

DUTY STATEMENT**CALIFORNIA PUBLIC UTILITIES COMMISSION**

DIVISION Utility Audits, Risk and Compliance Division (UARCD)		EFFECTIVE DATE
BRANCH/SECTION Risk and Compliance Branch (RCB)		CLASS TITLE Analyst I
WORKING DAYS AND WORKING HOURS Monday through Friday 8:00 a.m. to 5:00 p.m. (flexible)		PHYSICAL WORK LOCATION San Francisco or Sacramento
INCUMBENT (if known)		CURRENT POSITION NUMBER (Agency - Unit - Class - Serial) 680-415-5393-001
YOU ARE A VALUED MEMBER OF THE DEPARTMENT'S TEAM. YOU ARE EXPECTED TO WORK COOPERATIVELY WITH TEAM MEMBERS AND OTHERS TO ENABLE THE DEPARTMENT TO PROVIDE THE HIGHEST LEVEL OF SERVICE POSSIBLE. YOUR CREATIVITY AND PRODUCTIVITY ARE ENCOURAGED. YOUR EFFORTS TO TREAT OTHERS FAIRLY, HONESTLY AND WITH RESPECT ARE IMPORTANT TO EVERYONE WHO WORKS WITH YOU.		
BRIEFLY (1 or 2 sentences) DESCRIBE THE POSITION'S ORGANIZATIONAL SETTING AND MAJOR FUNCTIONS: Under the direction of the Program and Project Supervisor, the incumbent will facilitate the enterprise risk assessment process, monitor CPUC compliance with training and other mandatory regulations, coordinate preparation and implementation of internal and external audit corrective action plans and manage the State Leadership Accountability Act Report process. The incumbent also serves as the backup to the Human Resources Liaison, timekeeper, and Budget Control Officer.		
% of time performing duties	Indicate the duties and responsibilities assigned to the position and the percentage of time spent on each. Group related tasks under the same percentage with the highest percentage first. <i>(Use additional sheet if necessary)</i>	
	<u>ESSENTIAL FUNCTIONS:</u>	
30%	Provide support to Risk and Compliance Branch (RCB) staff by assisting with the preparation of meeting agendas, reports, presentations, training materials, and other documents for management and Commissioners. Assist in gathering and reviewing risk management information to help identify trends or areas needing attention. Maintain tracking tools and data related to enterprise risks, audit findings, corrective action plans, and compliance activities. Participate in audit entrance and exit meetings as needed.	
30%	Assist in performing administrative functions, including serving as backup Timekeeper, Human Resources Liaison, and Budget Control Officer. Apply relevant policies and procedures while processing and tracking personnel, timekeeping, budget, and other administrative activities. Coordinate with Human Resources, Fiscal, and program staff to resolve routine issues. Support division recruitment activities by helping with logistics, communication, and applicant tracking.	
15%	Research and respond to RCB inquiries by reviewing statutes, regulations, policies, and other resources. Help monitor enterprise risk management and compliance practices and share relevant information with staff and management. Support branch participation in internal committees, meetings, and trainings. Assist in drafting and updating procedures that promote consistent risk and compliance practices across CPUC divisions.	
10%	Assist in researching legislation, regulations, policies, and initiatives to help determine impacts on organizational risk, operations, and compliance. Work with program staff and subject matter experts to gather information, identify emerging issues, and help develop reports, presentations, and recommendations. Support updates to branch policies, procedures, and workflows.	
10%	Assist the Program & Project Supervisor with the State Leadership Accountability Act (SLAA) report and Implementation Plan by collecting and organizing information, maintaining tracking tools, following up with program areas, and helping prepare draft reports and presentation materials.	
5%	<u>MARGINAL FUNCTIONS:</u> Complete mandatory training and required forms and perform other job-related duties consistent with the class specification for this classification.	

DUTY STATEMENT**CALIFORNIA PUBLIC UTILITIES COMMISSION****KNOWLEDGE AND ABILITIES** *[From Class Specs]*

Knowledge of: Principles, practices, and trends of public and business administration, management, and supportive staff services such as budgeting, personnel, and management analysis; government functions and organization; methods and techniques of effective conference leadership.

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; coordinate the work of others, act as a team or conference leader; and appear before legislative and other committees.

Other: Demonstrated ability to act independently, open-mindedness, flexibility, and tact.

WORK ENVIRONMENT, PHYSICAL OR MENTAL ABILITIES:

- Proficiency with communications-related technologies; including personal computer applications, telecommunications equipment, internet, voicemail, email, etc.
- Ability to travel to worksites away from headquarters which could require extended hours of work and/or overnight or multiple-day trips on a continuous basis
- Ability to drive state owned or rented vehicles.

SUPERVISOR'S STATEMENT: I HAVE DISCUSSED THE DUTIES OF THE POSITION WITH THE EMPLOYEE

SUPERVISOR'S NAME (Print)

SUPERVISOR'S SIGNATURE

DATE

EMPLOYEE'S STATEMENT: I HAVE DISCUSSED WITH MY SUPERVISOR THE DUTIES OF THE POSITION AND HAVE RECEIVED A COPY OF THE DUTY STATEMENT

The statements contained in this duty statement reflect general details as necessary to describe the principal functions of this job. It should not be considered an all-inclusive listing of work requirements. Individuals may perform other duties as assigned, including work in other functional areas to cover absence of relief, to equalize peak work periods or otherwise balance the workload.

