



**STATE OF WASHINGTON**  
**OFFICE OF FINANCIAL MANAGEMENT**

STATE HUMAN RESOURCES DIVISION | DIRECTOR'S REVIEW PROGRAM  
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January 12, 2016

TO: Kristie Wilson  
Acting Rules and Appeals Program Manager

FROM: Kris Brophy  
Director's Review Program Investigator

SUBJECT: Sedra Zlock v. Department of Corrections (DOC)  
Allocation Review Request ALLO-15-068

This Director's review follows a management-initiated position review request of Ms. Zlock's position received by the DOC Human Resources (DOC HR) office. As the Director's designee, I carefully considered all of the documentation in the file, including the exhibits discussed during the Director's review telephone conference and the comments provided by the parties. Based on my review and analysis of Ms. Zlock's assigned duties and responsibilities, I conclude her position is properly allocated to the Administrative Assistant 2 (AA2) class.

### **Background**

DOC HR received an updated Position Description Form (PDF) form for Ms. Zlock's position on April 6, 2015 as part of a management-initiated position review request to reallocate her position from the Secretary Senior class to an agency-exempt Industries Specialist 1 (IS1) class. (Exhibit B-2)

DOC HR notified Ms. Zlock on June 8, 2015 that her position was being reallocated from the Secretary Senior class to the AA2 class, effective February 9, 2015. (Exhibit B-1)

On July 7, 2015, OFM - State Human Resources received Ms. Zlock's request for a Director's review of DOC's allocation determination. (Exhibit A-1)

A Director's review telephone conference was held with the parties on November 24, 2015. Present for the conference were Ms. Zlock, DOC; Rozanne Stewart, Human Resource Consultant, DOC; and Amy Meierhoff, Human Resource Consultant, DOC.

### **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. Zlock's position is located on McNeil Island. Her position provides direct administrative support to the Correctional Industries (CI) General Manager, Operations Manager and Marine manager for the McNeil Island Stewardship. This includes the unit's Marine department, Waste Water department, Water Filtration/Distribution department and offender work crews. Ms. Zlock performs a variety of procurement, budget, logistics and personnel administration tasks in support of the unit's key business functions and activities.

The updated Position Description form (PDF) submitted for her position describes Ms. Zlock's duties as follows: (Exhibit B-2)

45%     **Duty:**

Provides business related services to support the McNeil Island Stewardship.

**Tasks:**

In collaboration with Fiscal Analyst 4, position is responsible to facilitate, reconcile, track and document transactions in support with all departments within DOC CI McNeil Island Stewardship.

Orders, receives, stores, inventories and issues a variety of services, materials, supplies, parts and equipment for Stewardship use.

Determines appropriate course of action/procurement methodology including TRACKS or Credit Card but not limited to requests, proposals and State contracted vendor system.

Researches for new sources of supply, locates and contacts vendors and suppliers.

As the Purchasing Card Custodian, reconciles purchases by accessing US Bank Online Banking program and statements. Verifies shipments by checking field orders, purchase orders against the shippers packing list and parts received. Duties include maintaining record systems and inventory records which involve establishing and maintain commodity master records.

Maintains other records as required.

Monitors budgeted data to actual expenditures, researched variances and makes necessary coding adjustments.

Reconcile vendor statements, research Enterprise for payment and communicate with vendor and sites regarding outstanding invoices, credit memos and refunds.

Actively participates with CI Business Unit Resource Group (BURG) quarterly activities.

Receive, open and search all incoming USPS mail before routing to appropriate work locations.

Process offender payroll on a regular basis. Duties include verifying batch contents for accuracy, hours, rate of pay, coding and appropriate approvals. Communicate with stakeholders and inmate banking when needed.

Provide data upon appropriate requests.

20%

**Duty:**

Logistical Coordinator

**Tasks:**

Coordinate and facilitate Island tours for media, inner agency and outside agencies.

Attend meetings and trainings relative to the position as directed by the General Manager.

Position ensures clearances and notifies all appropriate stakeholders DOC/SCC of CI visitors to McNeil Island.

Primary contact for McNeil Island vehicle barge reservations.

Publishes and distributes daily manifest for tug and barge use to all CI and SCC stakeholders accordingly including but not limited to vessel access, firing range operations and other agencies as needed.

15%

**Duty:**

Communications Training Coordinator

**Tasks:**

In collaboration with the CI Communications manager, develop Stewardship newsletters and formal written communication to enhance open communication and transparency with staff and offenders.

