

POSITION DUTY STATEMENT

DFPI HRO 203 (Rev. 01-21)



EMPLOYEE		CLASS TITLE: Financial Institutions Examiner		WORKING TITLE: Regulatory Examiner	
DIVISION OR UNIT: Consumer Financial Protection		POSITION NUMBER:		COLLECTIVE BARGAINING: R01	MCsR:
EFFECTIVE DATE:		CONFLICT OF INTEREST CATEGORY: 3		PROBATION: 12 months	
SALARY: \$4,008.00 - \$7,808.00		RANGE: Range A - C		IMMEDIATE SUPERVISOR (Print) Financial Institutions Manager	
WORK SCHEDULE:				DAILY HOURS:	
Mon <input checked="" type="checkbox"/>	Tues <input checked="" type="checkbox"/>	Wed. <input checked="" type="checkbox"/>	Thurs. <input checked="" type="checkbox"/>	Fri. <input checked="" type="checkbox"/>	Start: 8:00 a.m. Finish: 5:00 p.m.
1. Supervision Received: Under the general direction of the Financial Institutions Manager.					
2. Supervision Exercised: None					
3. Physical Demands: See pages 3 and 4 (Travel may be required).					
4. Job Description: (Percentage of time performing each function)					
Percent of Time	ESSENTIAL FUNCTIONS				
30%	<p>Examination of debt collectors and new covered persons under the Debt Collection Licensing Act (DCLA) and California Consumer Financial Protection Law (CCFPL):</p> <p>Conducts regulatory examinations, individually or as part of a team. Obtains records and data and performs review, evaluation, and analysis to determine compliance with applicable laws and regulations. Conducts interviews with licensee's/registrant's staff and management. Works with licensee/registrant to resolve deficiencies, investigates consumer complaints and compliance issues. Prepares examination reports documenting the examination findings and supports the basis for the audit conclusions. Prepares referrals to Enforcement. Testifies in administrative hearings regarding violations identified during examinations.</p>				
20%	<p>Licensing of debt collectors under the DCLA:</p> <p>Reviews and evaluates license applications for debt collectors under to the DCLA to ensure compliance with State and Federal rules and regulations. The process includes review of application files, business plans and applicant's background utilizing internal and external data systems. Issues or provides recommendation for issuance of a license, denial, or referral to Enforcement within designated timeframes. Reviews and evaluates license amendments and surrender of licenses. Examples of amendments include but are not limited to: address changes, name changes, and changes of ownership.</p>				
20%	<p>Registration of new covered persons under the CCFPL:</p> <p>Reviews and evaluates registration applications for new covered persons under the CCFPL to ensure compliance with State and Federal rules and regulations. The process includes review of application files, business plans and applicant's background utilizing internal and external data systems. Issues or provides recommendation for registration approval, denial, or referral to Enforcement within designated timeframes. Reviews and evaluates registration amendments and surrender of registration. Examples of amendments include but are not limited to: address changes, name changes, and changes of ownership.</p>				

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10%	Complaints: Reviews and resolves complaint issues.
10%	Communication: Responds to inquiries from the public and other regulators regarding technical questions concerning the DCLA and CCFPL. Answers daily calls and provides immediate and knowledgeable assistance to callers requesting guidance on the application process and licensing requirements.
5%	Annual Reports: Reviews licensee/registrant annual report filings.
<i>Percent of Time</i>	NON-ESSENTIAL FUNCTIONS
5%	Performs other job-related duties as required.

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PHYSICAL AND MENTAL REQUIREMENTS OF ESSENTIAL FUNCTIONS					
Activity	Not Required	Less than 25%	25% to 49%	50% to 74%	75% or More
VISION: Reviewing mail; preparing various forms; proofreading documents; reading printed material, computer screens, and handwritten materials.					X
HEARING: Answering telephones; receiving verbal information from outside sources; understanding verbal instruction.					X
SPEAKING: Receiving visitors; answering inquiries and providing verbal information or instruction.					X
MOVEMENT: Delivering material to others; picking up materials from others; copying; faxing; distributing information; filing.				X	
SITTING: At a computer terminal or desk; conferring with employees.					X
STANDING:				X	
BALANCING:				X	
CONCENTRATING: Reviews and reads records/documents, researches, composes, analyzes, compiles, and updates technical documents; multi-tasking; prepares various forms and documents.					X
COMPREHENSION: Understanding needs of co-workers, clients; understands procedures and practices; Understands laws, regulations related to their work.					X
WORKING INDEPENDENTLY: 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 or interaction from other staff.					X
LIFTING UP TO 10 LBS. OCCASIONALLY:			X		

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PHYSICAL AND MENTAL REQUIREMENTS OF ESSENTIAL FUNCTIONS					
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:			X		
LIFTING UP TO 20-50 LBS. OCCASIONALLY AND/OR 25-50 LBS. FREQUENTLY:		X			
FINGERING: Pushing buttons on telephone; typing; copying.					X
REACHING: Answering phones.					X
CARRYING: Distributing mail; reports; stocking supplies.			X		
CLIMBING: stairs		X			
BENDING AT WAIST:		X			
KNEELING:		X			
PUSHING OR PULLING:			X		
HANDLING:					X
DRIVING:				X	
OPERATING EQUIPMENT: Computer; telephone; copy machine; fax.		X			
WORKING INDOORS:					X
WORKING OUTDOORS:		X			
WORKING IN CONFINED SPACE: Enclosed office environment.					X

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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