Department of Consumer Affairs
Position Duty Statement
HR-41 (Revised 7/2015)

Classification Title Analyst II	**Board/Bureau/Division** Professional Fiduciaries Bureau (PFB)
Working Title Enforcement Analyst	**Office/Unit/Section/Geographic Location** Enforcement / Sacramento
Position Number 618-110-5393-800	**Name and Effective Date**

General Statement: Under the direction of the Bureau Chief, the Analyst II (Enforcement Analyst) conducts complex administrative and civil investigations against Professional Fiduciary licensees of the Professional Fiduciaries Bureau (PFB) of the Department of Consumer Affairs (DCA). Duties include, but are not limited to, the following:

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

65% (E) Administrative and Civil Investigations

40% Conducts desk investigations of complaints filed and suspected violations of administrative and civil laws, rules and regulations of the Professional Fiduciaries Practices Act; locates alleged respondent, interviews complainants, witnesses, licensees, and professional experts; collects and analyzes evidence and evaluates testimony. Prepares concise, detailed reports of the events of the investigation, which include documented evidence, statements from witnesses, and a general synopsis to ensure the findings are fully supported by the facts and other evidence for presentation to the Bureau Chief.

15% Examines a variety of records and information to detect, secure, or verify suspected administrative violations and violators of the laws, rules, and regulations that govern the Professional Fiduciaries Practices Act.

5% Contacts and interviews individuals and representatives of business or governmental organizations; and interprets and explains business and professions code when required.

5% Logs evidence; confers and cooperates with federal, state, and local law enforcement agencies on investigations. Prepares and responds verbally and/or in writing to various types of investigative correspondence.

25% (E) Case Preparation and Prosecution

Identifies, gathers, assembles, evaluates, and preserves statements, affidavits, and other evidence for use in administrative legal actions.

Provides technical support to the Office of the Attorney General for cases referred for formal discipline; assists the Office of the Attorney General on development of legal opinions, accusations, prosecution strategy, and stipulated settlements and monitors case through disciplinary process; and serves as an expert witness in testifying at administrative disciplinary proceedings.

10% (M) Administrative

Reviews and analyzes proposed legislation and related policy documents (both state and federal) which relate to the Professional Fiduciary profession. Determines the policy implications on proposed legislation and makes recommendations to the Bureau Chief. Assists the Chief in drafting and promulgating regulations with assistance of the DCA Legal Counsel, Legislative Affairs Division, and various state control agencies; assists with preparation of background information and drafts testimony for the Bureau Chief to present at legislative hearings.

Prepares and performs internal administrative functions such as updating the Consumer Affairs System (CAS), time sheets, and case tracking logs.

B. Supervision Received

The Enforcement Analyst reports directly to and receives assignments from the Bureau Chief. The incumbent may also receive assignments and direction from the Chief Deputy Director of DCA.

C. Supervision Exercised

None.

D. Administrative Responsibility

None.

E. Personal Contacts

The incumbent has frequent contact with the Bureau Chief and other DCA employees, Professional Fiduciary licensees, subjects, complainants, or witnesses. Occasional to frequent contact with DCA's Legal Office, Legislative Affairs Division, Division of Investigation (DOI), the Attorney General's Office, various state control agencies, and other federal, state and local law enforcement agencies.

F. Actions and Consequences

Failure to accurately perform the essential functions of this position could impede the PFB's ability to meet regulatory mandates and protect consumers.

G. Functional Requirements

No specific physical requirements. The incumbent works 40 hours per week in an office setting, with artificial light and temperature control. Daily access to and use of a personal computer and telephone is essential. Sitting and standing requirements are consistent with office work. Occasional travel may be required by commercial carrier or auto, whichever method is in the best interest of the state.

H. Other Information

The incumbent 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 investigative matters at all times. The employee is required to maintain regular and consistent attendance; report to work on time; work his/her full day and work under changing priorities and deadlines. In addition, work cooperatively with others and exhibit courteous behavior towards coworkers and the public. Knowledge and proficiency in the use of personal computers and standard office software is desired.

In all job functions, employees are responsible for creating an inclusive, safe, and secure work environment that values diverse cultures, perspectives, and experiences, and is free from discrimination. Employees are expected to provide all members of the public equitable services and treatment, collaborate with underserved communities and tribal governments, and work toward improving outcomes for all Californians.

Criminal Offender Record Information (CORI)
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 DCA's (CORI) procedures, clearance shall be maintained while employed in a CORI-designated position. Additionally, the incumbent 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 (COI)
This position is subject to Title 16, section 3830 of the California Code of Regulations, the Department of Consumer Affairs' Conflict of Interest Regulations. The incumbent is required to submit a Statement of Economic Interests (Form 700) within 30 days of assuming office, annually by April 1, and within 30 days of leaving office.

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

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

Printed Name, Classification

Revision (10/2026)

Department of Consumer Affairs
Position Duty Statement
HR-41 (Revised 7/2015)

Classification Title Analyst I	**Board/Bureau/Division** Professional Fiduciaries Bureau (PFB)
Working Title Enforcement Analyst	**Office/Unit/Section/Geographic Location** Enforcement / Sacramento
Position Number 618-110-5157-800	**Name and Effective Date**

General Statement: Under the direction of the Bureau Chief, the Analyst I (Enforcement Analyst) performs developmental analytical and investigative assignments involving Professional Fiduciary licensees and applicants of the Professional Fiduciaries Bureau (PFB), Department of Consumer Affairs (DCA).

The incumbent applies established investigative and analytical methods to conduct administrative investigations; review complaints and supporting documentation; gather, organize, and analyze evidence; prepare draft investigative reports and correspondence; and support case preparation and other enforcement activities. The incumbent develops knowledge of the Professional Fiduciaries Act, applicable regulations, probate-related matters, investigative practices, and the Bureau's enforcement procedures.

