



U.S. Department of Transportation
Federal Highway Administration



Fiscal Year 2023 FHWA & Caltrans Civil Rights Program Joint Risk Assessment

1. FY23 FHWA & Caltrans Civil Rights Program Joint Risk Assessment: Threats & Opportunities

PURPOSE (Time to complete: 15 minutes)

Thank you for responding to our FY23 FHWA/Caltrans Civil Rights Program Risk Assessment. We appreciate that Caltrans employees were already asked to address risk within the DBE program; therefore, when responding to this assessment, consider the entire Civil Rights program plus the DBE program, Title VI, Americans with Disabilities, and Contractor Compliance, On-the-Job Training/Training Special Provisions, EEO, & OJT & DBE Supportive Services, LEP, EJ, LPAs. Provide us with your top “opportunities” and “threats” that might lead to improving collaboration among our agencies, partners, and stakeholders. The goal here is to improve the efficiency and effectiveness of our entire Civil Rights program and project outcomes within the context of the Federal-aid highway program.

DEFINING RISK

Risk is the effect of uncertainty on our agencies’ objectives. It manifests as an “opportunity” (potential gain) or “threat” (potential loss). This assessment provides three instances to identify an opportunity and/or threats for up to six responses. Then identify the program/area of concern (interest) to give us context. We then ask you to identify a potential mitigation strategy. Lastly, we ask you to associate an opportunity or threat with a set of impact, likelihood, & scope criteria to help gauge the significance of the event if it occurred.

Likelihood Criteria

Unlikely: The event could possibly occur but is unlikely.

Possible: The event could occur under specific conditions and some of those conditions present.

Likely: The event is likely to occur in most circumstances.

Almost Certain: The event occur sin most circumstances or is happening now.

Impact Criteria

Catastrophic: Large unacceptable financial loss, severe budget variance. Very significant harm to image with substantial impact on effectiveness. Large and unacceptable operational impact, long term business interruption. Qualified audit finding.

Major: Very significant financial loss, major budget variance. Major embarrassment leading to significant impact on effectiveness. Unacceptable operational impact, short term business interruption. Leads to material weakness.

Moderate: Significant financial loss and variance to budget. Moderate embarrassment impacting short term effectiveness. Moderate operational impact, business not interrupted. Leads to Audit findings. Minor: Minor financial loss, small budget variance. Minor embarrassment, but no harm to image or reputation. Minor operational impact, business not interrupted. Leads to audit findings.

Insignificant: Minimal or no measurable operational impact. Can be managed with routine activities. Leads to immaterial audit findings.

SCOPE CRITEREA

Statewide

Program

Project

FILLING OUT THE SURVEY

Your answer should related to the Federal aid Civil Rights Program so please consider the following:

- **What do you see during a normal workday that presents and opportunity or threat to both our agencies?**
- **What ideas or opportunities for improvement can you offer to improve what you or others do as it relates to the Civil Rights program?**

NOTES/CONTACT INFORMATION

Do not highlight personnel or human resource issues unless it directly relates to the delivery of Civil Rights on Federal aid programs or projects. We value your feedback. Honest feedback helps us to strengthen our Federal aid program and project delivery outcomes.

Thank you for your value-added input! For questions call:

