

POSITION DUTY STATEMENT

DOT PM-0924 (REV 01/2025)

CLASSIFICATION TITLE Manager II	OFFICE/BRANCH/SECTION Administration	
WORKING TITLE Assistant Division Chief, Office of Compliance Management	POSITION NUMBER	REVISION DATE

As a valued member of the Caltrans team, you make it possible to improve lives and communities through transportation.

GENERAL STATEMENT:

Under the general direction of the Deputy District Director, Administration, the Assistant Division Chief assumes full responsibility for the management, direction, organization, and strategic planning of the Office of Compliance Management. The incumbent provides executive leadership and oversight for programs including Safety and Compliance Services; Equal Employment Opportunity (EEO), Executive and Support Services; and Employee Services. This duty statement is intended to identify the primary scope and level of responsibility for the position rather than enumerate all duties. The role demands a collaborative approach, exceptional interpersonal and communication skills, meticulous attention to detail, and proficiency in project coordination. As a valued member of the Caltrans team, the incumbent supports the Department's mission to enhance mobility across California by demonstrating innovation and adaptability; maintaining consistent and punctual attendance; fostering cooperative working relationships; and upholding principles of fairness, integrity, and respect in all interactions.

CORE COMPETENCIES:

As a Manager II, the incumbent is expected to become proficient in the following competencies as described below in order to successfully perform the essential functions of the job, while adhering to and promoting the Department's Mission, Vision, Values, Strategic Imperatives and Goals. Effective development of the identified Core Competencies fosters the advancement of the following Leadership Competencies: Change Commitment, Risk Appetite, Self-Development/Growth, Conflict Management, Relationship Building, Organizational Awareness, Communication, Strategic Perspective, and Results Driven.

- **Managing Change:** Demonstrating support for organizational changes needed to improve the department's effectiveness; supporting, initiating, sponsoring and implementing change. (Safety, Equity, Prosperity, Employee Excellence - Collaboration, Equity, Innovation, Integrity, People First, Pride, Stewardship)
- **Decision Making:** Makes critical and timely decisions. Takes charge. Supports appropriate risk. Makes challenging and appropriate decisions. (Safety, Equity, Prosperity, Employee Excellence - Collaboration, Equity, Integrity, People First, Stewardship)
- **Reliability:** Ability to demonstrate dependability in meeting commitments, and providing a consistent work product. Takes responsibility for individual actions in order to meet deadline demands. (Safety, Equity, Prosperity, Employee Excellence - Collaboration, Equity, Integrity, People First, Pride, Stewardship)
- **Problem-solving and Decision-making :** Identifies problems and uses logical analysis to find information, understand causes, and evaluate and select or recommend best possible courses of action. (Safety, Equity, Prosperity, Employee Excellence - Collaboration, Equity, Innovation, Integrity, People First, Pride, Stewardship)
- **Teamwork and Collaboration:** Sets team structure. Organizes, leads, and facilitates team activities. Promotes team cooperation and encourages participation. Capable of cross functionality and working well with others on a team to achieve personal goals, team goals, and organizational goals. Takes responsibility for individual actions in order to achieve consistent results. (Safety, Equity, Prosperity, Employee Excellence - Collaboration, Equity, Innovation, Integrity, People First, Pride, Stewardship)
- **Customer Focus:** Considers, prioritizes, and takes action on the needs of both internal and external customers. (Safety, Equity, Prosperity, Employee Excellence - Collaboration, Equity, Innovation, Integrity, People First, Pride, Stewardship)
- **Communication:** Expresses oneself clearly in all forms of communication. Gives feedback and is receptive to feedback received. Knows that listening is essential. Keeps others in the Division and other functional units informed as appropriate. (Safety, Equity, Prosperity, Employee Excellence - Collaboration, Equity, Innovation, Integrity, People First, Pride, Stewardship)
- **Planning and Results Oriented:** Organizes and executes work to meet organizational goals and objectives while meeting quality standards, following organizational processes, and demonstrating continuous commitment. (Safety, Equity, Prosperity, Employee Excellence - Collaboration, Equity, Innovation, Integrity, People First, Pride, Stewardship)
- **Thoroughness:** Ensures that work and information is complete and accurate. Ensures that assignment goals, objectives, and completion dates are met. Documents and reports on work progress. (Safety, Equity, Prosperity, Employee Excellence - Collaboration, Equity, Innovation, Integrity, People First, Pride, Stewardship)

TYPICAL DUTIES:

