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

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<td>Transportation</td>
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3. Organizational Placement (Division/Branch/Office Name)

District 12/Division of Strategic Portfolio Management

4. CEA Position Title

Deputy District Director, Strategic Portfolio Management

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

Under the general direction of the District 12 Director, the incumbent is responsible for the strategy development, integration and implementation of the District's programming, asset and performance management, innovation, sustainability, risk management and overall strategic direction of the District. The incumbent is responsible for establishing and maintaining policies, business processes and procedures to support the successful development and delivery the District's asset and performance management and sustainability requirements.

6. Reports to: (Class Title/Level)

CEA Level B

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.

☑ Not a member of department's Executive Management Team but has frequent contact with the Executive Management Team on policy issues.

(Explain): The incumbent will be interfacing with program counterparts in Headquarters and other Districts to develop and implement policies in District 12 to achieve and support Caltrans goals.

8. Organizational Level (Select one)

☐ 1st  ☐ 2nd  ☐ 3rd  ☐ 4th  ☑ 5th (mega departments only - 17,001+ allocated positions)
### 9. What are the duties and responsibilities of the CEA position? Be specific and provide examples.

Senate Bill (SB) 1, as well as other legislation, is having a significant impact on Caltrans. As Caltrans diversifies its focus beyond highways, coupled with an emphasis on performance management, District 12 needs to take a global and strategic view of its project and program portfolio to include multi-modal transportation, sustainable communities and innovation, while still addressing the region's priority of congestion relief.

Therefore, District 12 is proposing a new Deputy District Director of Strategic Portfolio Management. Duties and responsibilities of the position are:

- Responsible for District 12’s portion of the State Highway Strategic Management Plan (SHSMP), working with Deputy District Directors of Maintenance & Operations, Capital Outlay Support and Planning.
- Provides strategic direction and short and long term objectives and goals for implementation of SB1, Asset and Performance Management with District Divisions and transportation stakeholders.
- Responsible for reporting progress towards achieving SB1 performance targets through the District's Asset Management Plan.
- Creates policies and procedures for the development, delivery and reporting of the District's 10-Year Plan, including proper integration and utilization of SB1 funding with existing programs, such as State Highway Operation and Protection Program (SHOPP) and State Transportation Improvement Program (STIP). Determines SB1 project priorities, including competitive programs, and works with other District Divisions to resolve project delivery and program challenges.
- Develops and monitors the programming and allocation of District's resources for its 10-year plan, and adjusts them as necessary to accomplish milestones and deliverables. The incumbent is responsible for project life cycle integration, from development of the Project Initial Proposal/Project Initiation Document workplan, to delivery and continuous maintenance and inventory of assets. The incumbent is responsible for asset management record and resource tracking system incorporating risk management practices.
- Responsible for Asset Management for the District’s existing assets, to include inventory, performance management and maintenance which will require extensive coordination with Structures Maintenance Investigations, Planning, Design, Operations, Project/Program Management, as well as local and regional transportation agencies and the California Transportation Commission (CTC). The incumbent is responsible for the strategic and systematic process of operating, maintaining, upgrading, and expanding transportation assets effectively throughout their life cycle. The incumbent will direct business and engineering practices for efficient resource allocation and utilization to advance performance objectives and maintain the health of the state highway system.
- Develop and manage communication of policy, directives, and action plans in implementation of sustainability and innovative initiatives to modernize the District in alignment with Caltrans goals and strategies.
- Establish a framework to integrate Sustainability (People, Planet, Prosperity) into decision-making, policies and projects in the District; engage partners, stakeholders, and develop public awareness and strategies to adopt sustainability and innovation, and increase its relevance in employees’ work activities; and establish transparent sustainable communication, education and training.
- Assess business processes, utilizing Lean Six Sigma and Kaizen, to identify and implement annual efficiencies in cooperation with District Divisions and Headquarters Programs. The incumbent will oversee and be responsible for all competitive grant applications, as well as identify innovative project financing and funding opportunities.
- Represents Caltrans at meetings with elected officials, California Transportation Commission, Federal, State, Regional and local agencies. Communicates with Headquarters staff and District Division Chiefs on policy issues. Responsible for directing resolution of highly technical or politically sensitive issues.
- Ensures that State and Federal laws, rules and Caltrans policies are considered and carried out. Makes presentations to external stakeholders and interest groups.
- Participates as a member of the District Executive Team by collaborating with other Deputy District Directors in developing District policies, procedural guidelines, work standards, staffing and workload projections, resource and budget allocations and redirection.
- Contributes to safety, health and equal employment opportunity objectives of Caltrans.
- Advise the District Director on confidential or sensitive issues.
- Act as District Director in District Director's absence.
### B. SUMMARY OF REQUEST (continued)

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: The incumbent is responsible for developing policies, establishing priorities and setting direction for the District's asset and performance management and sustainability and innovation programs and requirements. The incumbent will provide strategy development and guidance to the District Director and District executive team. The incumbent will provide expert advice on key events and changes to policies, regulations, budgets and legislation that impact SB1 and Asset Management and Sustainability programs.
11. Describe what has changed that makes this request necessary. Explain how the change justifies the current request. Be specific and provide examples.

