

DCC-2409 (9/2021)

**PROPOSED  CURRENT**

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| Classification Title Career Executive Assignment (CEA), Level B | Division Compliance |
| Working TitleDeputy Director, Compliance | Office/Unit/Section/Geographic Location Sacramento |
| Position Number 592-310-7500-XXX | Name and Effective Date |

**General Statement:** Under the general direction of the Chief Deputy Director of the Department of Cannabis Control (Department), the Deputy Director of Compliance is responsible for the development, implementation, and refinement of the Department’s post licensure compliance goals. The Compliance Division is responsible for ensuring that licensed cannabis businesses adhere to applicable state laws. The incumbent will direct the activities of the Investigative Services Branch, Environmental Compliance and Manufacturing Safety Branch, and the California Cannabis Track and Trace (CCTT) Services Office which addresses regulatory inspections, licensee investigations, and the execution of administrative actions. Additionally, the Deputy Director of Compliance oversees the administration, development, and use of the CCTT System and administration of the Compliance Division’s budget.

This position is expected to work closely with licensees, local regulatory officials, and stakeholders to identify ways in which the Department regulations and operations can be made more effective, efficient, and, where possible without compromising key objectives like public safety, less burdensome for licensees. Duties include, but are not limited to, the following:

1. **Specific Assignments [w/ Essential (E) / Marginal (M) Functions]**

**40% (E) Program Development**

Provides leadership and direction to the Compliance Division’s branches and offices on how to implement and operationalize existing, new, and revised mandates in a timely and effective way. Works closely and collaboratively with the branches and offices in developing programmatic models that meet the Department’s mandates, while striving for efficacy, streamlining, and consistency. Develops data systems that support the Department’s and Compliance Division’s performance goals, policy making, and strategic planning efforts. Identifies opportunities to streamline the Division’s work and regulatory requirements for more effective ways to achieve statewide compliance. Identifies and implements mechanisms to reduce programmatic, operational, and workforce risk. Enhances the application and administrative oversight of the CCTT technology solution.

**30% (E) Administration**

Administers and oversees every aspect of the Compliance Division’s resources including a budget of over $13 million and nearly 170 professional and entry level staff. Allocates and assigns staff resources to meet the goals and objectives of the Compliance Division’s annual strategic and operational plan.   
  
Promotes continued staff development and specialized training in a manner that empowers and motivates staff based on their strengths. Evaluates staff performance, coaches and mentors staff, including in the development of work plans, monitors work progress, conducts recruitments, and reviews and approves timesheets. Completes documentation related to attendance and preventative, corrective, or adverse action, when appropriate.

**25% (E) Leadership**

Develops quarterly goals in conjunction with the Compliance Division’s management team that are aligned with the Department’s overall strategic plan and mission. Implements, refines, and iterates those goals as necessary.

Actively participates in the development and implementation of the Department’s strategic plan with other members of the Executive Division. Conducts briefings with the Director, Chief Deputy Director, and other Deputy Directors on all matters relating to the Compliance Division and division operations. Works closely with the Executive Division on analyzing and making recommendations on proposed legislation and regulatory changes to ensure outcomes meet the Department’s mission and goals. Coordinates with state and local departments to develop and implement compliance models that align with the mandates and mission of the Department.

**5% (E) Representation**

Engages in compliance-related dialogue with a variety of stakeholders such as other executive branch officials, members and staff of the Legislature, federal, tribal, and local agency partners, licensees and other private industry, media, and the general public on matters pertaining to the Department and the Department’s regulatory role. Represents the Department at conferences, meetings, presentations, or other official functions. Testifies at legislative hearings on behalf of the Department.

1. **Supervision Received**

The incumbent serves under the general direction of the Chief Deputy Director and may receive functional guidance from the Director.

1. **Supervision Exercised**

The incumbent provides direction to professional and support staff within the Compliance Division.

1. **Administrative Responsibility**

The Deputy Director has full responsibility for directing the Compliance Division, including a team of professional staff to execute the goals and objectives of the Department’s vision. The Deputy Director has authority, delegated by the Director, to represent the Department in all issues pertaining to the Division.

1. **Personal Contacts**

The incumbent has regular contact with all levels of department staff, executive management, various state agencies, local government, and members of the public

1. **Actions and Consequences**

Failure to provide appropriate compliance leadership, administrative, and operational oversight will result in the Department losing credibility with its stakeholders, including industry, control agencies and the Legislature. Such failure could result in the loss of delegated authority, adverse audit findings, penalties, unrecoverable funds and more.

1. **Functional Requirements**

The incumbent is a Work Week Group E employee, is expected to work an average of 40 hours per week each year and may be required to work specified hours based on the business needs of the office. Daily access to and use of a personal computer and telephone is essential. Sitting and standing requirements are consistent with office work. The incumbent is required to travel to facilities and district offices as needed to support programmatic operations across the state.

1. **Other Information**

Regular attendance and punctuality are an essential part of this job. Incumbent must be able to maintain confidentiality, possess good communication skills, use good judgment in decision-making, exercise creativity and flexibility in problem identification and resolution, manage time and resources effectively and be responsive to management needs. The incumbent is expected to travel occasionally, when necessary to attend hearings or provide consultation. Must maintain current knowledge of Title VII of the Federal Civil Rights Act, the Fair Employment and Housing Act, the Americans with Disabilities Act, and other employment related laws, rules and regulations.

**Criminal Offender Record Information (CORI):**Title 11, section 703 (d) of the California Code of Regulations requires criminal record checks of all personnel who have access to Criminal Offender Record Information (CORI). Pursuant to this requirement, applicants for this position will be required to submit fingerprints to the Department of Justice and be cleared before hiring. In accordance with CORI procedures, clearance shall be maintained while employed in a CORI-designated position. Additionally, the position routinely works with sensitive and confidential issues and/or materials and is expected to maintain the privacy and confidentiality of documents and topics pertaining to individuals or to sensitive program matters at all times.

**Conflict of Interest (COI):** This position is subject to Conflict of Interest Regulations. The incumbent is required to submit a Statement of Economic Interests (Form 700) within 30 days of assuming office, annually by April 1st, and within 30 days of leaving office.

**Travel** *-* The incumbent is required to travel throughout an assigned geographical area by various methods of transportation.

**I have read and understand the duties listed above and I can perform these duties with or without reasonable accommodation.** (If you believe reasonable accommodation is necessary, discuss your concerns with the hiring supervisor. If unsure of a need for reasonable accommodation, inform the hiring supervisor, who will discuss your concerns with the Health & Safety analyst.)

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Employee Signature Date

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Employee’s Printed Name – Classification

**I have discussed the duties of this position with and have provided a copy of this duty statement to the employee named above.**

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Supervisor Signature Date

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Supervisor’s Printed Name – Classification

Revised 7/2022