Percentage  
Essential (E)/Marginal (M)<sup>1</sup> Job Description

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30%	E	<p>The incumbent is accountable for managing staff through continuous goal setting and feedback aligned with the Department and District's Strategic Plan. Responsibilities include monitoring assigned programs and providing monthly reports to the Deputy District Director of Administration.</p> <p>The incumbent is responsible for providing leadership, planning, direction, and compliance oversight for all aspects of Safety and Compliance Services; Equal Employment Opportunity (EEO), Executive and Support Services; and Employee Services. This includes direct supervision of Office and Branch Chiefs, and the ultimate responsibility for high-level decisions within the Office of Compliance Management.</p> <p>Key duties include but are not limited to: Establishing goals and standards for service delivery and monitoring performance to ensure alignment with Department policies and management expectations; Ensuring compliance with state and federal policies, procedures, and processes; Facilitating development and implementation of internal and statewide strategies to achieve the Department's mission, vision, goals, and objectives; Directing improvements to policies, processes, and procedures while maintaining the integrity of Caltrans' strategic direction and mandates; Assessing Compliance Management branches for sustainability, addressing critical business needs, and implementing risk management strategies;</p> <p>The incumbent informs and updates direct reports, the Deputy District Director of Administration, and other stakeholders on current issues, emergencies, projects, events, etc.</p> <p>Additional responsibilities include but are not limited to: Advising District Executive Staff on program areas and assisting in resolving safety-sensitive issues; Conducting compliance and performance reviews on a daily, weekly, and monthly basis; Preparing weekly updates, monthly executive summaries, and quarterly performance matrices for review by District leadership and Headquarters.</p>
30%	E	<p>The incumbent is responsible for assisting in the resolution of safety-sensitive issues, providing detailed responses, and delivering weekly updates. The position has direct responsibility for planning, directing, controlling, and ensuring compliance for all aspects of the District Safety and Compliance Services; Equal Employment Opportunity (EEO), Executive and Support Services; and Employee Services</p> <p>Additional responsibilities include but are not limited to: Providing updates and assistance to District Executive Staff and program advisors on issues and emergencies; Briefing Executive Staff on ongoing and emerging matters; Managing the creation and distribution of the Quarterly Performance Matrix, Executive Summary, Week Ahead reports, and notifications to Headquarters; Ensuring comprehensive executive staff support through the Executive and Support Branch.</p>
30%	E	<p>The incumbent is accountable for the overall development and delivery of comprehensive training programs, including overseeing the management of Career Fairs and the administration of the Student Assistant Program.</p> <p>Responsibilities include ensuring continual consulting with District managers and supervisors to establish and align training objectives, providing expert recommendations, and ensuring that all programs achieve training goals within allocated resources. The incumbent also has the overall responsibility for ensuring full compliance with mandated training requirements.</p> <p>Additional duties include but are not limited to: Preparing and presenting detailed analytical reports to senior management, including compliance projections and actionable recommendations; Providing scheduling support and oversight to ensure timely and effective implementation of training initiatives.</p>

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10%	M	<p>The incumbent is required to attend all mandated and recommended training, serve on various District and/or statewide committees as needed, and provide support for other Administration Division Chiefs, including delegation for other levels of responsibility and Deputy District Director of Administration role when required. Responsibilities include preparing and presenting reports to management at all levels, partnering agencies, and other stakeholders.</p> <p>The incumbent is required to participate in the District's Emergency Operations Center (EOC) as essential personnel, requiring after-hours and 24/7 on-call availability for emergency response. Additional duties include attending and contributing to meetings and committees as assigned.</p> <p>This classification may perform all or some of the responsibilities listed above, as well as other related duties.</p> <p>Special Projects: As Assistant Division Chief for the Office of Compliance Management, the incumbent may be assigned special projects or asked to serve on committees, task forces, or assist other Divisions or Headquarters programs on issues related to Compliance Management Branch operations.</p>
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<sup>1</sup>ESSENTIAL FUNCTIONS are the core duties of the position that cannot be reassigned.  
MARGINAL FUNCTIONS are the minor tasks of the position that can be assigned to others.

SUPERVISION OR GUIDANCE EXERCISED OVER OTHERS

The incumbent provides direct supervision to assigned staff and may be designated to act on behalf of the Deputy District Director of Administration for brief periods. Additionally, the incumbent may be reassigned to an equivalent classification within another unit or tasked with managing other branches within Administration to address and support organizational requirements.

KNOWLEDGE, ABILITIES, AND ANALYTICAL REQUIREMENTS

Communication and Leadership:

- Prepare clear, concise, and accurate reports.
- Communicate effectively, both orally and in writing, with all levels of staff.
- Negotiate effectively and handle sensitive situations tactfully.
- Make timely decisions, prioritize critical programs, and resolve conflicts effectively.
- Select, train, motivate, and manage staff to achieve organizational goals.

Analytical and Decision-Making:

- Demonstrate strong analytical skills, including accurate interpretation of budget data and forecasting of expenditures.
- Analyze and resolve complex problems within the division; develop sound alternatives and solutions.
- Formulate new policies, procedures, and organizational changes as needed.
- Apply logical and creative reasoning using a variety of analytical techniques to develop effective solutions.
- Research, analyze, and make recommendations on a broad range of administrative issues.

