

**CALIFORNIA DEPARTMENT OF TRANSPORTATION  
DUTY STATEMENT**

<b>CLASSIFICATION TITLE</b> Staff Services Manager I	<b>DISTRICT/DIVISION/OFFICE</b> Office of Business and Economic Opportunity - Compliance Branch	
<b>WORKING TITLE</b> Compliance Branch Manager	<b>POSITION NUMBER</b> 913-088-4800-XXX	<b>EFFECTIVE</b> January 2014

**As a valued member of the Caltrans team, you make it possible for the Department of Transportation (Caltrans) to improve the mobility across California by being innovative and flexible; working cooperatively with team members and others; and treating others fairly, honestly, and with respect. Your efforts are important to each member of the team, as well as those we serve.**

**GENERAL STATEMENT:**

Under general direction of a Staff Services Manager (SSM) II, the SSM I supervises, plans, organizes, and directs the activities of the Compliance Branch (CB). The incumbent is responsible for ensuring compliance by contractors and internal stakeholders with state and federal statutes, regulations, and laws pertaining to the responsibilities of the Office of Business and Economic Opportunity (OBEO). Statewide travel is required.

**TYPICAL DUTIES:**

Percentage Job Description

Essential (E)/  
Marginal (M)<sup>1</sup>

- 45% (E) Provide direct supervision, training, development, and evaluation of staff to ensure deadlines are met. Provide leadership, counsel, direction, and resources for staff development. Ensures that completed staff work is accomplished and that all policies and procedures are followed in a timely manner. Review work and evaluate performance of staff by completing probationary reports and individual development plans to ensure performance expectations are met. Conduct, arrange and approve training for staff to increase staff knowledge base. Delegate responsibility to staff to facilitate timely completion of work.
- 25% (E) Plan, organize, and direct the activities of the Compliance Branch. Review and develop policy and procedure recommendations, serve as departmental expert, and develop positive working relationships with internal and external customers. Supervise development and implementation of compliance strategies, including but not limited to, Disadvantage Business Enterprise (DBE) certification site visit investigations, Equal Opportunity Contractor Compliance reviews (EOCC), DBE

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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

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Commercially Useful Function (CUF) reviews, Disabled Veteran Business Enterprise (DVBE) CUF reviews, investigation and reports recommending Suspension/Debarment of Department of General Services (DGS) certified businesses, DBE ineligibility complaint investigation and decertification process and Division/District Title VI.

- 20% (E) Conducts detailed reviews of site visit reports and investigative reports submitted by compliance staff to ensure readability, grammatical correctness, and accuracy of the reports content. Review working papers to ensure that compliance review findings and reports are consistent with regulatory stipulations and properly supported. Respond to Legislative, Governor and Director referrals concerning the certification process or other compliance related issues.
- 10% (E) Provide expertise and advocacy for the departmental efforts to comply with federal regulations and state laws regarding contractor employment requirements and DBE/SB/Disabled Veteran Business Enterprise (DVBE) participation. Attend or participate in hearings and meetings statewide. Serve as the Branch Manager, in their absence, to attend meetings with stakeholders.

**SUPERVISION EXERCISED OVER OTHERS:**

The incumbent supervises the general day-to-day operations of the Compliance Branch and directs the activities of Associate Governmental Program Analysts. The incumbent may act as backup to the SSM II in their absence.

**KNOWLEDGE, ABILITIES AND ANALYTICAL REQUIREMENTS:**

The incumbent functions as an expert on compliance with Title VI, Title VII, CUF, and have working knowledge of the DBE and DVBE certification requirements. Must possess knowledge of state and federal requirements, departmental policies and procedures regarding supervising staff, including labor relations, equal employment opportunity, progressive discipline, reasonable accommodation, sexual harassment prevention, and discrimination prevention.

The incumbent must be able to work independently and as a member of the management team and must strive to supervise using the team concept. Ability to effectively communicate ideas and information, verbally and in writing, be clear and concise; utilize appropriate grammar; respond appropriately. Ability to set well-established and realistic unit goals and effectively manage and coordinate projects to successful completion. Ability to establish and maintain good working relationships with internal and external partners. Exhibit good judgment and decision making when evaluating funding, staff, and program information, and be able to set priorities and meet deadlines. Ability to make sound, well-informed and objective decisions; perceive the impact and implications of decisions; commit to action, even in uncertain situations, to accomplish goals. Independently analyze complex issues and make recommendations to Caltrans management.

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### **CONSEQUENCE OF ERROR/RESPONSIBILITY FOR DECISIONS:**

The incumbent provides direction, counsels staff, and evaluates sensitive information. Poor judgment could result in litigation and adversely impact the Department. The incumbent must be able to interpret regulations correctly and make sound decisions to enable the Department to comply with the federal regulations contained in 49 CFR part 26 and 23 CFR Part 230. There may be a major impact on transportation funding for the Department if contract compliance obligations are not met in an accurate, comprehensive and timely manner. An error in judgment could result in improper management decision at all levels, inaccurate financial reporting, and mismanagement of department funds, incorrect budget/personnel decision and noncompliance with statutory requirements.

Failure to address issues could compromise the health, safety and well being of employees; precipitate unfair labor practice charges or lawsuits or discrimination complaints against the Department; waste State resources; or create negative publicity for the Department and negatively impact the ability of staff to perform their duties and meet operational needs.

### **PUBLIC AND INTERNAL CONTACTS:**

The incumbent has frequent contact with all levels of staff, including the Department's Legal Division, Construction, Construction Labor Compliance, Division of Procurement and Contracts, District and Headquarters' staff, as well as Resident Engineers. Other contacts include other state and federal agencies, and outside contractors and vendors, including the Department of General Services staff, DVBE Advocates, and Office of Inspector General (OIG).

### **PHYSICAL, MENTAL AND EMOTIONAL REQUIREMENTS:**

The incumbent will be required to sit for long periods of time using a keyboard and video display terminal. Engage in sustained mental activity to produce reports, problem solving, and analysis. Develop and maintain cooperative working relationships, respond appropriately to difficult situations, and recognize emotionally charged individuals, issues, or problems, and provide appropriate responses. The incumbent must be able to deal effectively with pressure and intensity and remain optimistic and persistent, even under adversity. Must have the ability to multi-task and adapt to changes in priorities and complete tasks or projects with short notice.

### **WORK ENVIRONMENT:**

The incumbent will work in a climate-controlled office under artificial lighting. The incumbent will be required to periodically travel statewide and may be required to work outside the usual hours of the work day in order to conduct site visits or to observe staff carrying out compliance review activities.

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I have read, and understand the duties listed above and can perform them either with or without reasonable accommodation. (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.)

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Employee's Name

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Signature

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Date

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

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Supervisor's Name

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Signature

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Date

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Rev. 02/06