Per California Code of Regulations, title 2, section 548.5, the following information will be posted to CalHR's Career Executive Assignment Action Proposals website for 30 calendar days when departments propose new CEA concepts or major revisions to existing CEA concepts. Presence of the department-submitted CEA Action Proposal information on CalHR's website does not indicate CalHR support for the proposal.

### A. GENERAL INFORMATION

<table>
<thead>
<tr>
<th>1. Date</th>
<th>2. Department</th>
</tr>
</thead>
<tbody>
<tr>
<td>2017-05-30</td>
<td>Transportation</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3. Organizational Placement (Division/Branch/Office Name)</th>
</tr>
</thead>
<tbody>
<tr>
<td>District 12/Maintenance and Operations</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4. CEA Position Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Deputy District Director, Maintenance and Operations</td>
</tr>
</tbody>
</table>

5. Summary of proposed position description and how it relates to the program's mission or purpose. (2-3 sentences)

The Deputy District Director of Maintenance and Operations is responsible for all activities related to the planning, management, policy development, direction and coordination of activities in Maintenance and operations in District 12 Orange County. This positions provides direction in resolving maintenance, traffic and permit problems in the District and supports the District Director, the Deputy District Directors and Region Managers in administering the overall program of the District. This position represents the District in making decisions and resolving highly technical or politically sensitive problems, interagency and public relations issues in support of Department's mission, vision and goals.

<table>
<thead>
<tr>
<th>6. Reports to: (Class Title/Level)</th>
</tr>
</thead>
<tbody>
<tr>
<td>C.E.A. Level B</td>
</tr>
</tbody>
</table>

7. Relationship with Department Director (Select one)

- [ ] Member of department's Executive Management Team, and has frequent contact with director on a wide range of department-wide issues.
- [x] Not a member of department's Executive Management Team but has frequent contact with the Executive Management Team on policy issues.

(Explain): Frequent contact with District Director and Deputy District Directors who all participate on key policy issues

<table>
<thead>
<tr>
<th>8. Organizational Level (Select one)</th>
</tr>
</thead>
<tbody>
<tr>
<td>[ ] 1st</td>
</tr>
</tbody>
</table>
9. What are the duties and responsibilities of the CEA position? Be specific and provide examples.

The Deputy District Director of Maintenance and Operations is responsible for all activities related to the planning, management, policy development, direction and coordination of activities in Maintenance, Maintenance engineering and Traffic operations in District 12 Orange County. Specific duties include:

- Manages and leads the activities of the Maintenance and Operations Divisions, and provides policy and administrative direction to staff to ensure the effective use of resources and the attainment of program/project goals.
- Implements statewide guidelines for Traffic Operations and Maintenance.
- Develops and implements policies to coordinate all phases of the Districts' traffic safety and operations activities which reduces traffic congestion, improves the safety and performance of the existing highway system.
- Develops policies, guidance and procedures that are not covered in the statewide guidelines. Develops the goals, objectives and priorities of the Divisions.
- Represents the District and Department in making decisions for the resolution of highly technical or politically sensitive problems, interagency and public relations issues.
- Collaborates with other Deputy District Directors and/or Headquarters Division Chiefs to determine solutions to cross-functional issues.
- Analyzes program performance related to Transportation System Performance Measures and Maintenance Level of Service targets.
- Oversee District Asset Manager and SHOPP Program Manager and ensures District's performance plan is in alignment with the State Highway Strategic Management Plan (SHSMP)
- Responsible for difficult technical and administration matters and direction of staff to ensure:
  - Effective communication with the District and Department as well as with external partners and the public regarding system monitoring, performance, maintenance and operations
  - Safety regulations for employees and workers at work sites through the district are implemented.
  - Traffic management for construction and maintenance activities and special events
  - Risk analysis issues related to workforce/personnel, projects and policies are identified and managed appropriately
  - Policies and procedures for issuing encroachment permits for activities within highway rights of way
  - Effective emergency response systems and processes that are in place and communicated appropriately and carried out effectively
  - Schedules and budgets are managed, monitored, and maintained, and timely decisions are made to resolve issues
- Participates on the District Executive Team by collaborating with other District 12 executives in developing District policies, procedural guidelines and work standards, determining District objectives, staffing issues, workload projections, resource allocations and budget redirection.
- Contributes to the safety, health, equal employment opportunity and labor relations objectives of the Caltrans Strategic Management Plan
- Serves as the District's Emergency Manager. Responsible for the preparedness, response and short-term recovery following a disaster at the District level. Serves as the primary coordinator/liaison with the California Highway Patrol at the District level on matters pertaining to operation and maintenance of the State Highway System within District 12.
- Responsible for identifying and communicating maintenance-related and operational road closures, detours, and other traffic issues to the public through the District's Public Information Office.
10. How critical is the program's mission or purpose to the department's mission as a whole? Include a description of the degree to which the program is critical to the department's mission.