EMPLOYEE'S NAME (Print)

EMPLOYEE'S SIGNATURE

DATE

DUTY STATEMENT**CALIFORNIA PUBLIC UTILITIES COMMISSION**

DIVISION Utility Audits, Risk and Compliance Division (UARCD)		EFFECTIVE DATE
BRANCH/SECTION Risk and Compliance Branch (RCB)		CLASS TITLE Analyst II
WORKING DAYS AND WORKING HOURS Monday through Friday 8:00 a.m. to 5:00 p.m. (flexible)		PHYSICAL WORK LOCATION San Francisco or Sacramento
INCUMBENT (if known)		CURRENT POSITION NUMBER (Agency - Unit - Class - Serial) 680-415-5393-001
YOU ARE A VALUED MEMBER OF THE DEPARTMENT'S TEAM. YOU ARE EXPECTED TO WORK COOPERATIVELY WITH TEAM MEMBERS AND OTHERS TO ENABLE THE DEPARTMENT TO PROVIDE THE HIGHEST LEVEL OF SERVICE POSSIBLE. YOUR CREATIVITY AND PRODUCTIVITY ARE ENCOURAGED. YOUR EFFORTS TO TREAT OTHERS FAIRLY, HONESTLY AND WITH RESPECT ARE IMPORTANT TO EVERYONE WHO WORKS WITH YOU.		
BRIEFLY (1 or 2 sentences) DESCRIBE THE POSITION'S ORGANIZATIONAL SETTING AND MAJOR FUNCTIONS: Under the direction of the Program and Project Supervisor, the incumbent will facilitate the enterprise risk assessment process, monitor CPUC compliance with training and other mandatory regulations, coordinate preparation and implementation of internal and external audit corrective action plans and manage the State Leadership Accountability Act Report process. The incumbent also serves as the backup to the Human Resources Liaison, timekeeper, and Budget Control Officer.		
% of time performing duties	Indicate the duties and responsibilities assigned to the position and the percentage of time spent on each. Group related tasks under the same percentage with the highest percentage first. <i>(Use additional sheet if necessary)</i>	
	<u>ESSENTIAL FUNCTIONS:</u>	
30%	Facilitate enterprise risk management activities by preparing meeting agendas, reports, presentations, training materials, and other materials for management and Commissioners. Research and analyze organizational risks, business processes, and risk management data to identify trends, emerging risks, and areas requiring management attention. Develop risk summaries, recommendations, and other analytical products and maintain risk management tracking tools and related data. Monitor audit findings, corrective action plans, and compliance information to identify potential enterprise risks and participate in audit entrance and exit conferences as needed.	
30%	Independently coordinate and perform assigned administrative functions, serving as backup Timekeeper, Human Resources Liaison, and Budget Control Officer. Interpret and apply applicable policies, procedures, and directives; process and track personnel, timekeeping, budget, and related administrative activities; resolve issues; and coordinate with Human Resources, Fiscal, and program staff. Coordinate division recruitment activities, including logistics, communication, applicant tracking, and compliance with state and CPUC requirements.	
15%	Research and respond to Risk and Compliance Branch inquiries by interpreting statutes, regulations, policies, and other resources. Monitor enterprise risk management and compliance practices and trends and communicate relevant information to staff and management. Represent the branch on internal committees and participate in related meetings and training. Draft and update enterprise-wide procedures that support consistent and effective risk and compliance practices across all CPUC divisions.	
10%	Research and analyze complex legislation, regulations, policies, and initiatives to assess impacts on organizational risk, operations, and compliance. Consult with program staff and subject matter experts, analyze information from multiple sources, identify trends and risks, and develop reports, presentations, and recommendations. Review and update branch policies, procedures, and workflows.	
10%	Assist the Program & Project Supervisor with the State Leadership Accountability Act (SLAA) report and Implementation Plan updates by compiling and analyzing information, maintaining tracking tools and documentation, following up with program areas, and preparing draft reports and presentation materials.	

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5%	<u>MARGINAL FUNCTIONS:</u> Complete mandatory training and required forms and perform other job-related duties consistent with the class specification for this classification. <u>KNOWLEDGE AND ABILITIES</u> <i>[From Class Specs]</i> Knowledge of: Principles, practices, and trends of public and business administration, management, and supportive staff services such as budgeting, personnel, and management analysis; government functions and organization; methods and techniques of effective conference leadership. 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; coordinate the work of others, act as a team or conference leader; and appear before legislative and other committees. Other: Demonstrated ability to act independently, open-mindedness, flexibility, and tact. <u>WORK ENVIRONMENT, PHYSICAL OR MENTAL ABILITIES:</u> • Proficiency with communications-related technologies; including personal computer applications, telecommunications equipment, internet, voicemail, email, etc. • Ability to travel to worksites away from headquarters which could require extended hours of work and/or overnight or multiple-day trips on a continuous basis • Ability to drive state owned or rented vehicles.	
SUPERVISOR'S STATEMENT: I HAVE DISCUSSED THE DUTIES OF THE POSITION WITH THE EMPLOYEE		
SUPERVISOR'S NAME (Print)	SUPERVISOR'S SIGNATURE	DATE
EMPLOYEE'S STATEMENT: I HAVE DISCUSSED WITH MY SUPERVISOR THE DUTIES OF THE POSITION AND HAVE RECEIVED A COPY OF THE DUTY STATEMENT		
The statements contained in this duty statement reflect general details as necessary to describe the principal functions of this job. It should not be considered an all-inclusive listing of work requirements. Individuals may perform other duties as assigned, including work in other functional areas to cover absence of relief, to equalize peak work periods or otherwise balance the workload.		
EMPLOYEE'S NAME (Print)	EMPLOYEE'S SIGNATURE	DATE