Knowledge Requirements:

- Laws, principles, and practices of training, quality management, budgeting, public administration, safety and health.
- Department policies, current management and supervisory principles, and all pertinent laws, rules, and MOUs.
- Principles of accident prevention and safety practices.
- Basic concepts of accounting, cost control, and financial administration in state government.

Interpersonal and Organizational Skills:

- Build and maintain effective teams and collaborative relationships with internal and external stakeholders.
- Establish guidelines and controls to ensure activities are effectively accomplished.
- Maintain open communication with District, Support District, and Headquarters management.
- Represent the Department professionally in complex and sensitive environments.

Additional Competencies:

- Handle confidential information.
- Prepare and deliver presentations to diverse audiences.
- Negotiate and resolve complex issues to the satisfaction of all parties.
- Contribute to the Department's Equal Opportunity objectives.
- Prioritize workload to meet deadlines and manage multiple priorities effectively.

RESPONSIBILITY FOR DECISIONS AND CONSEQUENCES OF ERROR

Failure to exercise sound and timely decision-making could significantly impact the delivery of the District's programs and place the District and Department in violation of Federal and State regulations governing the expenditure of funds. Such errors may result in sanctions or the loss of millions of Federal Highway dollars. The incumbent is accountable for ensuring that all transactions and requirements comply with established delegations and for implementing policy, setting work priorities, and training staff within assigned units. Inappropriate decisions or recommendations can directly and adversely affect departmental programs, leading to inefficiencies, over- or under-expenditure of funds, potential embarrassment, loss of funding, and diminished

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credibility. These outcomes may also negatively influence future funding levels and delegations. The incumbent is responsible for projecting a positive image of the Department, adapting quickly to change, and applying initiative to incorporate adjustments and resolve issues with minimal disruption. As a management liaison, the incumbent must maintain strong working relationships with other managers to preserve the District's reputation and credibility.

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### PUBLIC AND INTERNAL CONTACTS

The incumbent maintains internal contact with all levels of District and Headquarters staff and routinely advises District Executive Management on critical budgetary matters. The position carries primary responsibility for making or recommending actions and responding to inquiries from control agencies and audit staff. The incumbent independently consults with and advises employees regarding services available within Administration and handles complex inquiries with professionalism and integrity. Effective communication is essential, as the incumbent must interact and negotiate with Headquarters functional managers, regional managers, district managers and supervisors, and individual employees. Strong verbal, written, telephone, and email communication skills are required, along with the ability to engage others in a courteous and professional manner.

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### PHYSICAL, MENTAL, AND EMOTIONAL REQUIREMENTS

Employees may be required to sit or stand for extended periods while using a computer, telephone, or video display terminal, and may travel by vehicle to various locations. The position involves sustained mental activity for analysis, reasoning, and problem-solving, as well as the ability to concentrate on highly technical details and implement effective solutions.

The incumbent must:

- Develop and maintain cooperative working relationships and respond to difficult or emotionally charged situations with tact, diplomacy, and professionalism.
- Work independently, exercise sound judgment, and determine effective courses of action under pressure.
- Organize and prioritize large volumes of varied documents and tasks, adapt to frequent and unexpected changes, and complete projects on short notice.
- Multi-task effectively and create a work environment that fosters innovation and creative thinking.
- Move between multiple floors and buildings during daily supervisory activities.
- Represent the Department professionally, including speaking before large groups and participating in meetings.
- Maintain emotional and mental resilience to manage state resources responsibly and treat others with courtesy and respect.

Additional requirements include:

- Ability to resolve complex issues reasonably and diplomatically.
  - Strong organizational skills and flexibility to adjust priorities quickly.
  - Proficiency in using computer technology and related software (e.g., Word, Excel, Access). Capacity to handle sensitive and confidential information appropriately
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### WORK ENVIRONMENT

The incumbent will work in a climate-controlled office environment under artificial lighting; however, occasional fluctuations in temperature may occur due to heating or air conditioning issues. The position also requires travel between the District Office, Headquarters, and other district locations for meetings or training sessions. Occasional overtime, evening work, and overnight travel may be necessary.

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I have read, understand and can perform the duties listed above. (If you believe you may require reasonable accommodation, please discuss this with your hiring supervisor. If you are unsure whether you require reasonable accommodation, inform the hiring supervisor who will discuss your concerns with the Reasonable Accommodation Coordinator.)

I agree that by providing my electronic signature for this form, I agree to conduct business transactions by electronic means and that my electronic signature is the legal binding equivalent to my handwritten signature. I hereby agree that my electronic signature represents my execution or authentication of this form, and my intent to be bound by it.

EMPLOYEE (Print)

EMPLOYEE (Signature)	DATE
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I have discussed the duties with, and provided a copy of this duty statement to the employee named above.

SUPERVISOR (Print)

SUPERVISOR (Signature)	DATE
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