

POSITION DUTY STATEMENT

DOT PM-0924 (REV 08/2024)

CLASSIFICATION TITLE Associate Governmental Program Analyst	OFFICE/BRANCH/SECTION 42-LEGAL-BALO/SAN LUIS OBISPO (DISTRICT 5)	
WORKING TITLE Claims Officer	POSITION NUMBER 701-002-5393-XXX	REVISION DATE 11/18/2024

As a valued member of the Caltrans leadership team, you make it possible for the Department to provide a safe and reliable transportation network that serves all people and respects the environment.

GENERAL STATEMENT:

Under the direction of the Staff Services Manager I (Claims Manager) in the Bay Area Legal Office (BALO), the incumbent will work independently as the Claims Officer. The Claims Officer is responsible for the entire investigation and evaluation of potential and filed public liability claims arising in the District, and provide support to the attorneys in the BALO. The Claims Officer will monitor the work flow in the unit, and make assignments and provide guidance and assistance to other staff in the unit. The Claim Officer will independently processes District Small Claim Cases under \$12,500. The Claims Officer will independently provides recommendations to the Government Claims Program on behalf of the District. The Claims Officer will act as a District Liaison to gather documents in support of defending the State in Tort Litigation. The Claim Officer will also processes and/or reviews subpoenas and may work with the District's California Public Records Act (CPRA) Coordinator.

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.

- **Learning on the Fly:** Learns quickly, is open to change, experiments, and is flexible. (Cultivate Excellence - Engagement, Equity, Innovation, Integrity, Pride)
- **Decision Making:** Makes critical and timely decisions. Takes charge. Supports appropriate risk. Makes challenging and appropriate decisions. (Cultivate Excellence - Engagement, Equity, Innovation, Integrity, Pride)
- **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. (Cultivate Excellence - Engagement, Equity, Innovation, Integrity, Pride)
- **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. (Cultivate Excellence - Engagement, Equity, Innovation, Integrity, Pride)
- **Teamwork/Partnership:** Develops, maintains, and strengthens partnerships with others inside or outside of the organization through effective communication and collaboration. (Cultivate Excellence - Engagement, Equity, Innovation, Integrity, Pride)
- **Customer Focus:** Considers, prioritizes, and takes action on the needs of both internal and external customers. (Cultivate Excellence - Engagement, Equity, Innovation, Integrity, Pride)
- **Interpersonal Effectiveness :** Effectively and appropriately interacts and communicates with others to build positive, constructive, professional relationships. Tailors communication style based on the audience. Provides and is receptive to feedback. (Cultivate Excellence - Engagement, Equity, Innovation, Integrity, Pride)
- **Analytical Skills:** Approaches problems using a logical, systematic, and sequential approach. Weighs priorities and recognizes underlying issues. (Cultivate Excellence - Engagement, Equity, Innovation, Integrity, Pride)
- **Technical Expertise:** Depth of knowledge and skill in a technical area. (Cultivate Excellence - Engagement, Equity, Innovation, Integrity, Pride)

TYPICAL DUTIES:

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

ADA Notice

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40%	E	<p>District Small Claims: Process claims filed within the District under \$12,500 according to applicable State laws, departmental policies, and division manuals. Review claims for completeness, timeliness, and accurate jurisdiction. Identify information needed and seek information from appropriate sources. Use effective communication to obtain factual evidence from internal and external customers to make a determination. Conduct field/site reviews as necessary on behalf of the State. Analyze data relevant to each claim. Make determinations based on merits of the claim and results of the investigation. Contact claimants via phone, email, written correspondence, and in-person. Exemplify good customer service. Develop and maintain positive internal and partner agency relationships. Fill out related forms accurately and timely. Ensure prompt and reasonable payment of accepted claims. Ensure timely notification to claimant of denied and insufficient claim status. Enter claim data into multiple electronic databases. Interpret laws, rules, and regulations related to public liability. Correctly label and file hard-copy and electronic claim files. Attend and present claims in Small Claims Court before a Judge or Hearing Officer as necessary. Travel throughout the counties within District 5.</p>
30%	E	<p>Tort Litigation: Assists the Bay Area Legal Office in defending the State in tort litigation, the incumbent coordinates the compilation of documents, and evaluates all requests for Demands for Inspection/ Production of Documents; reviews case files; visits accident scenes; uses photo log on intranet; verifies physical location of signs posted on District sign log; and researches various District files. Prepares responses to interrogatories and requests for production of documents. Answer Form Interrogatories; reviews legal case files and perform additional research necessary to submit suggested answers in written report form to the assigned attorney. Confers with all levels of management and other District personnel to ensure completeness of documents, analyzes and verifies data provided by District staff, such as, as-built plans, special provisions, standard specifications, policies and procedures. Arranges for copying of documents and billings. Prepares informal and written reports as needed. Provides guidance and training to other staff in the unit as well as District staff on how to respond to assure completeness, accuracy and timeliness. Tracks all requests for remedial action after a lawsuit has been closed to ensure the response to Legal is submitted timely.</p> <p>Works with attorneys with trial preparation, quick response situations, scheduling of employees for depositions and trial appearance. Represents the State at Small Claims hearings; reviews claims and prepares defense, attends hearings and presents the defensive arguments to the hearing officer or judge. Arranges for appropriate District person e.g., Resident Engineer, Maintenance Supervisor, to appear as witness if necessary. Meets with appropriate District Personnel to answer questions or review their files/ records.</p>
10%	E	<p>Government Claims Program: Analyze, investigate, and make recommendations on various Government Claims between \$10-25,000.00 on behalf the District.</p> <p>District Support: Properly identify and process subpoenas and summons related to active tort and small claims cases. Work with and advise the District's Custodian of Records on receiving, tracking, and processing non-case related subpoenas. Properly identify CPRA request. Train and advise all District staff as necessary. Develop various statistical reports to show trends. Make suggestions based on reports to management.</p>
10%	E	<p>Training: Attend and participate in job related trainings. Attend and participate in the annual/bi-annual Statewide Claims Officer Training. Attend and participate in Unit Training as scheduled for policy and procedural updates. Attend and participate in the District and 42 training for database application, policy, and procedural updates. Attend other trainings as necessary for satisfactory job performance. Travel required for some trainings.</p> <p>Provides guidance and training to other staff in the unit as well as District staff on how to respond to assure completeness, accuracy and timeliness. Tracks all requests for remedial action after a lawsuit has been closed to ensure the response to Legal is submitted timely.</p>