- [x] Program is directly related to department's primary mission and is critical to achieving the department's goals.
- [ ] Program is indirectly related to department's primary mission.
- [ ] Program plays a supporting role in achieving department's mission (i.e., budget, personnel, other admin functions).

Description: As a whole, Maintenance is the largest program in Caltrans, having the largest workforce, and has responsibility for maintenance of state highway pavement, bridges and. Traffic Operations focus on the traffic management system improvements, including ramp meters, traffic cameras, electronic highway message signs and sensors. Both programs span the entire state and are vital to the sustainability of California's Transportation System. This CEA position has the responsibility for making sustainable transportation decisions that support reduced traffic congestion, reliable goods and people movement, and long-lasting infrastructure in District 12, in collaboration with the public, partner agencies, elected officials and other stakeholders. District 12 Maintenance and Operations is also the District Emergency Manager, and is responsible for the preparedness, response and short-term recovery following a disaster at the District level. These programs have a direct impact in achieving Caltrans' mission, vision and goals.
11. Describe what has changed that makes this request necessary. Explain how the change justifies the current request. Be specific and provide examples.

District 12 is proposing to reorganize its management structure in the Division of Maintenance and Operations to include a new Career Executive Assignment (CEA) Level A. The CEA will report directly to the District Director, a CEA Level B. Under the new organizational structure, two Maintenance Manager IIs, a Supervising Transportation Engineer (TE), two Senior TE’s and a Senior Landscape Architect will report to the new CEA Level A Deputy District Director (DDD) for Maintenance and Operations and manage a staff of 343. This position would be at the third organizational level of the Department and handles all activities related to the planning, management, and policy development of the Maintenance and Operations Division in District 12.

Establishing the new CEA will allow the Supervising TE over Traffic Operations to focus on critical operational issues while the CEA will manage the overall program to support the Caltrans Strategic Management Plan. The CEA would alleviate the District Director’s involvement and facilitate the need to partner with regional and local agencies to deliver some of the most complex projects in the State. As the District representative, the CEA must carefully address issues with the Orange County Transportation Authority (OCTA), Transportation Corridor Agencies, California Highway Patrol and 34 local cities within Orange County to implement and develop policy which affect usage and appearance of the State highway system. Due to public scrutiny and the constant focus on safety and timely delivery of services, this new position is key to improving the relationships with the public, the local agencies and creating a more efficient response overall to the District’s needs.

Maintenance and Traffic Operations have overlapping goals; however, each contain objectives and performance areas that are unique and independent of each other. Close coordination and effective communication between these programs is vital as it is required when providing service to the public. The CEA will ensure system safety and reliability of both Divisions by crosscutting complex issues and resolving them at the CEA’s level. The CEA will liaison with California Highway Patrol and designated Emergency Operations Managers. The CEA will work directly with local elected officials and cities on behalf of the District Director. The CEA can also follow up on action plans and develop policies that have resulted from both Maintenance and Operation Zero-Based Budgeting drills with the Department of Finance, and focus on developing performance-based management in addition to the corrective action plans related to the recent report on Caltrans Maintenance by the Bureau of State Audits. The CEA will facilitate decision making and resolution of complex issues in a more timely manner and also achieve performance goals and objectives by identifying opportunities for improvement to the program overall. The CEA will provide guidance to District 12’s implementation of a Caltrans’ performance driven asset management approach for the State Highway Operation and Protection Program (SHOPP) via the State Highway System Management Plan (SHSMP). The CEA will oversee the work of both District 12’s SHOPP Program Manager and Asset Manager and ensure objectives and target budgets of the District’s project portfolio are met.

Risks are associated with an excessively wide span of control, such as not attending to day-to-day issues associated with management and supervision of all personnel and delivery of work products. Because engineering work is variable, where work instructions must be adapted constantly from a set of guidelines, a Supervising TE must have constant contact with its subordinate supervisory engineers to provide proper support and direction. Insufficient time and attention makes it difficult to establish performance-based management across all levels of the organizational structure. Inadequate support and attention to subordinate supervisors and employees also lead to decreased morale or job satisfaction, underperformance and/or non-compliance with policies and directives, and increased incidences of misuse of state resources.

District 12’s demographics are unique. The mile area is smaller than some Districts, but the concentrated population and the large numbers of visitors to the region far exceeds those of other parts of California. Disneyland alone brings in millions of visitors throughout the year and the beach cities such as Huntington Beach, Newport Beach, Laguna Beach and San Clemente are visited throughout the year. With virtually good weather year-round, there is no down time for travelers to the area. There is a constant focus from the public and elected officials on the operations and appearance of the freeways in Orange County.
C. ROLE IN POLICY INFLUENCE

12. Provide 3-5 specific examples of policy areas over which the CEA position will be the principle policy maker. Each example should cite a policy that would have an identifiable impact. Include a description of the statewide impact of the assigned program.

