

## Department of Financial Protection and Innovation

### Position Duty Statement

DFPI HRO 203 (Rev. 07-2021)

<b>NAME</b>	<b>EFFECTIVE DATE</b>
<b>CLASSIFICATION TITLE</b> Investigator	<b>POSITION NUMBER</b> 410-XXX-8610-xxx
<b>WORKING TITLE</b> Investigator	<b>DIVISION/OFFICE/UNIT/SECTION</b> Enforcement Division
<b>BARGAINING UNIT</b> R07	<b>GEOGRAPHIC LOCATION</b>

**General Statement:** Under the general direction of the Supervising Special Investigator; direction and assignments may also come from higher level in management. Duties include, but are not limited to, the following:

**A. Specific Assignments [Essential (E) / Marginal (M) Functions]:**

**40% (E)** Independently plans, coordinates, and conducts the most complex and sensitive criminal, civil and administrative investigations into violations of the laws, rules, or regulations under the Department's jurisdiction; gathers and analyzes facts and evidence; prepares clear, concise, and accurate documents and reports detailing case investigation activities and findings in order for departmental counsel to take appropriate action.

**20% (E)** Prepares and executes search warrants and legal documents including, but not limited to, the search and seizure of business or personal records, bank records and computer equipment; coordinates the examination of electronic data stored on a variety of devices with forensic examiners; processes evidence; makes detailed examinations of accounts and records of the most complex and sensitive nature; traces financial and other transactions; prepares reports regarding the findings for administrative, civil or criminal proceedings.

**15% (E)** Locates and conducts interviews of witnesses and interrogates suspects; makes physical arrests for criminal offenses; assumes fictitious identities for undercover roles; surveillance assignment operations; conducts and coordinates multiagency operations; locates subjects and serves legal documents.

**15% (E)** Assists departmental counsel in preparing referrals to criminal agencies and may initiate the coordination of a case between the Department and other agencies; provides investigative support to Department counsel, local law enforcement agencies and prosecutors (such as City Attorney, District Attorney, Attorney General) during the investigation and prosecution in administrative, civil or criminal cases. Appears and testifies as a witness in administrative, civil, criminal trials or proceedings in State and Federal courts.

**5% (E)** Make presentations to licensees, special interest groups or organized community groups to explain Departmental programs and procedures. Attend mandatory training to maintain P.O.S.T standards. Participate in special assignments when necessary to support the unit/division.

**5% (M)** Performs other related duties as required

**B. Supervision Received**

Under the general direction of the Supervising Special Investigator. Incumbent may also receive direction and assignments from higher level in management.

**C. Supervision Exercised**

None

**D. Administrative Responsibility**

None

**E. Personal Contacts**

The incumbent will communicate routinely with Supervising Special Investigator as well as peers and employees of DFPI; regular contact with the public to interview victims, witnesses, and subjects of sensitive investigations; recurrent contact may also occur with other governmental agencies such as, but not limited to enforcement personnel from other boards and bureaus, state/local law enforcement, legal representatives of the state/county/city.

**F. Actions and Consequences**

When the job is inadequately performed, the Department's ability to protect investors and borrowers will be compromised. The Department will not be able to ensure all licensees meet regulatory requirements, detect fraud and abusive practices resulting from unlicensed activity, which may cause harm to the public. Consequences include the inability to complete investigations of unlicensed activity, bring administrative orders to stop violations of the laws, to deny, censure, suspend, revoke or take possession of Licensees, and to censure, suspend or bar individuals from participating in a regulated industry; and (2) civil injunctive actions to enjoin violations of the laws, obtain equitable remedies including rescission, restitution and penalties against violators, and (3) assist in the criminal investigation and prosecution of laws, and refer criminal violations to the appropriate United States Attorney, Attorney General or District Attorney for prosecution.

**G. Functional Requirements**

The incumbent works 40 hours per week in an, Office setting with artificial light and temperature control and in the field, which may include sitting, driving, balancing, carrying, and walking. The daily access to the use of a departmental computer, telephone, copier and/or scanner machine is essential to the duties of this position. The incumbent must possess a valid driver's license and be able to travel to conduct investigative duties.

**Special Physical characteristics:**

Include good health, emotional maturity, and stability; good physical condition necessary to cope with the demands of the job. Normal hearing, vision or corrected to normal, weight proportional to age and height.

**Peace Officer and POST Requirements:**

Pursuant to Government Code Section 1031 (f) and Penal Code 13510, this position requires the individual to be free from physical, emotional, or mental condition which might adversely affect the exercise of peace officer power. An individual shall satisfy all selection and training standards required by the California Commission on Peace Officer Standards in Training (POST). The candidate will be required to satisfactorily complete or provide proof of successful completion of a basic incumbent training course approved by POST prior to the completion of their probationary period. If the candidate fails to complete the POST course during the probationary period they will be rejected on the probationary period.

## **Physical Demands**

Occasionally = 1-33% of workday

Frequently = 34-66% of workday

Continuously = 67-100% of the workday

Vision: Continuously

Hearing: Frequently

Speaking: Frequently

Movement: Occasionally

Sitting: Continuously

Standing: Occasionally

Balancing: Occasionally

Concentrating: Continuously

Comprehension: Continuously

Working Independently: Continuously

Lifting to 20 pounds: Occasionally

Reaching: Frequently

Carrying: Occasionally

Climbing (stairs): Occasionally

Bending at the waist: Occasionally

Kneeling, Pushing/pulling/handling:

Driving: Frequently

Operating equipment (computer, telephone, copy/scanner/fax machine): Continuously

Working indoors: Continuously

Working outdoors: Frequently

Working in an office environment: Continuously

## **H. Other Information**

The incumbent must possess a valid driver's license and be able to travel to conduct investigative tasks/assignments, maintain a working relationship with Departmental staff, other state and local departmental agencies and the public.

## **CONFLICT OF INTEREST**

*This position is subject to Title 16, section 3830 of the California Code of Regulations, the Department of Financial Protection and Innovation's Conflict of Interest Regulations. The incumbent is required to submit a Statements of Economic Interests (Form 700) within 30 days of assuming office, annually by April 1st and within 30 days of leaving office.*

## **FINGERPRINTING**

*Title 11, section 703 (d) of the California Code of Regulations requires criminal record checks of all personnel who have access to Criminal Offender Record Information (CORI). Pursuant to this requirement, applicants for this position will be required to submit fingerprints to the Department of Justice and be cleared before hiring. In accordance with DFPI's (CORI) procedures, clearance shall be maintained while employed in a CORI-designated position. Additionally, the position routinely works with sensitive and confidential issues and/or materials and is expected to maintain the privacy and confidentiality of documents and topics pertaining to individuals or to sensitive program matters at all times.*

**I have read and understand the duties listed above and I can perform these duties with or without reasonable accommodation.** (If you believe reasonable accommodation is necessary, discuss your concerns with the hiring supervisor. If unsure of a need for reasonable accommodation, inform the hiring supervisor, who will discuss your concerns with the Health & Safety analyst.)

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Employee Signature

Date

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Employee's Printed Name, Classification

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

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Supervisor Signature

Date

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Supervisor's Printed Name, Classification