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5%	M	Responsible for receiving, tracking, and logging all subpoena requests in database. Respond to requests for information from the public and general public information requests. Review requests for public records prior to release of information to ascertain if the record is related to possible or pending legal action against the State. Coordinate the review of these requests from the public, and tracks the time frames for responses to ensure that the Department is in compliance.
5%	M	Other Duties: Answers incoming calls from the public and collects information on potential claims. May act for the Lead Claims Officer in their absence. At times, may perform extensive copying; helps maintain filing system; reserves conference rooms and coordinates meetings for BALO; and travels to pick up and/or deliver documents to meet tight deadlines. May be requested to back-up and/or assist other units within the branch. Helps with special events in the District.

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

Does not perform supervisory duties.

KNOWLEDGE, ABILITIES, AND ANALYTICAL REQUIREMENTS

Knowledge of: Principles and modern methods of public and business administration, investigative techniques and procedures, rules of evidence and court procedures, service of legal papers, and practical computer application.

Ability to: Analyze data with intent to form conclusion, interpret and apply specific case provisions of the law or regulations enforced, communicate effectively, establish and maintain cooperative working relationships, speak and write effectively, oversee responses in a timely fashion, take necessary action, produce statistical reports, work under pressure with numerous deadlines, prioritize work, organize large volumes of varied documents, multi-task, adapt to changes in priorities, meet deadlines and assume increasing administrative responsibility.

Analytical: Perform extensive analytical work. Analyze each claim individually with the relevant data emphasized to enable the State attorney to present the State's case in the most favorable manner possible. Decipher discovery documents, interrogatories, production request, subpoenas, California Public Records Act Request, other legal documents, and external inquiries in order to direct responses to the appropriate unit/individual.

RESPONSIBILITY FOR DECISIONS AND CONSEQUENCES OF ERROR

Incumbent makes decisions in establishing priorities, gathering information, overseeing responses, meeting appropriate deadlines, accepting/denying validity of Small Claims against the State.

Failure to furnish attorneys with adequate, timely, accurate, and complete information and/or responses can result in the loss of a tort case, drastic sanctions against the Department of Transportation, increased cost, increased liability, and embarrassment to the District and Department. Failure to make sound decisions related to District small claims cases can result in the loss of small claim cases, increased cost, increased liability, and embarrassment to the District and Department.

PUBLIC AND INTERNAL CONTACTS

The incumbent must work closely with varying units district and statewide, which include but is not limited to the Bay Area Legal Office, Headquarters, Maintenance, Construction, Traffic Operations, Design, Right of Way, Administration, and Public Affairs.

The incumbent must also work with varying external partnering transportation agencies and assist the public while protecting the confidentiality of legal files.

PHYSICAL, MENTAL, AND EMOTIONAL REQUIREMENTS

Physical: Incumbent will be required to lift, bend, kneel, reach, push, climb, sit and stand for long periods of time. Incumbent is required to sit for long periods of time using a personal computer. Incumbent is required, on occasion, to lift, pull, push and/or hold large/cumbersome plans, documents, and diagrams from one location to another. Incumbent, on occasion, is required to lift/carry up to 40 pounds. Incumbent may be required to use a two-step ladder to access files, documents, plans, diagrams. Travel throughout District 5 Counties. Incumbent is required to report to the District 5 Legal Claims Office three (3) days per week.

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Mental: Incumbent must have sustained mental capability to follow all departmental policies and procedures and State laws and regulations.

Emotional: Incumbent must have the ability to develop and maintain cooperative working relations, respond appropriately to difficult situations and individuals, recognize emotionally charged issues or problems and respond appropriately, remain optimistic and persistent even under adversity, be open to change and new information.

WORK ENVIRONMENT

Base of operations will be within a climate-controlled office under artificial lighting and fluctuating temperatures. Incumbent will work within a cubicle. Incumbent will be required, on occasion, to travel and work outdoors. Incumbent may be exposed to traffic, dirt, noise, uneven terrain, extreme heat, and/or cold weather. Possession of a valid Driver's license and the ability to obtain a Defensive Drivers certification within 90 days of employment is required.

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

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