SB1, as well as other legislation, is having a significant impact on Caltrans. As Caltrans diversifies its focus beyond highways, coupled with an emphasis on performance management, District 12 needs to take a global and strategic view of its project and program portfolio to include multi-modal transportation, sustainable communities and innovation, while still addressing the region's priority of congestion relief.

Specifically, in April 2017, the California State Legislature approved SB1. The implementation of SB1 and shift towards asset and performance management as well as identification and implementation of annual efficiency measures, held Caltrans to standards of performance in four major asset classes of pavement, bridges, culverts and traffic management system elements with dedicated funding statewide of over $52.4 billion over ten years.

However, even though the majority of Caltrans' funding is anchored to the four major assets, the evolution of other regulation, legislation and initiatives have also created additional demands on Caltrans, namely ones addressing climate action and emerging technologies. Caltrans has the additional challenge of considering Active Transportation objectives (such as building connected networks of pedestrian and cycling infrastructure with supportive operational features), pricing strategies of the existing and future systems, formulation of a VMT reduction plan in response to SB 743, creating adaptation plans to address vulnerability assessments on the State Highway System, and investments on the State Highway System that will facilitate the growth of new technologies such as connected, automated and electric vehicles. The incumbent will take all of the aforementioned priorities into account as the District identifies and initiates projects and programs within Orange County and for the region.

The incumbent will develop and manage communication of policy, directives, and strategic action plans in implementation of all initiatives in alignment with Caltrans' goals and priorities.
C. ROLE IN POLICY INFLUENCE

12. Provide 3-5 specific examples of policy areas over which the CEA position will be the principal 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.

**SB1/Asset Management/State Highway Strategic Management Plan**
- The incumbent will implement policies and guidance to District 12’s implementation of Caltrans’ performance-driven approach for asset management and the District’s 10-Year Plan. Working with Headquarters’ Asset Management and SB1 Program Manager, the incumbent will create policies and procedures for the development, delivery and reporting of the District’s 10-Year Plan, including proper integration and utilization of SB1 funding with existing programs, such as SHOPP and STIP.
- The incumbent determines SB1 project priorities, including competitive programs, and works with other District Divisions to resolve project delivery and program challenges.
- The incumbent provides strategic direction and short and long term objectives and goals for implementation of SB1, Asset and Performance Management with District Divisions and transportation stakeholders.
- The incumbent is responsible for reporting progress towards achieving SB1 performance targets through the District’s Asset Management Plan to continuously assess the health and condition of the state highway system and determine the most effective way to apply the state’s limited resources to meet federal requirements established in both the Moving Ahead for Progress in the 21st Century (MAP-21) and the Fixing America’s Surface Transportation (FAST) Acts.
- The incumbent develops and monitors the programming and allocation of District’s resources for its 10-Year Plan, and adjusts them as necessary to accomplish milestones and deliverables.
- The incumbent develops and monitors the programming and allocation of District’s resources for its 10-year plan, and adjusts them as necessary to accomplish milestones and deliverables. The incumbent is responsible for project life cycle integration, from development of the Project Initial Proposal/Project Initiation Document workplan, to delivery and continuous maintenance and inventory of assets.

**Sustainability and Innovation**
- Develop and manage communication of policy, directives, and action plans in implementation of sustainability and innovative/emerging technology initiatives to modernize the District in alignment with Caltrans goals and strategies.
- Establish a framework to integrate Sustainability (People, Planet Prosperity) decision-making, policies and projects in the District; engage partners, stakeholders, and develop public awareness and strategies to adopt sustainability and increase its relevance in employees’ work activities; and establish transparent sustainable communication, education and training.
C. ROLE IN POLICY INFLUENCE (continued)

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

The CEA will have broad authority, policy-making and implementation duties related to further projects on the state highway system which would impact the traveling public.

The incumbent develops policies provides strategic direction and short and long term objectives and goals for implementation of SB1, Asset and Performance Management with District Divisions and transportation stakeholders. The incumbent serves as District representative to communicate transportation policy issues to the public, media, elected officials, partner agencies and other stakeholders. The incumbent provides counsel and direction to the District when responding to inquiries about the District’s asset and performance management, sustainability and innovation/emerging technology initiatives.

The incumbent will establish a framework to integrate performance management, sustainability (social, economic, and environmental) and innovation in decision-making, policies and projects in the District; engage partners, stakeholders, and develop public awareness and strategies to adopt sustainability, innovation and performance management and increase its relevance in employees’ work activities; and establish transparent sustainable communication, education and training.

This 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 issues across the region.

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

The incumbent will be developing and implementing new policy as well as interpreting and implementing existing policy. Orange County has the most extensive managed lanes network, and the incumbent must carefully address issues with local partners such as the Orange County Transportation Authority and Transportation Corridor Agencies, as well as in collaboration with the 34 cities within the county, to implement policies to address congestion and system performance, new mandates in SB1 and SB 743 and how to address challenges introduced by climate change. These efforts will be carried out with existing programs such as SHOIPP and STIP as well as SB1.