

STATE OF CALIFORNIA – DEPARTMENT OF FINANCIAL PROTECTION AND INNOVATION
POSITION DUTY STATEMENT
DFPI-HRO 203 (Rev. 08-21)



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| NAME | EFFECTIVE DATE |
| CLASSIFICATION TITLE Staff Services Analyst | POSITION NUMBER 410-123-5157-321 |
| WORKING TITLE Escrow Licensing Analyst | DIVISION/OFFICE/UNIT/SECTION Corporations and Financial Institutions/Escrow and Mortgage Lending Office/Escrow Law/Licensing |
| BARGAINING UNIT R01 | GEOGRAPHIC LOCATION Los Angeles |

General Statement: Under supervision of the Financial Institutions Manager (Special Administrator) of the California Escrow Law, the Staff Services Analyst reviews and assists with the analysis of information contained in Escrow license application filings, updates internal data base system for employment applications, surrenders, licenses, and amendments, follows annual report procedures to receive annual reports, performs data entry, reviews and updates fingerprint clearances, and processes mailing of deficiency letters, prepares weekly and quarterly statistical reports for licensing, and communicates with licensees, attorneys, CPAs, and the public. Duties include, but are not limited to, the following:

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

35% Stages, Creates, Updates, and Receipts Escrow Applications (E)

Stages, creates and updates Escrow applications (data entry in internal data base system) from paper filings, and manages receipting responsibilities. Reviews for overall completeness of filing, pursuant to licensing requirements. Stages various applications to internal data base by creating an electronic application record, and uploads submitted forms and relevant documents to the data base. Distributes all incoming licensing mail either to examiners, scans and uploads pending applications to SharePoint. Updates receipt logs for payments relating to various escrow applications, investigation, and fingerprint submissions. Updates receipt information on escrow forms and in internal data base system. Prepares Notice of Overpayment to process refunds. Processes and posts in internal data base system individuals' new employment reporting and processes fingerprint hard card submission fees.

30% Assists Examiners in Annual Report Review Process (E)

Responsible for intaking annual reports filed and assists in reviewing the completeness of annual reports submitted. Updates annual reports filing status in annual report logs, checks licensees' changes in CPAs and CPA license status, updates and maintains annual report information in internal data base. Assists examiners in sending annual report exam information to Accounting Unit to generate exam invoices, inputting balance

POSITION DUTY STATEMENT

DFPI-HRO 203 (Rev. 08-21) Page 2 of 4

sheet data in review workpaper, and checking fingerprint clearances. Mails deficiency letters as directed by Special Administrator or examiners.

10% Reviews and Processes Address Change Applications (E)

Stages, creates and updates address change applications to internal data base by creating electronic application records pursuant to licensing requirements. Reviews, analyzes, identifies deficient items, and resolve deficient items with licensees. Prepares cover letters and amended licenses for approval by Special Administrator. Updates new addresses in internal data base. Scans and uploads approved applications in the internal database system.

10% Compiles Statistical Reports and Other Reporting (E)

Prepares various weekly and monthly statistical reports and other reports as needed pertaining to various license applications and amendments for management and examiners. Reconciles the annual report logs to monthly annual report statistical report and maintains a tracker to identify licensees who fail to submit annual report as required.

10% Handles DFPI Portal and Designated Email Issues, Public Records Act (PRA) Requests and Incoming Phone Calls (E)

Resolves licensees' DFPI portal registration and designated email issues; identifies licensees who fail to notify DFPI of designated email changes as required by SB 1361, effective 1/1/2019 codified in Financial Code section 331.5; Responds to PRA requests by obtaining the documentation needed to complete or provide information to answer the PRA as required. Responds to phone calls from stakeholders and the general public assigned to Escrow Licensing via the DFPI inContact phone system and routes the calls to appropriate examiners or programs.

5% Marginal Duties (M)

Performs other related duties as required.

B. Supervision Received

The SSA reports directly to and receives the majority of assignments from the Licensing Manager (FIM); however, direction and assignments may also be received from the Senior Financial Institutions Examiner.

C. Supervision Exercised

None.

D. Administrative Responsibility

None.

POSITION DUTY STATEMENT

DFPI-HRO 203 (Rev. 08-21) Page 3 of 4

E. Personal Contacts

The SSA will interact with examiners and support staff, management, external stakeholders, and the general public.

F. Actions and Consequences

Inadequate performance of SSA duties will cause delay in licensure and increase the regulatory cost for business seeking escrow licensure in California. It will also cause consumers harm by allowing bad actors to work in the industry.

G. Functional Requirements

The incumbent works 40 hours per week in an office setting, with artificial light and temperature control. The use of a personal computer, telephone, and copier is essential to the duties of this position. The position requires bending and stooping to retrieve files, sitting and standing consistent with office work, and lifting of no more than 25 lbs.

1. Operation of office equipment such as laptop computer, monitor, portable printer/scanner (more than 75%),
2. Working in enclosed office (work/home office) environments (more than 75%).

H. Other Information

The position requires extensive analytical skills to perform licensing reviews. The position may require occasional traveling to conferences, meetings, and training events. Travel is primarily done by driving but also includes occasional air travel and occasional overnight travel.

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.

CONFLICT OF INTEREST

This position is subject to Title 10, § 250.30 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.

POSITION DUTY STATEMENT

DFPI-HRO 203 (Rev. 08-21) Page 4 of 4

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