

POSITION DUTY STATEMENT

DOT PM-0924 (REV 01/2025)

CLASSIFICATION TITLE Analyst II	OFFICE/BRANCH/SECTION Division of Risk and Strategic Management	
WORKING TITLE Compliance Analyst	POSITION NUMBER 702-085-5393-924	REVISION DATE 05/15/2026

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

GENERAL STATEMENT:

Under the general direction of the Enterprise Risk Management Supervisor I, the Compliance Analyst will complete a variety of analytical, mandated, complex, tracking and monitoring tasks in support of the Loss or Error compliance functions per the State Leadership Accountability Act codified in Government Code sections 13400-13407 and the State Administrative Manual (SAM) 20080. The incumbent will be responsible for tracking corrective actions and monitoring SAM 20080 incidents of loss or error. In addition, the analyst will develop, coordinate, evaluate, train, track and monitor the SAM 20080 mandated policies, procedures, requirements, and information developed and issued by authoring agencies which include the Department of Finance (DOF), the Governor's Office, and Legislative Analyst Office. Through collaboration with Caltrans executives, managers, and supervisors, the Compliance Analyst will assist the Caltrans Chief Risk Officer to submit the information that is required to be reported to DOF while ensuring the department is in alignment with Caltrans' strategic goals and objectives.

CORE COMPETENCIES:

As an Analyst II, 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.

- **Learning on the Fly:** Learns quickly, is open to change, experiments, and is flexible. (Safety, Equity, Climate Action, Prosperity, Employee Excellence - Innovation)
- **Dealing with Ambiguity (Risk):** Can comfortably handle risk and uncertainty, as well as make decisions to act without having the total picture. (Safety, Equity, Climate Action, Prosperity, Employee Excellence - Innovation)
- **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. (Safety, Equity, Climate Action, Prosperity, Employee Excellence - Integrity)
- **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. (Safety, Equity, Climate Action, Prosperity, Employee Excellence - Innovation)
- **Teamwork/Partnership:** Develops, maintains, and strengthens partnerships with others inside or outside of the organization through effective communication and collaboration. (Safety, Equity, Climate Action, Prosperity, Employee Excellence - Collaboration)
- **Customer Focus:** Considers, prioritizes, and takes action on the needs of both internal and external customers. (Safety, Equity, Climate Action, Prosperity, Employee Excellence - Collaboration)
- **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. (Safety, Equity, Climate Action, Prosperity, Employee Excellence - Innovation)
- **Conceptual Thinking:** Ability to find effective solutions to issues by taking the appropriate perspective (i.e., holistic, abstract, or theoretical). (Safety, Equity, Climate Action, Prosperity, Employee Excellence - Innovation)
- **Diagnostic Information Gathering:** Identify information needed to clarify a situation, seeking that information from appropriate sources. (Safety, Equity, Climate Action, Prosperity, Employee Excellence - Collaboration)

TYPICAL DUTIES:

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

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50%	E	Coordinates all tracking, monitoring of corrective actions and reporting required by the State Administrative Manual (SAM) 20080 and Government Code sections 13400-13407. Report to the Department of Finance, in the State Leadership Accountability Act (SLAA) database, all actual incidents of loss or error above Penal Code Section 487. Including but not limited to: developing or updating procedures, policies, training material, and presenting the training statewide; assisting with briefing executives and managers on the loss or error incidents that are required as well as incidents that are not required reporting but must be tracked and monitored. Works with Caltrans Office of Inspector General, the Legal Division, the Caltrans Internal Audit Office and the Caltrans Chief Risk Officer, etc. to track, monitor, analyze, and report all incidents of loss or error to the Executive Board, the Administration Governance Council, and other leadership committees, including the incidents that do not meet the Penal Code Section 487 monetary limit.
25%	E	Accesses and inputs into the DOF SLAA database to submit incidents and updates; and is the liaison to others within Caltrans regarding SAM 20080 reporting to DOF and other internal and external entities including providing training and updates on submitting data in the DOF SLAA portal. Inputs and generates analytical reports using computer software tools like MS Excel or Power BI to analyze and track SAM 20080 incidents and enterprise risk data.
20%	E	Works with the Enterprise Risk Management function to analyze and evaluate the cause of the loss or error impact to the department's internal controls, policies, and procedures. Assist in conducting risk assessments department-wide to identify top threats and opportunities, including those related to loss or error. Presents to executives and management on a need basis.
5%	M	Assists with other duties as required and mandated within the Enterprise Risk Management Branch.

