

**CALIFORNIA DEPARTMENT OF TRANSPORTATION  
DUTY STATEMENT**

<b>CLASSIFICATION TITLE</b> Staff Services Manager II	<b>DISTRICT/DIVISION/OFFICE</b> Administration, Office of Enterprise Risk Management	
<b>WORKING TITLE</b> Ethics Officer	<b>POSITION NUMBER</b> 702-002-4801-xxx	<b>EFFECTIVE</b> 05/01/2015

**As a valued member of the Caltrans team, you make it possible for the Department to improve the mobility across California by being innovative and flexible; reporting to work as scheduled; 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 the general direction of the Chief Risk and Ethics Officer, Office of Enterprise Risk Management, the Staff Services Manager II (SSM II) is responsible for the creation, implementation and management of the Caltrans Ethics and Workforce Compliance programs. The Ethics Officer provides review and assurance that management's approach to ethics and workforce compliance is in alignment with Caltrans' strategic goals and objectives. The SSM II supervises a team of workforce planning and ethics analysts in order ensure excellent customer services to managers and supervisors on ethics, workforce planning, and workforce compliance activities. Personally performs the most complex work.

**TYPICAL DUTIES:**

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

20% (E)	Work closely with the Chief Risk and Ethics Officer in the creation, implementation and management of a statewide Ethics function. Using best industry practices, such as the Sarbanes Oxley Act and Federal Sentencing requirements, assist Chief Risk and Ethics Officer in guiding Caltrans executive leadership in the creation of a new Ethics policy, and framework. The goal of the Ethics program is to define both Caltrans' values and the business behaviors and conduct that support those Values, and provide mechanisms to prevent, identify, and report misconduct.
	Working closely with the Chief Risk and Ethics Officer, and using subordinate staff, create,

<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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	<p>implement and manage a statewide Code of Conduct that clearly defines Caltrans' expected workforce behaviors in respect to honesty, integrity, conflict of interest, employment, contracts, public and vendor interactions, use of state resources and materials, etc. Ensure the Code of Contact is marketed throughout Caltrans and signed annually by employees and supervisors. Oversee the creation and implementation of statewide ethics and conduct training.</p> <p>Both personally and through subordinate staff, develop electronic analytic tools and techniques to capture the Caltrans Ethics framework.</p>
20% (E)	<p>Work closely with the Chief Risk and Ethics Officer in the creation, implementation and management of an internal whistleblower service that allows Caltrans employees to report unethical behavior and misconduct. Develop a communication plan to market the program to all Caltrans employees.</p> <p>Directing subordinate staff, manage intake of the whistleblower complaint system, ensuring complaints are handled promptly and appropriately. Work collaboratively with Audits &amp; Investigations, Human Resources, and Labor Relations to track the complaint investigations, response to the complainant, and subsequent action. Assist Chief Risk and Ethics Officer in development of analytics in order to provide regular reports on the types, and disposition, of the whistleblower complaints.</p>
20% (E)	<p>Provide management and day to day direction on Caltrans Workforce Planning program, including succession planning and knowledge transfer. Ensure workforce planning activities are performed in compliance with the California Department of Human Resources (CalHR) guidelines. Direct staff in the preparation of data and reports for use by Caltrans management in developing long range workforce plans. Lead meetings with program areas and ensure workforce planning solutions are implemented. Direct staff in development of analytics in order to periodically report status of workforce planning activities to Caltrans Executive Board, the Bureau of State Audits, the State Legislature, and other interested governmental bodies.</p>
15% (E)	<p>Manage the Caltrans conflict of interest and incompatible activity functions. Ensure Caltrans is responsive and compliant with requirements of the Fair Political Practices Commission. Manage Caltrans' manager and supervisor annual completion of "Statement of Economic Interests" Form 700, including assurance that designated managers and supervisors comply with requisite ethics training.</p>
10% (E)	<p>Work closely with the Chief Risk and Ethics Officer in the creation, implementation and management of workforce compliance functions. Direct staff in employee behavior based data collection (using data from Legal, Audits, Training, Labor Relations and Human Resources) and analysis to spot trends and risks to Caltrans operations and workforce. The behavior analysis will be shared with the Chief Risk and Ethics Officer and Risk Officer for</p>