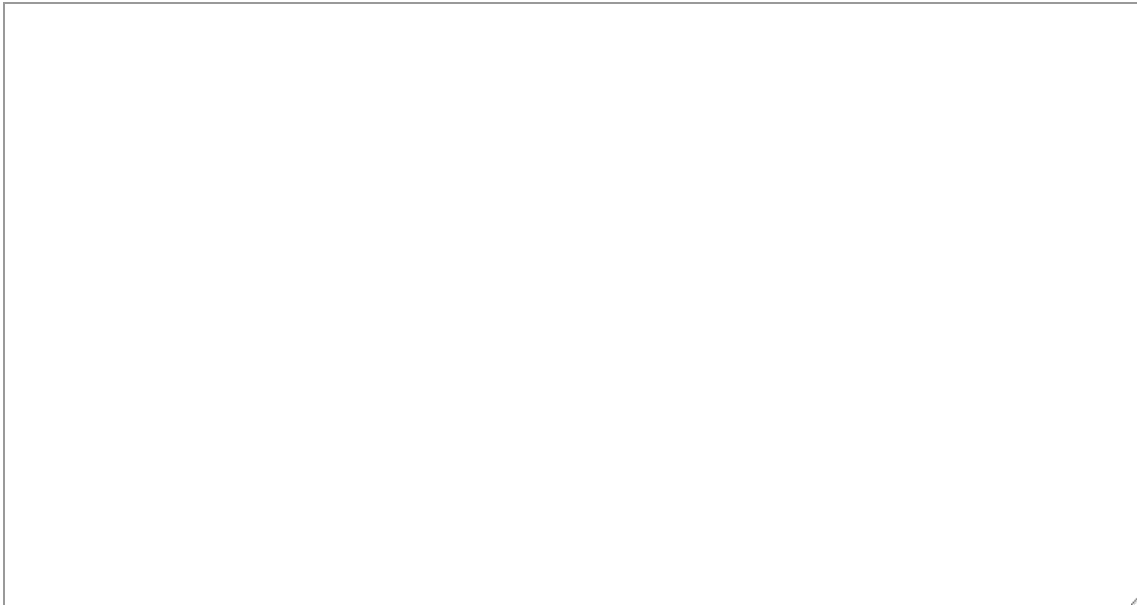
Michael Caliendo, FHWA, 208-340-4776

Scott Carson, FHWA, 916-796-7207

David De Luz, Caltrans, 916-205-1075

Sanjay Singh, Caltrans, 916-317-1999

Threat #1: What is your #1 threat facing you in your daily program or project level work?



Threat #1: What Civil Rights area(s) or program(s) is your #1 threat related to?

- | | | |
|--|--|---|
| <input type="checkbox"/> Title VI | <input type="checkbox"/> Equal Employment Opportunity | <input type="checkbox"/> Limited English Proficiency |
| <input type="checkbox"/> Disadvantaged Business Enterprise | <input type="checkbox"/> On-the-Job-Training/Training Special Provisions | <input type="checkbox"/> Low Income |
| <input type="checkbox"/> Contractor Compliance | <input type="checkbox"/> DBE/SS | <input type="checkbox"/> Local Public Agency (LPA) Projects |
| <input type="checkbox"/> Americans with Disabilities | <input type="checkbox"/> OJT/SS | |
| <input type="checkbox"/> Other (please specify) | | |

Threat #1: What mitigation measure should we consider for your identified #1 threat?

- Update manual or specification
- Streamline a process
- Provide training
- Provide mentoring
- Perform a program or process review to identify improvements
- Create a research project to study the issues
- Other (please specify)

Threat #1: Choose the Impact Criteria from the scale below for your #1 threat:

	Catastrophic	Major	Moderate	Minor	Insignificant
Impact Assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Threat #1: Choose the Likelihood Criteria from the scale below for your #1 threat:

	Almost Certain	Likely	Possible	Unlikely
Likelihood Assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Threat #1: Choose the Scope Criteria from the scale below for your #1 threat:

	Statewide	Program	District	Project
Scope Assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Opportunity #1: Tell us about an idea you've had or that you've seen implemented or that you would like to see implemented so that others can take advantage of it to make improvements.

Opportunity #1: What Civil Rights area(s) or program(s) is your #1 opportunity related to?

- | | | |
|--|--|---|
| <input type="checkbox"/> Title VI | <input type="checkbox"/> Equal Employment Opportunity | <input type="checkbox"/> Limited English Proficiency |
| <input type="checkbox"/> Disadvantaged Business Enterprise | <input type="checkbox"/> On-the-Job-Training/Training Special Provisions | <input type="checkbox"/> Low Income |
| <input type="checkbox"/> Contractor Compliance | <input type="checkbox"/> DBE/SS | <input type="checkbox"/> Local Public Agency (LPA) Projects |
| <input type="checkbox"/> Americans with Disabilities | <input type="checkbox"/> OJT/SS | |
| <input type="checkbox"/> Other (please specify) | | |

Opportunity #1: How can we exploit this #1 opportunity?