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

Incumbent does not supervise staff.

KNOWLEDGE, ABILITIES, AND ANALYTICAL REQUIREMENTS

The position requires familiarity with the Department's statewide organizational structure. Must have knowledge of the Department's mission, goals, and objectives. The incumbent must have the ability to work with a high degree of independence, skill, and accuracy.

The incumbent must have the ability to reason logically and creatively. Must be able to establish and maintain priorities and a level of professional integrity to ensure that the best interests of the Caltrans Administration Program and the Department are served. The incumbent must also have the ability to work well in an interdisciplinary team and be able to function in a lead capacity when called upon.

The incumbent must have the ability to establish and maintain cooperative working relationships with departmental staff. In addition, the incumbent must be able to conduct research, and must possess effective written and verbal communication skills. Must be able to adopt an effective course of action; develop effective management reports and recommendations based upon sound logical conclusions; maintain confidentiality; and, develop and maintain team effort and cooperation among staff.

Incumbent must have knowledge of databases, MS Excel, MS Word, Microsoft Power BI and PowerPoint presentation software.

RESPONSIBILITY FOR DECISIONS AND CONSEQUENCES OF ERROR

The incumbent will have significant impact on the Department's ability to meet its objectives. Good judgment tact, and the ability to communicate effectively are expected of the incumbent. Data and resource management errors could result in improper management decisions at all levels, inaccurate reporting, incorrect workforce decisions, and inability to meet departmental strategic planning goals. Poor judgment in any of these areas would severely constrain the Department's ability to meet departmental strategic planning goals. Poor judgment in any of these areas would severely constrain the Administration Program's ability to meet program commitments. Errors may have a significant impact on the internal and external operations of the Department.

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 the offices 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.

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PUBLIC AND INTERNAL CONTACTS

The incumbent maintains communication with all levels of Department staff, from clerical to executive, for the purpose of providing guidance and direction. Incumbent works closely with Districts and Divisions. May be required to have contact with other state agencies, such as Fair Political Practices Commission, the Department of Finance, the Bureau of State Audits, etc. All contacts require tact and sensitivity.

PHYSICAL, MENTAL, AND EMOTIONAL REQUIREMENTS

Physical- The incumbent may be required to sit for long periods of time using a keyboard and video display terminal. Will be required to travel between various Sacramento offices, and may be required to visit Caltrans district offices statewide, to attend meetings or provide trainings.

Mental- The incumbent must be able to read and understand a variety of technical documents. Must have the ability to multi-task, prioritize and adapt to changes in priorities, and produce completed staff work on short notice. Must also be able to approach challenges with a positive, solution-seeking mindset.

Emotional- The incumbent must be customer-service oriented, as the Compliance Analyst will have interaction with people at all levels within the organization. It is very important that the incumbent possess the ability to work with others in a positive and cooperative manner. The incumbent may be subject to, and have the ability to handle irate employees in a calm manner. Must possess the ability to resolve emotionally charged issues reasonably and professionally. Must deal effectively with pressure while maintaining focus and remaining professional even under adversity.

WORK ENVIRONMENT

Incumbent may work in a climate-controlled office building under artificial lighting or may telework. Incumbent will generally work between the hours of 6:00 am, and 6:00 pm, however; meetings, such as public meetings, may occasionally require working hours other than those stated. This position may require occasional travel.

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