

**POSITION DUTY STATEMENT**

DOT PM-0924 (REV 08/2024)

CLASSIFICATION TITLE Supervisor I (Specialist)	OFFICE/BRANCH/SECTION Discipline Services/DSMS/Administration	
WORKING TITLE Case Manager	POSITION NUMBER 702-015-xxxx-xxx	REVISION DATE 01/01/2026

As a valued member of the Caltrans leadership team, you make it possible for the Department to provide a safe and reliable transportation network that serves all people and respects the environment.

**GENERAL STATEMENT:**

Under the general direction of the Chief, Office of Discipline Services, a Supervisor II, the Supervisor I (Specialist) provides detailed advice and technical guidance to executive leadership, managers and supervisors statewide regarding complex and sensitive personnel issues, policy implementation, personnel notices, and progressive discipline. The Supervisor I (Specialist) is responsible for representing the Department in administrative law hearings, ensuring that the highest legal and ethical standards are met. The incumbent is expected to be courteous and exhibit professional behavior in all interactions with internal and external customers.

**CORE COMPETENCIES:**

As a Supervisor I (Specialist), 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.

- **Creativity and Innovation:** Thinks beyond the confines of traditional models to recognize opportunities, seek creative solutions and take intelligent risks. (Strengthen Stewardship and Drive Efficiency - Innovation)
- **Decision Making:** Makes critical and timely decisions. Takes charge. Supports appropriate risk. Makes challenging and appropriate decisions. (Cultivate Excellence - Integrity)
- **Ethics and Integrity:** Demonstrated concern to be perceived as responsible, reliable, and trustworthy. Respects the confidentiality of information or concern shared by others. Honest and forthright. Conforms to accepted standards of conduct. (Cultivate Excellence - Integrity)
- **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. (Cultivate Excellence - Integrity)
- **Teamwork/Partnership:** Develops, maintains, and strengthens partnerships with others inside or outside of the organization through effective communication and collaboration. (Cultivate Excellence - Engagement)
- **Customer Focus:** Considers, prioritizes, and takes action on the needs of both internal and external customers. (Cultivate Excellence - Engagement)
- **Negotiation:** Negotiates in a manner that results in positive business outcomes, while maintaining strong relations with the other negotiating member. (Cultivate Excellence - Integrity)
- **Forward Thinking:** Anticipates the implications and consequences of situations and takes appropriate actions to be prepared for possible contingencies. Anticipates and prepares for future developments. (Strengthen Stewardship and Drive Efficiency - Innovation)
- **Organizational Skills:** Keeps work prioritized and organized. Logically approaches situations. (Strengthen Stewardship and Drive Efficiency - Innovation)

**TYPICAL DUTIES:**

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

**ADA Notice**

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50%	E	Consults with executive leadership, managers and supervisors statewide regarding progressive discipline and formal personnel notices, such as adverse actions, rejections during probation, and AWOL separations. Determines appropriate charges which are supported by clear and convincing evidence, and recommends level of actions. Confers with Audits and Investigations, Workplace Violence Prevention and Equal Employment Opportunity staff concerning investigations requested by managers and supervisors. Develops all actions, including the most complex and sensitive actions related to workplace violence, sexual harassment, discrimination, information technology abuse, etc. Ensures employees' due process rights to adequate notice are satisfied, properly addresses prior warnings given to employees by supervisors, and confirms the actions will meet all legal pleading requirements. Prepares notices for Rejections on Probation, Absences Without Leave (AWOL) separations, non-punitive and medical terminations and ensures actions are appropriately served.
30%	E	Prepares the Department's response to employee appeals of formal actions at Department of Human Resources (CalHR), State Personnel Board (SPB), and Unemployment Insurance Appeal Board (UIAB) evidentiary hearings. Presents oral arguments of fact, law, and argument about the Department's action before an administrative law judge. Writes and serves timely Prehearing Settlement Conference Statements in response to appeals. Prepares witnesses to testify in administrative law proceedings, conducts direct examination of witnesses, conducts cross-examination of witnesses, and introduces evidence into the record. Prepares written responses to discovery requests and other motions as needed. Assists the Legal Division staff in representing the Department in civil actions.
15%	E	Negotiates, writes, and obtains approval from management, SPB, CalHR, and the appellant and their representative for Stipulated Settlement Agreements to settle all formal actions. Communicates with executive staff, supervisors and managers, Labor Relations, Workers' Compensation, Personnel Operations and Transactions staff regarding the final action and settlement agreement. Ensures all settlements are properly filed and adhered to.
5%	M	Provides training to managers and supervisors on the progressive discipline process and the Skelly/Coleman Hearing process. Ensures Skelly/Coleman Hearing Officers fulfill their roles and responsibilities. Updates shared drive with results of actions, settlement agreements, and SPB or CalHR rulings. Distributes notices and responds to general correspondence and inquiries. Provides back up to analyst and clerical staff as needed.

