

POSITION DUTY STATEMENT

DOT PM-0924 (REV 01/2025)

CLASSIFICATION TITLE Associate Governmental Program Analyst	OFFICE/BRANCH/SECTION Office of Civil Rights/Compliance	
WORKING TITLE Compliance Analyst	POSITION NUMBER 913-088-5393-124	REVISION DATE

As a valued member of the Caltrans team, you make it possible to improve lives and communities through transportation.

GENERAL STATEMENT:

Under the direction of the Compliance Branch Manager, Staff Services Manager I, the incumbent is responsible for monitoring and oversight of OCR programs in accordance with various state and federal statutes, regulations, policies and procedures including but not limited to: Code of Federal Regulations (CFR) 49 (Part 26), United States Department of Transportation (U.S. DOT), Federal Highway Administration (FHWA), Disadvantaged Business Enterprise (DBE) Program guidelines, Disabled Veteran Business Enterprise (DVBE) Program, Small Business Program and Department of General Services (DGS) guidelines, and OCR internal policies and procedures. Statewide travel is required on an as needed basis.

CORE COMPETENCIES:

As an Associate Governmental Program Analyst, 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.

- **Flexibility and Managing Uncertainty** : Adjusts thinking and behavior in order to adapt to changes in the job and work environment. (Employee Excellence - Collaboration)
- **Dealing with Ambiguity (Risk)**: Can comfortably handle risk and uncertainty, as well as make decisions to act without having the total picture. (Equity - Integrity, Stewardship)
- **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. (Employee Excellence - Integrity, Stewardship)
- **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. (Equity - Innovation, Integrity, Stewardship)
- **Fostering Diversity**: Capable of working with a diverse work group, including but not limited to differences in race, nationality, culture, age, gender, and differently able. Makes everyone feel valuable regardless of diversity in personality, culture, or background. Fosters a diverse culture to create best solutions. (Equity - Collaboration, Equity)
- **Customer Focus**: Considers, prioritizes, and takes action on the needs of both internal and external customers. (Employee Excellence - Collaboration, Integrity, Stewardship)
- **Communication**: Expresses oneself clearly in all forms of communication. Gives feedback and is receptive to feedback received. Knows that listening is essential. Keeps others in the Division and other functional units informed as appropriate. (Employee Excellence - Collaboration, Pride)
- **Analytical Skills**: Approaches problems using a logical, systematic, and sequential approach. Weighs priorities and recognizes underlying issues. (Employee Excellence - Innovation, Integrity, Stewardship)
- **Diagnostic Information Gathering**: Identify information needed to clarify a situation, seeking that information from appropriate sources. (Equity, Employee Excellence - Innovation, Integrity, Stewardship)

TYPICAL DUTIES:

Percentage
Essential (E)/Marginal (M)¹ Job Description

POSITION DUTY STATEMENT

DOT PM-0924 (REV 01/2025)

45%	E	Receive, log, and process allegations of waste, fraud and abuse in OCR Programs and Services. Conducts compliance reviews and investigations, and prepares written reports of findings relative to Caltrans' projects under various federal and state programs. Schedules and conducts compliance reviews of Caltrans operations relative to federal and state business programs. Incumbent receives, logs, investigates and issues finding reports on topics including, but not limited to: prompt payment, illegal substitution of DBE subcontractors, ineligibility complaints against certified firms, noncompliance with commercially useful function (CUF) requirements, non-compliant Disabled Veteran Business Enterprise (DVBE)/Small Business firms. Incumbent works with internal and external stakeholders on compliance and enforcement processes, such as, Division of Construction, Office Engineer (OE), Division of Procurement and Contracting (DPAC), Division of Local Assistance (DLA), Division of Design (DOD), Division of Transportation Planning (DOTP), and Department of General Services (DGS). Incumbent works independently unless support is requested or required due to the workload.
35%	E	Perform appropriate monitoring and enforcement functions to ensure that Caltrans operations accurately and appropriately utilize and count DBE and DVBE/SB firms when required. Gathers data to evaluate merit of complaints, determine findings and sanctions for proven violations, and to provide technical assistance to Caltrans compliance staff to process a complaint or suspected violation. Assist to create, implement and integrate technology based solutions for program oversight. Utilize technology and database solutions to create reports and determine compliance related to prompt payment and utilization using B2G Now, Power BI, and other systems. Determine merit for and investigate complaints against DBEs, DVBE, SB firms and provide recommendations to management for action.
15%	E	Provide technical assistance to Caltrans employees and respond to inquiries for general information regarding obligations of contractors and subcontractors as described in contract provisions or Federal and state regulations. Develop recommendations and document continuous improvement of compliance review methods, processes, and procedures. Tracks and reviews regulations passed by legislature that may impact operational aspects of Division. Reviews and incorporates internal and external audit findings, such as Inspector General Audits, FHWA risk assessment, FTA State Management Reviews, for process improvement. Act as a back up for other analysts; develop engagement tools and materials, and facilitate training modules to instruct Caltrans staff on proper program implementation.
5%	M	Using software tools, develop and maintain quality assurance data, perform data mining, data analysis, identify and track and monitor trends. Develop recommendations and document continuous improvement of compliance review methods, processes, and procedures.

