

POSITION DUTY STATEMENT

DFPI-HRO 203 (Rev. 08-21)



NAME	EFFECTIVE DATE Aug. 1, 2022
CLASSIFICATION TITLE CEA	POSITION NUMBER 410-180-7500-001
WORKING TITLE Deputy Commissioner, Consumer Services	DIVISION/OFFICE/UNIT/SECTION Consumer Services Office
BARGAINING UNIT M01	GEOGRAPHIC LOCATION Sacramento

General Statement: Under the general direction of the Chief Deputy Commissioner of the Department of Financial Protection and Innovation (DFPI) the Deputy Commissioner of Consumer Services manages and directs the Department’s Consumer Services Office and Licensing and Information Reporting Office. The Deputy Commissioner (DC) of Consumer Services provides direction and supervision regarding the complaints portal, telephone platform, and other technology-based applications. The DC is responsible for maintaining cooperative and effective working relationships with all levels of staff, internal and external contacts, and other divisions impacted by services. The DC is also responsible for maintaining a performance-oriented culture that results in exceptional customer experience as measured through internal performance metrics.

Duties include, but are not limited to:

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

40% (E) Primary functions - As a member of the Executive Team, the Deputy Commissioner has significant responsibility for planning, organizing, and directing the work of the Consumer Services Office (CSO), and the Licensing and Information Reporting Office (LIRO). Incumbent serves as a consultant and advisor to the Commissioner and Chief Deputy Commissioner on policy development, implementation, and management direction of the DFPI by providing objective review and recommendations in the development of new or modifications to existing policies, procedures, goals, and objectives. Oversees complex studies of current workload trends and identifies technological opportunities for the CSO and provides process improvement strategies to improve performance. Will lead CSO Teams and will be charged with achieving service level targets under budgetary constraints. The DC will develop appropriate Service Level Agreements and Control Limits for new and existing units under the CSO control. The DC will be required to maintain relationships with both internal and external stakeholders that are impacted by operations including: the Commissioner of DFPI, Senior Deputy Commissioners, Deputy Commissioners, section managers, telephony unit staff, union reps, and technology vendors. Maintains effective communication channels with staff,

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through their managers, to ensure staff has access to required job-related information and resources. Responsible for ensuring projects and initiatives are successfully achieved, and operational areas perform their functions consistent with the project goals and objectives. Examines issues and concerns elevated by managers and staff for management review, issues prompt decisions or elevates to higher management as appropriate.

35% (E) **Supervises the Consumer Services Office** - Responsible for overseeing management of the CSO, a 19-member team that fields, processes and responds to more than 7,000 consumer complaints and 55,000 other consumer contacts each year. Guides and supervises the development and ongoing review of policies related to the prompt and effective processing of complaints and delivery of a broader range of general consumer services. Sets policies and procedures regarding real-time monitoring of service levels and staff behavior, scheduling of resources for call volume demand, forecasting, data, metrics, and reporting on all CSO phone activities. Provides general direction to CSO managers and staff involved in the administration and implementation of regulations, policy, and procedures. Provides regular reports and other information to each of the DFPI's programs to help ensure appropriate enforcement of violations and other regulatory issues raised by complaints and consumer contacts.

20% (E) **Supervises the Licensing and Information Reporting Office** - Responsible for overseeing management of the Licensing and Information Reporting Office, which calculates and issues annual assessments to DFPI-licensed banks and credit unions; serves as the DFPI point for the issuance of targeted messaging through the GovDelivery system; reviews and tracks applications for licensing of banks, credit unions, money transmitters, premium finance companies and trust companies; conducts financial analysis and trend reporting; and monitors quality control, updates, and assists DFPI employees with the Licensing Information System (LIS) and the Financial Institution Management System (FIMs) databases.

5% (M) Performs other duties as required.

B. Supervision Received

The Deputy Commissioner of Consumer Services reports directly to and receives assignments from the Chief Deputy Commissioner. Direction and assignments may also come from the Commissioner, the Senior Deputy for Consumer Financial Protection, the Senior Deputy for Corporations and Financial Institutions

C. Supervision Exercised

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The Deputy Commissioner of the Consumer Services Office closely supervises and provides general direction to the CSO manager (a Staff Services Manager II) and the Licensing and Information Reporting manager (a Financial Institutions Manager).

D. Administrative Responsibility

The Deputy Commissioner of the Consumers Services Office is responsible for the efficient operation and timely completion of the workload assigned to the Consumer Services Office and the Licensing and Information Reporting Office. This includes evaluating performance of staff by providing regular feedback, establishing development goals, and completing timely probation reports, performance appraisals, and individual development plans. Administrative responsibilities also include completing all personnel documentation, utilizing the competitive hiring process, and approving or denying administrative requests including work schedules, leave requests, timesheets, overtime, and training.

E. Personal Contacts

The Deputy Commissioner of the Consumer Services Office has frequent contact with 1) the CSO manager, assistant managers, and CSO team members; 2) the Chief Deputy Commissioner and other Executive Staff; 3) the LIRO manager and team members; 4) the DFPI Complaints Review Committee; 5) the California Consumer Financial Protection Law Executive Implementation Group; 6) the Self-Service Portal Steering Committee and development team; 7) the Student Loan Services program and ombudsperson; 8) other program leaders, deputy commissioners, managers, and staff members from throughout the Department.

F. Actions and Consequences

The Consumer Services Office fields, tracks, processes, and responds to more than 7,000 consumer complaints and 55,000 other consumer contacts a year. The Licensing and Information Reporting Office plays a unique and important role in monitoring the safety and soundness of certain DFPI licensees, including banks and credit unions, calculating, and issuing assessments that enable the DFPI to regulate those licensees, and gathering, reporting, and analyzing statistical information about those licensees.

Failure to carry out the duties and responsibilities of the Deputy Commissioner of Consumer Services would impede the processing of complaints and other consumer contacts, delaying remedies that could prevent or forestall consumer harm, including home foreclosures, vehicle forfeitures, and investment losses associated with scams and fraud. Such a failure could also curtail the number of DFPI investigations and licensing examinations triggered by complaint referrals from CSO. A failure to carry out the position's other duties and responsibilities would weaken oversight of banks, credit unions, and other licensees, and could also deprive the DFPI of the annual assessments needed to carry out that oversight.

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G. Functional Requirements

The incumbent works 40 hours per week in an office setting or remotely, with artificial light and temperature control. The use of a personal computer, internet access, a telephone, and printer are essential to the duties of this position. With a portion of the CSO team deemed essential, office-centered workers, regular office workdays are essential.

H. Other Information

Incumbent interacts frequently with other Executive Team members and must analyze and prepare correspondence regarding complaints for the Governor’s Office, the Business, Consumer Services and Housing Agency, state legislators, and the public. As such, the position requires strong verbal and written communication skills. Position also must exercise good judgment in decision-making, creativity and flexibility in problem identification and resolution, and manage time and resources effectively. Must work well with others, under changing priorities, and work irregular hours when workload dictates. Regular attendance and punctuality are essential.

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

This position is not subject to Title 11, section 703 (d) of the California Code of Regulations, which requires fingerprinting and criminal record checks of all personnel who have access to Criminal Offender Record Information (CORI).

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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.)

Employee Signature

Date

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.

Supervisor Signature

Date

Supervisor's Printed Name, Classification