr. Kono contends his responsibility for managing project completion for the division's IT network infrastructure and other projects, and network support functions reaches the Information Technology Specialist/Application Specialist 6 (ITS/AS 6) level of responsibility. Mr. Kono believes the level of independent management and decision making routinely assigned to his position fits within the ITS/AS 6 class level.

Summary of SAO's Reasoning

SAO asserts that the overall level and scope of duties assigned to Mr. Kono's position does not reach the ITS/AS 6 level of responsibility providing technical and organizational leadership in a specialized technology area. SAO contends Mr. Kono's position does not serve as the agency spokesperson and does not make commitments on behalf of the agency.

SAO recognizes Mr. Kono's high level of expertise and technical knowledge. His position provides recommendations and options to management regarding network infrastructure and architecture, but does not have the level of responsibility for strategic planning and policy development decision making as required.

SAO asserts that while his position is responsible for ensuring efficient operation and delivery of network services, he does not currently plan, analyze and translate technology options to business teams and interact with management to create technology solutions to business problems and lead strategic business initiatives related to agency operations. The other ITS staff member working within Network Services is responsible for interpreting the business needs and developing IT strategies in relation to network administration and risk assessment with business managers to support their processes and goals with the appropriate technology. SAO states this staff person also has primary responsibility for analyzing risk and implementing appropriate controls for unauthorized disclosure or damage to digital information. SAO maintains that as a whole, these shared responsibilities limit Mr. Kono's overall scope and level of responsibility assigned to his position. Therefore, the overall scope of duties and level of responsibility more accurately aligns with the ITS 5 level class.

For these reasons, SAO asserts Mr. Kono's position is properly allocated to the ITS 5 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,

Data Base Design And Maintenance, Data Communications, Disaster Recovery/Data Security, Distributed Systems/LAN/WAN/PC, Hardware Management And Support, Network Operations, Production Control, Quality Assurance, IT Project Management, Systems Software, Web Development, or Voice Communications.

Mr. Kono's position performs professional technology Network Operations support and therefore should be allocated to a class within the Information Technology series.

Comparison of Duties to Information Technology Specialist/Application Specialist 6

The Definition for the ITS/AS 6 class states:

Serves as the highest level authority for an agency or in a major subdivision of DSHS an information technology specialty area such as, but not limited to: operating system architecture, network architecture, applications development, applications support and enhancement, desktop/server operating systems, data architecture/administration, security architecture/administration, project management methodology or telephony systems architecture.

The ITS/AS 6 Distinguishing Characteristics include the following:

This is the expert professional level where incumbents are designated in writing by IT/IS management to provide technical and organizational leadership in a specialized area of technology. Incumbents possess advanced technical as well as business knowledge and grasp the overall impact of their specialty such that they are trusted by management to independently deal with high risk, high profile initiatives that may impact significant/fundamental public services. Incumbents have mastered the ability to translate technological options into business terms and interact with executive management to create technology solutions to mission critical business problems. Incumbents in this class serve as the agency spokesperson in their area of technical expertise and may make commitments on behalf of their agency. Serve as a technical mentor, coach and trainer to others. Often supervises others.

A key distinction at the ITS/AS 6 level is having written designation at the agency level, as the highest delegated authority in a designated information technology specialty. Incumbents at the ITS/AS 6 level have the broadest span of control and scope of organizational responsibility for planning, designing and developing information technology systems and processes.

Positions at this level generally serve as the agency's chief architect or systems administrator and have responsibility for enterprise-wide strategic planning and policy development. These positions work with broad-based technical and executive management groups to lead strategic business initiatives, plan for and/or address key legislative mandates, and integrate new technologies for information technology systems and applications that generally have significant statewide or multi-agency impact. They define requirements for data base management systems and support software; develop plan and coordinate agency-wide implementation of new data base management systems software, and serve as the highest-level technical consultant to executive management within their assigned area of responsibility.

In total, the scope of Mr. Kono's position does not have this overall level of responsibility.

First, to be allocated to the ITS/AS 6 level, the position must be designated in writing by IT/IS management to provide technical and organizational leadership in a specialized area of technology.

Mr. Kono works in the Network Support unit of the agency's IS department. Mr. Kono's position has not been designated in writing by IS management as the highest level authority for Network Support. During the conference, Ms. Davis stated that the agency does not provide written designation for its ITS/AS6 level positions but rather allocates positions to that class based on the review of the actual work performed. Ms. Davis asserts the scope of Mr. Kono's duties most appropriately fall within the ITS 5 level class.

However, the PRB has discussed the importance of written designation as the highest level authority at the expert professional level. In Eastern Washington University v. Akin, PRB Case No. R-ALLO-09-004 (2009), the Board determined that allocation to the ITS/AS6 classification is not appropriate unless such a written designation has been given by information technology or information services management.