Acts as the site coordinator to facilitate training as needed. Training such as the Introduction to Lean Manufacturing, Overview of Microsoft office products, etc.

Coordinates, tracks, and ensures compliance for staff mandatory training, and communications; to include safety, critical policy communications and regulatory compliance training. Adheres to quality standards to ensure quality workmanship. Assist with material controls and controls waste utilizing 5s theory of LEAN.

15% **Duty:**

Administrative Services

**Tasks:**

Assist supervisor and marine manager to ensure compliance with the Collective Bargaining Agreement for represented staff.

Within established guidelines interprets, explains and applies human resources rules, policies, regulations or procedures.

Provides administrative support to supervisor and coordinates office operations for the McNeil Island Stewardship functions.

Schedule candidates for interviews following clearance procedures and ensures Interviews are conducted per DOC policy, including compiling interview documents and check for completeness.

Ensure reference checks are done per DOC policy and coordinate pre-employment drug testing if applicable [p]er DOC hiring checklist.

Maintain CI SharePoint for Island Stewardship.

5% **Duty:**

Other duties as assigned.

**Tasks:**

Act as the interagency liaison, as requested or required, by supervisor and responsible for scheduling corresponding meetings.

**Summary of Ms. Zlock's Perspective**

Ms. Zlock states in her appeal form that her position should be reallocated to an exempt-level position within the agency on the basis of the following:

I disagree with the determination of the reclassification falling as an Administrative Assistant 2. I would like to appeal the original determination and request that the classification be reevaluated to more accurately reflect the position's workload and the request of upper management and a possible desk audit if necessary. As demonstrated by the Position Description attached to the appeal, the duties and responsibilities better reflect and meet the business need of an Industries Specialist 1(IS1): The extent of business practices and training implemented are not accurately reflected in that of an AA2 and does not include the change of organizational structure, reporting status, inmate interaction or additional advanced technical disciplines associated with daily operations of the isolated establishment of McNeil Island Stewardship.

In her comments in Exhibit A-2, Ms. Zlock also states that:

...in September of 2013 the Department of Corrections obtained a portion of McNeil Island to

perform stewardship tasks as it transitioned from one state agency to another. It is at this time that [the position] took on additional duties as required by the islands new position involving a number of tasks not listed on the original position description. Some duties include but [are] not limited to the extended support of the Marine Department, Transportation Department, Waste Water Treatment Plant, Water Filtration Plant and grounds and maintenance while providing direct support the General Manager and his reporting staff...

... [On] June 8, 2015, I received the determination ...on the reallocation request as submitted by upper management. The Industries Specialist 1 position description states that: "Practitioner of a recognized technical/business discipline. Performs tasks associated with daily operations in a given field such as sales, marketing, research and customer service, accounting, financial reporting, purchasing, program support training and or similar functions. May supervise staff; may manage inmate worker crews."

...while the AA2 position is closer to the work performed than a secretary senior it still fails to account for the large majority of business and training practices completed on a daily basis. These duties include but not limited to budget contribution/coding, financial/procurement responsibilities, Purchasing card custodial duties, Enterprise reporting, Island logistics and Makin it Work training.

While a portion of the responsibilities lies within administrative services, you will see as reflected by exhibit 1, that only a small portion of that equaling 15% is applicable to the administrative bracket. Though the administrative portion of tasks exist 45% of the time is spent on business related disciplines and the remainder at about 20% logistics and training practices which combined puts the existing position well over 60% outside of its existing job classification.

In conjunction of the importance of the Makin It Work program, those in offender work force development programs fall under Industries Specialist 2 classifications. While the duties and responsibilities for [Ms. Zlock's] position ... do not encompass that of an IS2, the process of implementing the training to inmates on site falls also within the median parameters of the Industries Specialist 1 position...

To further contest the selection of AA2, the Administrative Assistant 3 specification states that the position reports to a WMS Band II manager and is the only position, allocated to support the duties under a second level professional. Being that [Ms. Zlock's position] reports directly to the General Manager and as a result of the characteristics and typical work load, the work requirements are not accurately reflected in that of an AA2 and as such should be evaluated.

The changes that have occurred within the Marine Operations office while transitioning to McNeil Island stewardship since the transfer to the Department of Corrections in September 1, 2013 have extensively expanded not only the reporting structure but the work load as well. These changes are most accurately reflected in that of the Industries Specialist 1 pertaining specifically to the technical and business disciplines and support training. With the expansion of duties contributing to the inmate work force/timekeeping and the requirement to supervise inmate worker crews I am looking to have the classification reevaluated to more accurately reflect the positions demands and the request of upper management.

