

**POSITION DUTY STATEMENT**

PM-0924 (REV 01/2022)

CLASSIFICATION TITLE Associate Governmental Program Analyst	OFFICE/BRANCH/SECTION CalTrans/OCR/Certification Branch	
WORKING TITLE Certification Analyst	POSITION NUMBER 913-088-5393-087	REVISION DATE 12/20/2023

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 general direction of the Certification Branch Manager, a Staff Services Manager I (SSMI), the incumbent is responsible for performing complex eligibility determinations and preparing a variety of correspondence for the Disadvantaged Business Enterprise/Airport Concession Disadvantaged Business Enterprise/State Minority Business/State Women Business Enterprise (DBE/ACDBE/SMBE/SWBE) Programs. The Certification Branch has sole responsibility to process applications from customers statewide and other states. The incumbent is responsible for ensuring DBE certification applications are complete, as per the stipulations of the Code of Federal Regulations (CFR), Title 49 – 49 CFR Part 26, and other regulations and laws pertaining to the responsibilities of the OCR. Apply critical thinking skills, organize and problem solve inconsistencies, make fact-based recommendations, and incorporate analysis into the final determination. Statewide travel, at Caltrans discretion, may be required in support of the core functions of the Certification Branch.

**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. (Cultivate Excellence - Innovation)
- **Decision Making**: Makes critical and timely decisions. Takes charge. Supports appropriate risk. Makes challenging and appropriate decisions. (Cultivate Excellence, Enhance and Connect the Multimodal Transportation Network - Integrity)
- **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, Enhance and Connect the Multimodal Transportation Network - Equity, 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. (Cultivate Excellence, Enhance and Connect the Multimodal Transportation Network - Integrity)
- **Interpersonal Savvy/Partnering**: Builds constructive and effective relationships, using diplomacy and tact. Is able to relate to a diverse set of individuals. (Cultivate Excellence - Engagement)
- **Organizational Awareness**: Contributes to the organization by understanding and aligning actions with the organization's strategic plan, including the mission, vision, goals, core functions, and values. (Cultivate Excellence, Enhance and Connect the Multimodal Transportation Network - Integrity)
- **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. (Cultivate Excellence, Strengthen Stewardship and Drive Efficiency - Integrity)
- **Analytical Skills**: Approaches problems using a logical, systematic, and sequential approach. Weighs priorities and recognizes underlying issues. (Cultivate Excellence - Innovation)
- **Organizational Skills**: Keeps work prioritized and organized. Logically approaches situations. (Cultivate Excellence - Integrity, Pride)

**TYPICAL DUTIES:**

Percentage	Job Description
Essential (E)/Marginal (M) <sup>1</sup>	

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40%	E	The incumbent will independently determine DBE eligibility of complex certification applications by assessing documents including, but not limited to, Internal Revenue Service business and personal tax filings, corporation documents including bylaws, partnership agreements, contractors licensing requirements/regulations, professional engineering licenses and regulations. Must apply comprehensive knowledge and understanding of CFR (Titles 13 and 49), U.S. Department of Transportation (U.S.DOT), Federal Highway Administration (FHWA) and Federal Aviation Administration (FAA) guidelines and procedures to ascertain the eligibility of applicants for the Federal DBE Program. Apply appropriate sections of the DBE regulation to compose denial letters for ineligible applicants. Work in close conjunction with the OCR file analyst for the completion of a detailed site visit questionnaire to ensure relevant/accurate information is obtained from the interviews conducted with applicants at their business locations.
30%	E	The incumbent will complete ongoing eligibility determinations on existing certified firms by re-evaluating business size standards, individual personal net worth, and licensing requirements and make appropriate changes to customer profile. Accept and process requests to add/remove services to businesses to help facilitate bidding on federal aid contracts with Caltrans and other local agencies. Provide customer services via telephone and for walk-in applicants. Field questions from the general public regarding the program. Respond to requests from the U.S. DOT on denial and decertification appeals. Work with stakeholders to respond to third party challenges of a firms' certification. Handle and respond as needed to highly sensitive political issues, such as referrals from the Director, Governor, legislative inquires, and other correspondence.
20%	E	The incumbent will perform DBE Certification on-site eligibility visits throughout the state in-person or virtual. Interview the principal officers of the firm and review their resumes and/or work histories. Ask and record responses to a series of investigative questions (in excess of 50 questions) to determine ownership and control by applicant. Investigate firm details, gather information, documents findings, take photographs, draw sound conclusions and incorporate these elements into the final written report, which is due with three working days of returning from an on-site visit assignment.
10%	M	The incumbent will provide support for other OCR branches as subject matter expert (SME) for certification requirements and guiding regulations. Provide support and input to a project team pertaining to the update/replacement of certification database, and/or on-going clean-up of work codes utilized for certification. Research prevailing regulatory requirements and business practices in areas such as construction, professional services, transportation, manufacturing, wholesaling, and procurement, with a view to existing policies, procedures and processes.