Further, ITS/AS 6 level positions make strategic decisions that affect systems and how they are created and developed into the future. Incumbents in this class serve as the agency spokesperson in their area of technical expertise and may make commitments on behalf of their agency. Mr. Kono's position does not have this focus or scope or level of authority. Mr. Kono's supervisor, Mr. McIntosh, retains this overall level of responsibility and decision making authority for Network Support services. The majority of Mr. Kono's project management and network operations responsibilities are more tactical in nature, focusing on network infrastructure changes due to updated agency business requirements.

For example, the majority of projects Mr. Kono managed during the review period included replacing ageing infrastructure for improved reliability and network performance which include designing the network architecture and directing the replacement activities. He also replaced legacy firewalls, directed the migration of 40 physical servers to a virtual computing platform, and deployed wireless access points to guest Internet access.

Mr. Kono reported directly to Mr. McIntosh and provided updates regarding the status of his projects. The scope of his work included conducting organization-wide capacity planning and determining what network hardware and other equipment was needed to complete these projects. He worked with other IT specialists and management staff to complete the projects. However, Mr. Kono stated during the review conference that his level of independent decision making authority was limited to making technical recommendations to his supervisor regarding network hardware and related operational decisions to complete the projects. Therefore, Mr. Kono's overall scope and level of responsibility regarding this project is more consistent with ITS 5 level work. In total, the overall scope of his project management work does not reach the ITS/AS 6 level of responsibility.

In addition, the majority of Mr. Kono's work during the review period did not fully reach the breadth and depth of ITS/AS 6 responsibility of having the broadest span of control and scope of organizational responsibility for planning, designing and developing information technology systems and processes. During the review period Mr. Kono had shared responsibilities regarding the Network Support unit's activities and functions with another ITS Network Support employee. This limits the overall span of control and scope of responsibility he has assigned to his position.

Mr. Kono's position requires a high level of expertise and technical knowledge. His position provides recommendations and options to management regarding network infrastructure and architecture, but does not have the level of responsibility for strategic planning and policy development decision making as required.

Therefore, the overall scope of duties and level of responsibility more accurately aligns with the ITS 5 level class.

For these reasons his position should not be reallocated to the ITS/AS 6 class.

Comparison of Duties to Information Technology Specialist 5.

The Definition for the ITS 5 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.

Mr. Kono's duties and responsibilities fit within the ITS 5 classification. He performs expert level IT consultation network operations support to plan, design, support, and enhance SAO agency-wide network services.

Mr. Kono performs highly-complex tasks including conducting capacity planning to determine organization-wide network infrastructure needs. He is responsible for designing an effective, scalable, and adaptive network infrastructure. He manages the delivery of network services and serves as the management advisor and expert technical consultant to maintain and enhance the

operation of the agency's networked systems. He makes recommendations and designs and develops network system requirements and identifies and resolves operational problems.

He provides project leadership and expert consultation for the agency's enterprise network systems. This includes integrating new technology to meet the agency's business needs. For example, Mr. Kono provided examples of the work he performed planning, analyzing, and providing technology options and solutions including the Juniper Secure Access and Palo Alto Global Protect remote access solution and the Accellion secure file transfer projects. He also worked on the Exchange Active Sync, Outlook web access, Enterprise Vault 10 projects.

The PRR for his position indicates that he proactively develops IT strategies with business managers to support their processes or goals with the appropriate technology. He has responsibility for designing and managing an agency-wide network infrastructure to improve stability, performance, and security while anticipating agency growth or future technologies.

He assesses and manages system capacity and availability to ensure a reliable and resilient network. He also identifies potential vulnerabilities and risks to the network and designs appropriate preventive controls and procedures.

Based on the level, scope and diversity of the overall duties and responsibilities assigned to Mr. Kono's position, his position is properly allocated to the ITS 5 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 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: Marshall Kono, SAO
Marie Davis, SAO
Lisa Skriletz, OFM

Enclosure: List of Exhibits

List of Exhibits

A. Marshall Kono Exhibits

1. Request for Director's Review, pages 1-2
2. Determination letter, pages 3-4
3. Examples of work, pages 5-6
4. Information Services Organizational chart, page 7

B. SAO Exhibits

1. Allocation Determination Letter, pages 1-2
2. Marshall Kono, current Position Description, pages 3-8
3. Information Services Organization Chart, page 9
4. Position Review Request – Employee Portion, pages 10-14
5. Position Review Request – Supervisor Portion, pages 15-16
6. Kathryn Adams Position Description, pages 17-22
7. Gary McIntosh WMS Position Description, pages 23-27
8. State HR Class Specification – IT Specialist 5, pages 28-29
9. State HR Class Specification – IT Specialist 6, pages 30-31
10. SAO final response