For these reasons Ms. Zlock asserts her position should be reallocated to an exempt IS 1 position within the agency.

During the review conference I explained to the parties that the scope of the Director's allocation position review process is limited to comparing a classified position's assigned duties and responsibilities to the available job specifications within the State HR classification plan.

The Personnel Resources Board (PRB) previously addressed this subject in the following decision:

While 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**. *Byrnes v. Dept's of Personnel and Corrections*, PRB No. R-ALLO-06-005 (2006).

[Emphasis added]

Therefore, this Director's review process is limited to comparing a classified position's assigned duties and responsibilities to the available job specifications within the State HR classification plan and not placement to an exempt position or to a class specification that is not part of the State HR classification system at the time of the position review.

### **Summary of DOC's reasoning**

DOC asserts that Ms. Zlock's position serves as a primary source of administrative assistance to the General Manager and the other managers in the unit which includes assisting in performing significant portions of professional level assignments related to personnel administration, procurement, finance and budget and visitor logistics. DOC believes that Ms. Zlock provides primary administrative services support to her supervisor and that Ms. Zlock's position is properly allocated to the AA2 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.

### **Comparison of Duties to Administrative Assistant 3 (AA3)**

The Definition of the AA3 class 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. Zlock's position does not fully reach the depth of responsibility required of this class of providing varied higher-level administrative assistance or administering one or more major program activities under a second-line supervisor.

Ms. Zlock's position does not provide varied higher-level administrative support to her supervisor. While Ms. Zlock reports to a second-line supervisor and performs 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. The scope of Ms. Zlock'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.

Ms. Zlock's position is supportive to, but not fully responsible for, 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. Her duties more accurately consist of performing a variety of complex clerical duties in support of the unit's business functions and related administrative activities.

For example, Ms. Zlock performs a variety of complex administrative clerical support tasks in support of the McNeil Island Stewardship. This includes serving as the unit's point of contact for the budget with primary responsibility for monitoring budget expenditures and the allocation of funds. Her duties also include performing financial and procurement-related activities, serving as the Purchasing card custodian, overseeing Island visitation logistics and coordinating staff training activities.

One of Ms. Zlock's primary responsibilities includes ordering, receiving, storing, inventorying and issuing a variety of services, materials, supplies, parts and equipment used by the various departments. Ms. Zlock determines the appropriate course of action and the appropriate procurement methodology to use to obtain products and services. She researches sources of supply and has responsibility for locating and contacting vendors and suppliers. Ms. Zlock also collaborates with the Fiscal Analyst 4 position to facilitate, track and document transactions in support of all the unit's departments. She tracks and monitors budgeted data to actual

expenditures. She reconciles vendor statements and communicates with vendors and sites regarding outstanding invoices, credit memos and refunds.

However, while it is acknowledged that Ms. Zlock 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.

For example, while Ms. Zlock provides administrative clerical support to the managers regarding staff personnel issues, her position does not have oversight responsibility regarding unit personnel. The unit's managers are responsible for managing staffing and performing other personnel-related activities for their staff. Ms. Zlock does not have authority for making purchases of equipment or supplies or for approving expenditures. Ms. Zlock does not participate in budget preparation or develop budget estimates. Her position does not have responsibility for assisting in devising unit standards/procedures to ensure adherence to policies regarding tasks such as budgeting, purchasing and contract administration. The overall scope of her duties does not fully reach the primary allocating criteria of this class.

However, a portion of Ms. Zlock's duties are consistent with the examples of work performed at this level such as:

- Representing management and serving as the primary contact in assigned program areas;
- Coordinating with other departmental staff members on administrative practices and procedures;
- Serving as a liaison between supervisor and other staff; members, relaying assignments and requesting status information;

However, the scope of this work overlaps with duties performed at the AA2 level and in total, Ms. Zlock's position does not meet the primary allocating criteria for allocation to the Administrative Assistant 3 class.

For each of these reasons Ms. Zlock's position should not be allocated to the AA3 class.

### **Comparison of Duties to Administrative Assistant 2 (AA2)**

The Definition of the AA2 class states:

Provide administrative and staff support services for a section or unit with delegated authority to act in supervisor's absence in areas of substance.

