

**POSITION DUTY STATEMENT**

DFPI HRO 203 (Rev. 08-13)



EMPLOYEE		CLASS TITLE: <b>Financial Institution Examiner (FIE)</b>		WORKING TITLE: <b>Regulatory Examiner</b>	
DIVISION OR UNIT: <b>Corporations/FSD/Escrow</b>		POSITION NUMBER: <b>410-322-4101-025</b>		COLLECTIVE BARGAINING: <b>R01</b>	MCR: <b>1</b>
EFFECTIVE DATE:		CONFLICT OF INTEREST CATEGORY: <b>3</b>		PROBATION: <b>12 months</b>	
SALARY: <b>\$6,237-7808</b>		RANGE: <b>C</b>		IMMEDIATE SUPERVISOR (Print) <b>Kristie Jaynes</b>	
WORK SCHEDULE:				DAILY HOURS:	
<b>Mon</b> <input checked="" type="checkbox"/>	<b>Tues</b> <input checked="" type="checkbox"/>	<b>Wed.</b> <input checked="" type="checkbox"/>	<b>Thurs.</b> <input checked="" type="checkbox"/>	<b>Fri.</b> <input checked="" type="checkbox"/>	<b>Start:</b> a.m. <b>Finish:</b> p.m.
1. Supervision Received: Under the general direction of Corporation Examiner IV (Supervisor), the FIE plans, coordinates, and assists in the development and maintenance of the examination programs under the Escrow Law (Esc). The position requires extensive travel within California to perform examinations.					
2. Supervision Exercised: None					
3. Physical Demands: Pages 3 & 4					
4. Job Description: (Percentage of time performing each function)					
<i>Percent of Time</i>	<b>ESSENTIAL FUNCTIONS</b>				
45%	Independently plans, organizes, and conducts regulatory examinations on companies licensed by the Department, including those that have significant regulatory concerns. Is able to follow the Department's Audit Program and apply Accounting Principles and Auditing Standards and develop additional audit procedures when needed. Obtains records and performs analysis of financial information and financial statements to determine compliance with appropriate laws. Conducts interviews with licensee's management and collects and examines data to determine compliance with the regulations, rules and laws administered by the Department. Works with the licensee to resolve deficiencies, investigates consumer complaints and compliance issues. Testifies in administrative hearings regarding violations identified during examinations.				
25%	Functions as an Examiner-in-charge over a group of examiners conducting examinations of larger licensees or for more complex examinations. Provides training and assigns work to new and less experienced examiners. Reviews reports and work-papers prepared by less experienced examiners. Coordinates project schedules.				
25%	Prepares examination reports documenting the examination findings and supports the basis for audit conclusions. Makes recommendations and makes written and oral presentations to management during and at the conclusion of the examination. Discusses deficiencies, recommends corrective action and suggests improvements to internal controls or operations with management of licensee and prepares the Regulatory Examination Report provided to the licensee. Performs conservatorship duties when needed.				
<i>Percent of Time</i>	<b>NON-ESSENTIAL FUNCTIONS</b>				
5%	Performs other related duties as required.				

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<b>PHYSICAL AND MENTAL REQUIREMENTS OF ESSENTIAL FUNCTIONS</b>					
<b>Activity</b>	<b>Not Required</b>	<b>Less than 25%</b>	<b>25% to 49%</b>	<b>50% to 74%</b>	<b>75% or More</b>
<b>VISION:</b> Reviewing mail; preparing various forms; proofreading documents; reading printed material, computer screens, and handwritten materials.					✓
<b>HEARING:</b> Answering telephones; receiving verbal information from outside sources; understanding verbal instruction.				✓	
<b>SPEAKING:</b> Receiving visitors; answering inquiries and providing verbal information or instruction.				✓	
<b>MOVEMENT:</b> Delivering material to others; picking up materials from others; copying; faxing; distributing information; filing.		✓			
<b>SITTING:</b> At a computer terminal or desk; conferring with employees.				✓	
<b>STANDING:</b>	✓				
<b>BALANCING:</b>	✓				
<b>CONCENTRATING:</b> Reviews and reads records/documents, researches, composes, analyzes, compiles, and updates technical documents; multi-tasking; prepares various forms and documents.					✓
<b>COMPREHENSION:</b> Understanding needs of co-workers, clients; understands procedures and practices; Understands laws, regulations related to their work.					✓
<b>WORKING INDEPENDENTLY:</b> Possesses ability to work independently as well as a team member, have good interpersonal and communication skills, ability to follow directions, take initiative, assume responsibility, and exercise good judgment and tact. Must be able to work alone without much guidance or interaction from other staff.					✓
<b>LIFTING UP TO 10 LBS. OCCASIONALLY:</b>		✓			

**PHYSICAL AND MENTAL REQUIREMENTS OF ESSENTIAL FUNCTIONS**

STATE OF CALIFORNIA – DEPARTMENT OF FINANCIAL PROTECTION AND INNOVATION

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Activity	Not Required	Less than 25%	25% to 49%	50% to 74%	75% or More
LIFTING UP TO 20 LBS. OCCASIONALLY AND/OR 10 LBS. FREQUENTLY:	✓				
LIFTING UP TO 20-50 LBS. OCCASIONALLY AND/OR 25-50 LBS. FREQUENTLY:	✓				
FINGERING: Pushing buttons on telephone; typing; copying.					✓
REACHING: Answering phones.		✓			
CARRYING: Distributing mail; reports; stocking supplies.	✓				
CLIMBING: stairs	✓				
BENDING AT WAIST:	✓				
KNEELING:	✓				
PUSHING OR PULLING:		✓			
HANDLING:		✓			
DRIVING:					✓
OPERATING EQUIPMENT: Computer; telephone; copy machine; fax.					✓
WORKING INDOORS:					✓
WORKING OUTDOORS:	✓				
WORKING IN CONFINED SPACE: Enclosed office environment.					✓

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**SIGNATURES**

**Certification of Applicant/Employee**

*Note – **Do not** sign certification if you have any concerns regarding your ability to perform the essential functions of this position. Contact the DFPI Human Resources Office for additional information.*

*I certify that I possess essential personal certifications including integrity, initiative, dependability, good judgment, and ability to work cooperatively with others; and a state of health consistent with the ability to perform the assigned duties as described above with or without reasonable accommodation.*

*I have read and discussed these duties with my supervisor.*

\_\_\_\_\_  
*Employee's Signature*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Civil Service Title*

*I certify that the above accurately represents the duties of the position:*

\_\_\_\_\_  
*Supervisor's Signature*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Civil Service Title*

*Position classification approved:*

\_\_\_\_\_  
*Personnel Analyst's Signature*

\_\_\_\_\_  
*Date*