¹ESSENTIAL 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

KNOWLEDGE, ABILITIES, AND ANALYTICAL REQUIREMENTS

Effectively interpret and apply specific laws, rules, regulations, standards, policies, and procedures; evaluate situations accurately and take effective action; reason logically and creatively; assume increasingly complex responsibility; consult and advise on a variety of subject matters; communicate effectively orally and in writing; exhibit good judgment and decision making when evaluating findings; and set priorities and meet deadlines. Effectively apply FHWA standards to meet critical time lines. Maintain cooperative working relationships with all levels of Caltrans staff, private industry, and representatives of other Federal and state agencies.

Analytical Requirements:

Accurately analyze and evaluate records and documentation from a variety of sources; assess and determine compliance; prepare, analyze, and evaluate statistical data for Federal and state reports and make recommendations to management. Perform the more responsible, varied, and complex professional-level analytical work. Utilize analytical techniques to resolve issues and recommend solutions with minimal direction.

Technical Skills:

Ability to use various computer programs and software to create data analytics, presentations and other tools to assist in tracking, monitoring and analyzing demographic datasets. Proficient in Excel, Access, MS Office, Visual, Graphics, etc.

RESPONSIBILITY FOR DECISIONS AND CONSEQUENCES OF ERROR

Poor judgment by the incumbent when evaluating and making recommendations of noncompliance could result in litigation, loss

POSITION DUTY STATEMENT

DOT PM-0924 (REV 01/2025)

of contract reimbursements, and adversely impact the ability of a contractor to continue to operate. There could be a major impact on transportation funding and loss of credibility for Caltrans if compliance obligations are not met in an accurate, comprehensive, and timely manner.

PUBLIC AND INTERNAL CONTACTS

The incumbent will have extensive communication with various internal and external entities, including FHWA, DGS, contractors and subcontractors, as well as various Caltrans managers, supervisors, and field staff either orally and/or in writing.

PHYSICAL, MENTAL, AND EMOTIONAL REQUIREMENTS

The incumbent may be required to sit for long periods of time using a personal computer or driving a vehicle to rural locations and construction sites. Sustained mental activity is required for reviewing and evaluating records such as, but not limited to, payroll and census data; develop recommendations, write policies, procedures and reports, problem solving, and analyze complex documents. The incumbent must have the ability to develop and maintain cooperative working relations; recognize emotionally charged issues or problems and respond appropriately in difficult situations; and deal successfully with pressure and intensity and remain optimistic and persistent, even under adversity. The incumbent must be dependable, have the ability to multi-task and adapt to changes in priorities, and complete tasks or projects with short notice.

WORK ENVIRONMENT

While in the office, the incumbent will work in a climate-controlled environment where the building temperature may fluctuate and under artificial lighting in an office that is secured to protect the release of any information that may reasonably be construed as confidential business information, including the identity of complainant(s), to any third party without the written consent of the firm that submitted the information. The incumbent will also be teleworking based on arrangement with their supervisor. When required the employee will be required to travel statewide by airplane and/or car to conduct on-site reviews, lead a compliance review of contractors on contracts, Caltrans programs, divisions and districts. The reviews may be in an office, construction job site, home based business, trailer, American Indian reservation, etc., and may be located in heavy populated cities or outdoors in remote locations, may be exposed to animals, dirt, noise, heavy equipment, traffic and uneven surfaces, and/or extreme heat or cold.

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.

EMPLOYEE (Print)

EMPLOYEE (Signature)	DATE
----------------------	------

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

SUPERVISOR (Print)

SUPERVISOR (Signature)	DATE
------------------------	------