The Distinguishing Characteristics for this class states:

These positions may be distinguished from lower level classes by addition of the delegation of authority to act for or in the regular place of the superior in substantive areas and/or supervision of some professional or several clerical subordinates and a formal reporting alignment identifying the position as the principal administrative assistant to the superior who is at the first professional supervisory level or above.

On a best fit basis, Ms. Zlock' position more accurately aligns with the scope and level of responsibility stated in the Definition and Distinguishing Characteristics of this class. Ms. Zlock performs a variety of daily administrative and staff support services for the CI McNeil Island



Stewardship with delegated authority to act in her supervisor's absence in substantive areas as required.

For example, Ms. Zlock provides primary administrative services support to her supervisor and the other managers in her unit. This includes having primary responsibility for financial reporting; coordinating the purchasing of materials, supplies and equipment; and supporting the administration of personnel activities, training and Island visitation logistics. Ms. Zlock assists her supervisor in performing portions of professional level assignments. This includes having delegated authority to act in completing purchases, coding budget allocations and making recommendations regarding issues affecting visitor movement on the island. However, Mr. DeFlicht retains responsibility for the overall management and implementation of the CI McNeil Island Stewardship business activities. Additionally, her level of decision making authority is consistent with this class such as approving expenditures within the allotted budget which includes making purchases with the department's purchasing card.

Further, 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 are examples of the level of work assigned to the AA2 class, as stated on the class specification:

- Explains and interprets complex rules, policies and operating procedures;
- Performs significant portions of professional level assignments, working with professionals and knowledge of programs;
- Reviews and researches operating procedures and problems; develops solutions and/or recommendations;
- Coordinates work of unit with that of other areas; establishes and maintains schedules and priorities; authorizes exceptions and special processing;

Ms. Zlock's functions align these typical work statements. For example, Ms. Zlock interprets and explains financial policies and procedures to managers and staff regarding the unit's purchasing function. She coordinates with other departments to analyze and correct discrepancies in the unit's procurement activities. Ms. Zlock collaborates with the Fiscal Analyst 4 position to facilitate, track and document transactions in support of all the unit's departments. She tracks and monitors budgeted data to actual expenditures. She reconciles vendor statements and communicates with vendors and sites regarding outstanding invoices, credit memos and refunds. She also coordinates with other units to schedule training activities and she coordinates and facilitates island tours which includes ensuring clearances of CI visitors to McNeil Island.

In total, Ms. Zlock provides primary administrative assistance to the General Manager. Her position exercises delegated authority to act in the supervisor's absence in areas of substance at a level anticipated by this class. The focus of her work, as well as the scope, diversity and overall breadth of duties and responsibilities are best described by the AA2 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).

Thus, the overall level, scope and diversity of her assigned duties and responsibilities are more closely in line with the AA2 class. Ms. Zlock's position should remain 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: Sedra Zlock, DOC  
Rozanne Stewart, DOC

Enclosure: List of Exhibits

**SEDRA ZLOCK v DOC**

**ALLO-15-068**

List of Exhibits

A. Sedra Zlock Exhibits

1. Appeal Review Request form as submitted to Directors Review Program July 7, 2015
2. Request for Director Review- Official appeal in letter format
3. Documents list noting additional exhibits in original packet
4. Position Description form as submitted for initial reallocation request to Industries Specialist 1 as completed by Assistant Director, dated March 31, 2015.
5. Correctional Industries Exempt Services Scope of Responsibility for Industries Specialist 1
6. Allocation determination letter as received from Human Resource Classification Unit, dated June 8, 2015.
7. DSHS Special Commitment Center Organizational Chart for Marine Department (TJ56) prior to transition to Department of Corrections (IJ01), dated August 24, 2011.
8. Organizational Chart for Department of Corrections, McNeil Island Stewardship, Correctional Industries, Dated October 14, 2014.

B. DOC Exhibits

1. Allocation determination letter, dated June 8, 2015
2. Position Description submitted for reallocation, received by the Agency on April 6 ,2015
3. Current Position Description on file, signed by the appointing authority on August 15, 2013
4. Supervisor's Position Description, received by the Agency on April 6, 2015
5. Organizational Chart for Department of Corrections, McNeil Island Stewardship, Correctional Industries, dated February 1, 2015
6. Administrative Assistant 2 Class Specification
7. Secretary Senior Class Specification
8. Correctional Industries Exempt Series Scope of Responsibilities, updated October 29, 2008

C. Class Specifications

1. State HR Class Specification for Administrative Assistant 1
2. State HR Class Specification for Administrative Assistant 2
3. State HR Class Specification for Administrative Assistant 3