Managed Lanes Policy
District 12 Traffic Operations has been extensively involved in the High Occupancy Vehicle (HOV) analysis and Degradation Action Plans, Managed Lanes (ML) Feasibility Study, and the ML Network Study. District 12’s Division of Traffic Operations helped to drive sound decision making at the local and county levels by educating stakeholders on superior outcomes in project alternative selection. They work extensively to overcome the conflict between OCTA’s commitment to voters (adding General Purpose Lanes) and Caltrans’ Mission and Vision, Strategic Management Plan and California Transportation Plans (which call for sustainable transportation solutions that maximize the use of our existing infrastructure while reducing greenhouse gas emissions). The efforts of District 12’s Traffic Operations teams contribute greatly to the successes in project alternative selection for Interstate (I-405) and State Route (SR-55). District 12 anticipates the strong efforts with partner agencies will continue to gain consensus on future priced ML corridors to optimize system performance.

Asset Management/State Highway Strategic Management Plan
The proposed organization structure would further the Division of Traffic Operations’ ability to better integrate with the District’s Division of Planning and develop robust Transportation Concept Reports and future System Planning documents, and initiatives outlined in the CTP2040. The CEA will provide guidance to District 12’s implementation of a Caltrans’ performance driven asset management approach for the State Highway Operation and Protection Program (SHOPP) via the State Highway System Management Plan (SHSMP). The CEA will oversee the work of both District 12’s SHOPP Program Manager and Asset Manager and ensure objectives and target budgets of the District’s project portfolio are met.

Sustainability and Innovation
The CEA will direct the District’s participation and set policy in projects that influence technological and innovation developments in traffic management and operations. Traffic Operations and Maintenance will have significant contributions in driving sustainability and innovation in the draft Caltrans 2-Year Plan to Agency:

• Two Integrated Corridor Management (ICM) implementation plans are in Orange County (SR-91 and SR-57)
• Expanding Park-n-Ride lots, installing solar panels on Caltrans Right of Way, review Right of Way constraints and the need to do more with less safely
• Installing electrical vehicle (EV) charging stations and possible hydrogen fueling stations to support Caltrans ZEV Program Manager’s efforts and fulfillment of B-16-12 and Governor’s 2016 Zero-Emission Vehicles (ZEV) Action Plan.

District 12 Traffic Operations will also continue with implementation of its Lean Six Sigma Safety Review Process project and is interested in implementing future Lean Six Projects in the District, such as the Encroachment Permits Process. It is District 12’s desire to get more involved in Vehicle to Vehicle (V2V) and Vehicle to Infrastructure (V2I) integration and engagement with partner agencies in a rapidly developing technology.
### C. ROLE IN POLICY INFLUENCE (continued)

#### 13. What is the CEA position's scope and nature of decision-making authority?

The Deputy District Director of Maintenance and Operations is responsible for all activities related to the planning, management, policy development, direction and coordination of activities in maintenance, maintenance engineering and traffic operations on the State Highway System in District 12 Orange County. This position recommends or approves and policies related to construction, traffic and maintenance matters. This position recommends and signs contract plans and estimates for traffic safety and operational projects within the District.

The position will be making high level policy decisions with program responsibility of significant scope, complexity, and sensitivity. With the passage of Senate Bill 1, the CEA over District 12’s Maintenance and Operations will be responsible for supporting District 12’s SB1 delivery commitments and focus on hiring, contracting, and additional needs of the districts. The Maintenance Program will be receiving hundreds of millions of dollars to deliver both PS&E (Office Engineer) contracts and Service Contracts (DPAC).

The position develops and maintains partnerships with all district functions, federal agencies, other state agencies and local governments; responds to local community concerns and general public issues; and speaks in public and to the media on the effects of transportation projects and policies. The position participates on behalf of the District and Caltrans in industry forums and external agency committee meetings.

The policy setting, influencing, and implementation issues support the allocation. The position is an independent, semi-autonomous policy-setting position with focused interest and commitment to District programs. The consequences of error are significant as they can cause impact to the public, loss of resources, funding support, federal reimbursement, legislative support, and the opportunity to solve critical transportation problems across the entire scope of the State.

#### 14. Will the CEA position be developing and implementing new policy, or interpreting and implementing existing policy? How?

The position will be developing and implementing new policy. As the District representative the CEA must carefully address issues with Orange County Transportation Authority, Transportation Corridor Agencies, California Highway Patrol and 34 local cities within Orange County to implement and develop policy which affect usage and appearance of the State highway system. Due to public scrutiny and the constant focus on safety and timely delivery of services, this new position is key to improving the relationships with the public, the local agencies and creating a more efficient response overall to the District's needs.