

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



NAME [Name of candidate hired]	EFFECTIVE DATE [Date position filled]
CLASSIFICATION TITLE Analyst II	POSITION NUMBER [410-123-5393-xxx]
WORKING TITLE Analyst II	DIVISION/OFFICE/UNIT/SECTION EMLO/CRMLA Licensing
BARGAINING UNIT R01	GEOGRAPHIC LOCATION Sacramento

General Statement: Under the supervision of the Financial Institutions Manager (FIM), the Analyst II is responsible for performing analytical functions associated with the regulatory oversight of the California Residential Mortgage Lending Act (CRMLA) licensees for the Division of Corporations and Financial Institutions' Escrow and Mortgage Lending Office. Duties include, but are not limited to, the following:

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

40% Program Support (E)

- Monitors CRMLA Licensing Unit email communications from the general public and internal inquiries by referring to the CRMLA Licensing Manual, researching the codes and regulations, reaching out to Program Team/Management, reaching out to other programs as necessary, or forwarding the emails as appropriate.
- Processes CRMLA fingerprint and background check documents, including routing checks to accounting, logging data, submitting fingerprint cards to DOJ, receiving results, notifying Examiners, and updating DocQNet.
- Monitors CRMLA Licensing Unit phone communications from the general public and internal inquiries by referring to the CRMLA Licensing Manual, researching the codes and regulations, reaching out to Program Team/Management, reaching out to other programs as necessary, or forwarding the calls as appropriate.
- Research, collect, and analyze documentation in response to requests and applications from licensees, applicants, and other governmental agencies.
- Receives information from FIE, SFIE, or FIM from other programs regarding adverse actions that have been taken against the licensee; research, and analyzes the information received to determine if the adverse action warrants additional review or action by FIM.
- Ad-hoc reports as needed by Management.

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30% Branch Applications & Amendments (E)

- Reviews and evaluates new applications for branches submitted to CRMLA companies to ensure compliance with state and federal laws, rules and regulations. Accesses, reviews, and updates applications utilizing the Nationwide Mortgage Licensing System (NMLS) and internal (DOCQNET) systems to ensure that applications are accurately and timely processed within the required timeframe. Discusses with applicants or their appointed representatives the problems and/or deficiencies relating to the application and prepares deficiency notices and letters outlining items needed to complete the application process.
- Reviews, research, and processes modifications/amendments to branch licenses such as address changes, surrenders of license, and name changes for approved licensees within DocQNet and the Nationwide Multistate Licensing System and Registry (NMLS).
- Guides licensees and applicants on the requirements needed to clear license deficiencies, including but not limited to research codes and regulations, and confers with program FIMs as required.

25% Administrative Support (E)

- Reviews and maintains correspondence and internally created documents to ensure records are accurately organized and maintained within the appropriate areas of the file database.
- Receive, date-stamps, sorts, reviews, evaluates, and logs incoming and outgoing mail and electronic correspondence to determine appropriate routing and follow-up.
- Coordinates and manages outgoing correspondence, including mass mailings and certified mailings to ensure timely and accurate distribution.
- Reviews and directs mail and electronic correspondence to the appropriate parties based on the subject matter and applicable program requirements.
- Maintains and reviews the CRMLA filing system to ensure records are complete, accurate, and maintained in accordance with applicable records management requirements, including files kept in the office, Sacramento Warehouse, and in the State Records Center. This requires physical trips to the West Sacramento Warehouse for filing Maintenance.
- Coordinates and manages Records Retention and Destruction Schedules in accordance with applicable policies, procedures, and retention requirements under the general direction of the FIM.

5% Other Duties (M)

- Performs other related duties as required.

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B. Supervision Received

The Analyst II reports directly to, and receives the majority of assignments from, the FIM; however, direction and assignments may also come from the Deputy Commissioner, Escrow and Mortgage Lending Office, CEA (B).

C. Supervision Exercised

None

D. Administrative Responsibility

None

E. Personal Contacts

As assigned, the Analyst II will consistently work with other team members, administration staff, student assistants, and management to review and evaluate the compliance of applicants and licensees. Analyst I will evaluate and determine compliance with applicable laws and regulations and prepare licensing memos and comments that accurately communicate findings.

Given the nature of the work performed, these communications generally contain confidential or sensitive information. General communication with other DFPI units is also common. This may include DFPI executive staff, accounting, human resources, business operations, IT, and other units.

F. Actions and Consequences

If the incumbent does not perform the position's duties as specified, the public is not getting the protection they have the right to and deserve. California could lose the opportunity to lead at a national level to promote change that would benefit Californians. Licensees are then spending money with no benefit. If the incumbent does not perform the duties as specified, it could place a greater burden on and cost to the enforcement team; and create bad employee morale that could lead to increased turnover which is inefficient and costly to the department.

G. Functional Requirements

The incumbent works 40 hours per week in an office setting, with artificial light and temperature control.

Frequently:

- Sitting at a desk, in a chair, and in front of a computer screen.
- Moving/walking about the office and standing or sitting during meetings.
- Operating office equipment such as a multi-line telephone console, cell phone, computer, copy machine, and fax.
- Bend (neck and waist), push, pull, and twist (neck and waist).
- Perform repetitive hand motion, simple grasping, fine manipulation, pushing and pulling with right and left hands.

Occasionally:

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- Reaching (above and below shoulder level).
- 5% or less traveling via private or public transportation (i.e., driving automobile, airplane, etc.). including overnight travel inside California may be required.
- Lifting and carrying 25-50 pounds.
- Climbing stairs, kneeling, and squatting.

H. Other Information

Exercises good judgment in decision-making, exercises creativity and flexibility in problem identification and resolution, and manages time and resources effectively. Works well with others and under changing priorities. Regular attendance and punctuality are essential. Possesses good written and verbal communication skills. Knowledge of: General accounting and auditing principles and procedures; business law; statistics; information systems programs; the English language with proficiency in reading, writing, and grammar. Laws, policies, rules, and regulations administered by the DFPI; financial operations and practices of organizations subject to regulation by the DFPI; purposes, activities, and functions of the DFPI; regulatory terminology; applicable Federal rules and regulations and operations of regulatory agencies that work closely with the Department; specialized accounting and auditing principles; financial examining practices obtained through on-the-job training and through prescribed training courses. Ability to: Work arithmetical computations; gather, organize, summarize, and interpret financial data; analyze data and draw sound conclusions; prepare reports; establish and maintain cooperative relations with those contacted in the work; communicate effectively; evaluate and appraise information; analyze situations accurately and take effective action; use a variety of spreadsheets or word processing software packages. Apply specialized financial examining practices and procedures; perform detailed portion of financial institution, business firm, or services examinations; analyze data and draw sound conclusions; apply specialized examination practices and procedures; analyze financial and operating statements, reports, and records relating to licensee operations; gather, organize, analyze, and summarize financial data and draw logical conclusions; prepare clear, concise, and accurate reports; discuss reports of examination and other financial data and hold meetings with executive officers and directors of financial institutions, business firms, and services.

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

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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.)

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