- Update manual or specification
- Streamline a process
- Provide training
- Provide mentoring
- Perform a program or process review to identify improvements
- Create a research project to study the issues
- Other (please specify)

Opportunity #1: Choose the Impact Criteria from the scale below for your #1 opportunity:

	Extremely Beneficial	Major Benefit	Moderately Beneficial	Mildly Beneficial
Impact Criteria	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Opportunity #1: Choose the Likelihood Criteria from the scale below for your #1 opportunity:

	Almost Certain	Likely	Possible	Somewhat Possible
Likelihood Criteria	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Opportunity #1: Choose the Scope Criteria from the scale below for your #1 opportunity:

	Statewide	Program	District	Project
Scope Assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Threat #2: What is your #2 threat facing you in your daily program or project level work?

Threat #2: What Civil Rights area(s) or program(s) is your #2 threat related to?'

- | | | |
|--|--|---|
| <input type="checkbox"/> Title VI | <input type="checkbox"/> Equal Employment Opportunity | <input type="checkbox"/> Limited English Proficiency |
| <input type="checkbox"/> Disadvantaged Business Enterprise | <input type="checkbox"/> On-the-Job-Training/Training Special Provisions | <input type="checkbox"/> Low Income |
| <input type="checkbox"/> Contractor Compliance | <input type="checkbox"/> DBE/SS | <input type="checkbox"/> Local Public Agency (LPA) Projects |
| <input type="checkbox"/> Americans with Disabilities | <input type="checkbox"/> OJT/SS | |
| <input type="checkbox"/> Other (please specify) | | |

Threat #2: What mitigation measure should we consider for your identified #2 threat?

- Update manual or specification
- Streamline a process
- Provide training
- Provide mentoring
- Perform a program or process review to identify improvements
- Create a research project to study the issues
- Other (please specify)

Threat #2: Choose the Likelihood Criteria from the scale below for your #2 threat:

	Almost Certain	Likely	Possible	Unlikely
Likelihood Assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Threat #2: Choose the Impact Criteria from the scale below for your #2 threat:

	Catastrophic	Major	Moderate	Minor	Insignificant
Impact Assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Threat #2: Choose the Scope Criteria from the scale below for your #2 threat:

	Statewide	Program	District	Project
Scope Assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Opportunity #2: Tell us about an idea you've had or that you've seen implemented or that you would like to see implemented so that others can take advantage of it to make improvements.

Opportunity #2: What area(s) or program(s) is your #2 opportunity related to?

- | | | |
|---|--|--|
| <input type="checkbox"/> Title VI | <input type="checkbox"/> Equal Employment Opportunity | <input type="checkbox"/> Limited English Proficiency |
| <input type="checkbox"/> Disadvantage Business Enterprise | <input type="checkbox"/> On-the-Job Training/Training Special Provisions | <input type="checkbox"/> Low Income |
| <input type="checkbox"/> Contractor Compliance | <input type="checkbox"/> DBE/SS | <input type="checkbox"/> Local Public Agencies (LPA) |
| <input type="checkbox"/> Americans with Disabilities | <input type="checkbox"/> OJT/SS | |
| <input type="checkbox"/> Other (please specify) | | |

Opportunity #2: How can we exploit this #2 opportunity?

- Update manual or specification
- Streamline a process
- Provide training
- Provide mentoring
- Perform a program or process review to identify improvements
- Create a research project to study the issues
- Other (please specify)

Opportunity #2: Choose the Impact Criteria from the scale below for your #2 opportunity:

	Extremely Beneficial	Major Benefit	Moderately Beneficial	Mildly Beneficial
Impact Assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Opportunity #2: Choose the Likelihood Criteria from the scale below for your #2 opportunity:

	Almost Certain	Likely	Possible	Somewhat Possible
Likelihood Criteria	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Opportunity #2: Choose the Scope Criteria from the scale below for your #2 opportunity:

	Statewide	Program	District	Project
Scope Assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Threat #3: What is your #3 threat facing you in your daily program or project level work?