<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**

None. This is a specialist position.

**KNOWLEDGE, ABILITIES, AND ANALYTICAL REQUIREMENTS**

Knowledge of the principles and practices in public and business administration, including personnel management, classification and pay issues, labor relations, and employee supervision, development and training; Caltrans policies and procedures, safety, health, and equal opportunity objectives; legal principles and practices with particular reference to the laws governing public offices and agencies; trial and appellate court procedure; and the rules/laws of evidence. Demonstrated positive attitude and a commitment to conduct business in a professional manner in dealing with the public and department clients and provide quality customer service to all customers. Ability to research, understand, interpret and articulate applicable employment laws, rules and regulations; prepare and conduct actions and proceedings before administrative law bodies; analyze and apply legal principles and precedents to particular sets of facts; present oral statements of fact, law, and argument clearly and logically; provide clear, concise, and effective written actions and documentation; and to deal tactfully, professionally, and confidentially with all internal and external customers and contacts.

**RESPONSIBILITY FOR DECISIONS AND CONSEQUENCES OF ERROR**

Improper direction and recommendations could severely impact managers' and supervisors' ability to discipline employees. This could result in loss of management's confidence in the disciplinary process. Inefficient and ineffective presentations of the Department's response to employee's appeals that result in the administrative law judge overruling the Department's adverse action may generate civil actions by employees and severe financial liability to the state. Poor performance by the SSM I may also consequently affect Caltrans' ability to pursue effective negotiations with labor unions concerning resolution of disciplinary and non-punitive actions and diminish the Department's reputation with SPB and Cal HR. Responsible for complying with the Information Practices Act (IPA), Civil Code section 1798, et seq., by protecting departmental employees' confidential information, including, but not limited to, social security numbers, medical or employment history, education, financial transactions, or similar information. Failure to protect departmental employee's confidential information may damage DHR's reputation as a confidential organization and result in employee grievances or lawsuits. Intentional violation of this Act may result in disciplinary action, up to

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and including termination of employment.

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### PUBLIC AND INTERNAL CONTACTS

Independently confers with all levels of Caltrans directorate, management and staff, employee representatives, Legal Division attorneys, Audits and Investigations Office, Employment Opportunity Office, Equal Employment Opportunity Office, and SPB and CalHR staff. The incumbent is expected to be courteous and exhibit professional behavior in all interactions with internal and external customers.

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### PHYSICAL, MENTAL, AND EMOTIONAL REQUIREMENTS

Employees may be required to sit for long periods of time using a keyboard and video display terminal or traveling in a vehicle to other locations; will be involved with sustained mental activity needed for analysis, reasoning and problem solving; must be able to develop and maintain cooperative working relationships, recognize emotionally charged issues, problems or difficult situations and respond appropriately, tactfully, and professionally; and must be able to work independently.

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### WORK ENVIRONMENT

While at their base of operation, employees will work in a climate-controlled office under artificial lighting. Employees will be required to travel to district offices and field locations throughout the State to interview staff, gather information, appear at hearings, and make presentations to managers and supervisors.

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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.

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EMPLOYEE (Print)

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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.

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SUPERVISOR (Print)

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SUPERVISOR (Signature)

DATE

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