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	<p>use in risk assessments and ethics program to drive discussion and decision making.</p> <p>Work collaboratively with other offices and divisions, such as Learning and Development, Labor Relations and Human Resources, to implement practices that support ethical, Caltrans Value based behavior, such as hiring, training, etc.</p>
10% (M)	<p>Assist Chief Risk and Ethics Officer and the Risk Officer in the creation and implementation of a statewide Enterprise Risk Management (ERM) function, including conduction of risk assessments in districts and divisions, ERM training, and creation and management of an annual corporate risk profile. Ensure workforce and ethics program consider, and support, current risk trends. Collaborate with Risk Officer to ensure shared functions support overall successful attainment of office objectives.</p>
5% (M)	<p>Assist in the management of fiscal and personnel resources of the Office of Enterprise Risk Management. Ensure appropriate supervision of subordinate employees, including following all relevant Human Resources and Labor Relations practices and standards.</p> <p>Acts for the Chief Risk and Ethics Officer in his/her absence.</p>

### ***SUPERVISION EXERCISED OVER OTHERS***

The SSM II directly supervises subordinate professional analytical staff. May act as lead to other staff on special projects.

### ***KNOWLEDGE, ABILITIES AND ANALYTICAL REQUIREMENTS***

Knowledge of principles, practices, and trends of public and business administration, including management and supportive staff services; principles and practices of employee supervision, development, and training; program management; formal and informal aspects of the legislative process; the administration and department's goals and policies; governmental functions and organization at the State and local level; the manager's responsibility for promoting equal opportunity in hiring and employee development and promotion and for maintaining a work environment which is free of discrimination and harassment; Caltrans business and operational functions, and mission, vision, values and goals; spreadsheet, database, presentation and word processing software; workforce planning methods; and national ethics and compliance standards.

Ability to reason logically and creatively and utilize a variety of analytical techniques to resolve complex governmental and managerial problems; develop and evaluate alternatives; analyze data and present ideas and information effectively both orally and in writing; consult with and advise administrators or other interested parties on a wide variety of subject-matter areas; gain and maintain the confidence and cooperation of those contacted during the course of work; review and edit written reports, utilize interdisciplinary teams effectively in the conduct of studies; manage a

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complex Enterprise Risk Management program; establish and maintain project priorities; develop and effectively utilize all available resources; express ideas and present information clearly and logically, both orally and in writing; and effectively promote equal opportunity in employment and maintain a work environment that is free of discrimination and harassment.

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

The incumbent is responsible for management and administration of the Ethics, Workforce Compliance, and Workforce Planning functions. Provides strategic guidance to management on workforce and ethics matters and decisions. Expert advice to top management is essential to avoid errors that could expose the Department to criticism from the legislature and seriously restrict the operating capability and flexibility of the Department. Errors could result in public or media scrutiny, and/or loss of funds.

The incumbent is responsible for complying with the Information Practices Act (IPA) 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 OERM's reputation as a confidential organization, may result in employee grievances or lawsuits, and, pursuant to California Civil Code section 1798.55, could result in disciplinary action, including termination of employment.

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

The incumbent has frequent contact with a large number of Caltrans managers and staff, other public sector agencies, academic personnel, and industry representatives at all levels, both within and outside the transportation sector. The Ethics Officer will have contact with other state agencies, such as CalHR, Fair Political Practices Commission, and the Bureau of State Audits.

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

The incumbent may be required to sit for long periods of time using a keyboard and video display terminal.

The incumbent should be able to quickly adapt behavior and work methods in response to new information/priorities, and unexpected obstacles; effectively interact with many levels of people in a cooperative manner; be decisive; take appropriate actions; and complete tasks or projects with short notice. The incumbent should be able to deal effectively with pressure, maintain focus and intensity.

The incumbent shall act in a fair and ethical manner toward others and demonstrate a sense of responsibility and commitment to public service; develop new insights into situations and apply innovative solutions to make organizational improvements; create a work environment that encourages creative thinking and innovation; be willing to take risks and initiate actions that involve

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