Threat #3: What Civil Rights area(s) or program(s) is your #3 threat related to?'

- | | | |
|--|--|---|
| <input type="checkbox"/> Title VI | <input type="checkbox"/> Equal Employment Opportunity | <input type="checkbox"/> Limited English Proficiency |
| <input type="checkbox"/> Disadvantaged Business Enterprise | <input type="checkbox"/> On-the-Job-Training/Training Special Provisions | <input type="checkbox"/> Low Income |
| <input type="checkbox"/> Contractor Compliance | <input type="checkbox"/> DBE/SS | <input type="checkbox"/> Local Public Agency (LPA) Projects |
| <input type="checkbox"/> Americans with Disabilities | <input type="checkbox"/> OJT/SS | |
| <input type="checkbox"/> Other (please specify) | | |

Threat #3: What mitigation measure should we consider for your identified #3 threat?

- Update manual or specification
- Streamline a process
- Provide training
- Provide mentoring
- Perform a program or process review to identify improvements
- Create a research project to study the issues
- Other (please specify)

Threat #3: Choose the Impact Criteria from the scale below for your #3 threat:

	Catastrophic	Major	Moderate	Minor	Insignificant
Impact Assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Threat #3: Choose the Likelihood Criteria from the scale below for your #3 threat:

	Almost Certain	Likely	Possible	Unlikely
Likelihood Assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Threat #3: Choose the Scope Criteria from the scale below for your #3 threat:

	Statewide	Program	District	Project
Scope Assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Opportunity #3: Tell us about an idea you've had or that you've seen implemented or that you would like to see implemented so that others can take advantage of it to make improvements.

Opportunity #3: What Civil Rights area(s) or program(s) is your #3 opportunity related to?

- | | | |
|--|--|---|
| <input type="checkbox"/> Title VI | <input type="checkbox"/> Equal Employment Opportunity | <input type="checkbox"/> Limited English Proficiency |
| <input type="checkbox"/> Disadvantaged Business Enterprise | <input type="checkbox"/> On-the-Job-Training/Training Special Provisions | <input type="checkbox"/> Low Income |
| <input type="checkbox"/> Contractor Compliance | <input type="checkbox"/> DBE/SS | <input type="checkbox"/> Local Public Agency (LPA) Projects |
| <input type="checkbox"/> Americans with Disabilities | <input type="checkbox"/> OJT/SS | |
| <input type="checkbox"/> Other (please specify) | | |

Opportunity #3: How can we exploit this #3 opportunity?

- Update manual or specification
- Streamline a process
- Provide training
- Provide mentoring
- Perform a program or process review to identify improvements
- Create a research project to study the issues
- Other (please specify)

Opportunity #3: Choose the Impact Criteria from the scale below for your #3 opportunity:

	Extremely Beneficial	Major Benefit	Moderately Beneficial	Mildly Beneficial
Impact Criteria	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Opportunity #3: Choose the Likelihood Criteria from the scale below for your #3 opportunity:

	Almost Certain	Likely	Possible	Somewhat Possible
Likelihood Criteria	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Opportunity #3: Choose the Scope Criteria from the scale below for your #3 opportunity:

	Statewide	Program	District	Project
Scope Assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Please provide any additional feedback about making your work more efficient and effective.

* Where do you work?

- FHWA
- Caltrans Headquarters
- Caltrans District
- Metropolitan Planning Organization
- Local Public Agency
- Other (please specify)

Please provide your contact information (not required and if provided, will not be shared beyond the Assessment Team):

Name	<input type="text"/>
Agency	<input type="text"/>
Address	<input type="text"/>
Address 2	<input type="text"/>
City/Town	<input type="text"/>
State/Province	<input type="text" value="-- select state --"/>
ZIP/Postal Code	<input type="text"/>
Country	<input type="text"/>
Email Address	<input type="text"/>
Phone Number	<input type="text"/>