<sup>1</sup>ESSENTIAL 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**

The Associate Governmental Program Analyst – Certification Analyst receives general direction for the SSMI but is responsible for independent action on matters of varying degrees of difficulty.

**KNOWLEDGE, ABILITIES, AND ANALYTICAL REQUIREMENTS**

Knowledge of applicable state and federal laws, rules, and regulations concerning the SB, DVBE, and DBE programs, including but not limited to the California Code of Regulations and Title 49, Part 26 and Part 23 of the Code of Federal Regulations (CFR).

The incumbent will perform more responsible, varied, and complex professional-level analytical administrative work. Reason logically and creatively. Consult and advise on a variety of subject matters. Assume increasingly complex responsibilities. The incumbent will be required to gain a thorough understanding and knowledge of business practices and structures, State Contractors licensing requirements, the Professional Engineers Act, Land Surveyors Act, Federal tax codes, state regulatory agency requirements, and corporate documents and instruments. The incumbent should be able to gather facts and evidence and have strong writing skills. The incumbent will maintain cooperative working relationships with all levels of Caltrans staff, various private sector groups, representatives of other Federal and State agencies, and the public.

Knowledge and understanding of departmental goals and policies. Ability to operate a personal computer and utilize the Microsoft Office suite (Word, Excel, Access, PowerPoint, and Publisher) and various other program databases, and data management tools. Ability to work tactfully and effectively with a wide variety of individuals and groups and demonstrate excellent customer service skills. Ability to meet scheduling deadlines and establish and maintain appropriate priorities. Organization skills to assure timely and accurate responses. Flexibility and ability to negotiate effectively. Ability to express ideas and present information clearly and logically, both orally and in writing. Ability to exercise excellent professional judgment in sensitive matters is required. Keen analytical abilities in order to plan, organize, resolve problems, meet schedules and deadlines, and make recommendations.

**ADA Notice**

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### RESPONSIBILITY FOR DECISIONS AND CONSEQUENCES OF ERROR

Disadvantaged Business Enterprise certifications are highly sensitive. Poor judgment by the incumbent when evaluating application information could result in litigations, loss of contracting opportunities, and adversely impact the ability of a contractor to continue to operate. The incumbent must be able to interpret 23 Code of Federal Regulations, Part 230, correctly for certification of entities. There could be a major impact on federal transportation funding for Caltrans in the forms of sanctions by FHWA if DBE certifications are not completed accurately, comprehensively, and in a timely manner outlined in CFR Title 49, or the California Unified Certification Program database is not current.

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### PUBLIC AND INTERNAL CONTACTS

The incumbent has contact with all levels of staff, including the Department's Legal Division, Construction, Construction Labor Compliance, District and Headquarters staff, individuals requesting certification, and other certifying agencies.

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### PHYSICAL, MENTAL, AND EMOTIONAL REQUIREMENTS

The incumbent should have the ability to work on a keyboard, possess manual dexterity, sit for long periods of time, and be able to focus for long periods of time. Engage in sustained mental activity to produce reports, problem solving, and analysis. Create and sustain an organization culture that encourages others to provide the quality of service essential to high performance. Develop and maintain cooperative working relationships. Respond appropriately to difficult situations, such as recognizing emotionally charged individuals, issues or problems. Must be able to transport variety of objects that are less than or equal to 20 pounds (computer, flip chart, etc.) on occasion. Overtime and/or flexible hours may be required. Must be able to make good judgments and communicate effectively.

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### WORK ENVIRONMENT

While at the office, the incumbent will normally work in a climate-controlled office under artificial light. Use of computers and other various office equipment is required. The office is secured by electronic card reader to protect the release of any information that may reasonably be construed as confidential business information, including the identity of program applicant(s), to any third party without the written consent of the firm that submitted the information. The employee will be required to travel by airplane and/or car to conduct on-site reviews. Reviews may be conducted virtually, in an office, construction job site, home based business, trailer, American Indian reservation, etcetera. Sites may be located in heavily populated cities or outdoors in remote locations. During the course of a review, incumbent may be exposed to animals, dirt, noise, heavy equipment, traffic, uneven surfaces, and extreme heat or cold. The incumbent may also be required to telework as part of their employment.

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.)

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EMPLOYEE (Print)

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EMPLOYEE (Signature)

DATE

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

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SUPERVISOR (Print)

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SUPERVISOR (Signature)

DATE

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