The incumbent receives assignments, direction, training, and feedback from the Bureau Chief. The incumbent may consult with experienced enforcement staff as peer technical resources regarding established investigative practices and program processes.

Assignments may increase in variety and responsibility as the incumbent develops the knowledge, skills, and abilities necessary to perform the work. Duties include, but are not limited to, the following:

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

65% (E) Administrative and Civil Investigations

40% Conducts administrative and civil investigations of complaints filed and suspected violations of administrative and civil laws, rules, and regulations governing professional fiduciaries; monitors and processes incoming complaints and correspondence; reviews complaints for completeness; requests additional information when necessary; logs, tracks, and routes complaints in accordance with established Bureau procedures; locates alleged respondents; interviews complainants, witnesses, licensees, and professional experts; collects and analyzes evidence; and evaluates testimony. Prepares concise reports of the events of the investigation, which include documented evidence, statements from witnesses, and a synopsis of findings and recommendations for presentation to the Bureau Chief. Performs assignments using established investigative methods and refers unusual, sensitive, or complex matters to the Bureau Chief for direction.

15% Examines records and information to identify, document, secure, or verify suspected administrative violations of the laws, rules, and regulations governing

professional fiduciaries. Applies established investigative methods and evaluates records using applicable statutes, regulations, policies, procedures, and case-specific instructions.

Organizes and summarizes financial, court, licensing, case, and other records relevant to assigned investigations. Identifies missing, inconsistent, or potentially significant information and presents the information to the Bureau Chief for review and direction.

5% Contacts and interviews individuals and representatives of businesses, courts, governmental agencies, and other organizations to obtain, clarify, or verify information relevant to assigned investigations. Interprets and explains provisions of the Business and Professions Code, applicable regulations, and Bureau procedures within established guidelines.

Consults with the Bureau Chief before addressing novel, complex, sensitive, or potentially controversial questions.

5% Logs, organizes, and maintains evidence in accordance with established procedures. Assists with investigative coordination and information gathering involving federal, state, and local law enforcement agencies. Prepares and responds verbally and in writing to routine investigative correspondence.

Maintains accurate investigative files, evidence records, and case-tracking information. Elevates questions concerning investigative documentation, evidence-handling requirements, or case-tracking procedures to the Bureau Chief.

20% (E) Case Preparation and Prosecution

Identifies, gathers, assembles, evaluates, and preserves statements, affidavits, and other evidence for use in administrative legal actions. Provides analytical and administrative support for cases referred to the Office of the Attorney General for formal discipline; assists with gathering and organizing case materials, responding to requests for information, preparing background documentation, and monitoring cases through the disciplinary process. May assist with preparation for administrative disciplinary proceedings and provide factual testimony concerning investigative activities performed by the incumbent.

15% (E) Administrative

Reviews and summarizes proposed legislation and related state and federal policy documents affecting the professional fiduciary profession. Researches clearly defined issues, gathers relevant background information, and prepares preliminary analyses and draft recommendations for review by the Bureau Chief.

Assists the Bureau Chief with research and background materials related to regulations, policies, procedures, and enforcement practices. Assists with the preparation of draft summaries, reports, briefing materials, and other documents using established formats and instructions.

Prepares and performs internal administrative functions such as monitoring complaint intake and case-tracking logs, updating the Consumer Affairs System (CAS), maintaining complaint and investigative records, tracking workload

information, submitting timesheets, and maintaining enforcement-related records and reports.

B. Supervision Received

The Enforcement Analyst reports directly to and receives assignments from the Bureau Chief. The incumbent may also receive assignments and direction from the Chief Deputy Director of DCA. The incumbent works collaboratively with other enforcement staff and may consult with experienced staff regarding established investigative practices, applicable laws and regulations, and Bureau processes. Work is reviewed for accuracy, completeness, and adherence to applicable laws, regulations, policies, and procedures.

C. Supervision Exercised

None.

D. Administrative Responsibility

None.

E. Personal Contacts

The incumbent has frequent contact with the Bureau Chief and other DCA employees, Professional Fiduciary licensees, subjects, complainants, or witnesses. Occasional to frequent contact with DCA's Legal Office, Legislative Affairs Division, Division of Investigation (DOI), the Attorney General's Office, various state control agencies, and other federal, state and local law enforcement agencies.

Contacts are generally conducted within established procedures and may be structured or guided. The incumbent consults with the Bureau Chief when contacts involve unusual, complex, sensitive, or potentially controversial matters.

F. Actions and Consequences

Failure to accurately perform the essential functions of this position could result in incomplete or inaccurate case records, delays in complaint processing, loss of time and efficiency, or the need to correct or repeat investigative work. Such errors could impede PFB's ability to meet its regulatory mandates and protect consumers.

G. Functional Requirements

No specific physical requirements. The incumbent works 40 hours per week in an office setting, with artificial light and temperature control. Daily access to and use of a personal computer and telephone is essential. Sitting and standing requirements are consistent with office work. Occasional travel may be required by commercial carrier or auto, whichever method is in the best interest of the state.

H. Other Information

The incumbent 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 investigative matters at all times. The employee is required to maintain regular and consistent attendance; report to work on time; work his/her full day and work under changing priorities and deadlines. In addition, work cooperatively with others and exhibit courteous behavior towards coworkers and the public. Knowledge and proficiency in the use of personal computers and standard office software is desired.

In all job functions, employees are responsible for creating an inclusive, safe, and secure work environment that values diverse cultures, perspectives, and experiences, and is free from discrimination. Employees are expected to provide all members of the public equitable services and treatment, collaborate with underserved communities and tribal governments, and work toward improving outcomes for all Californians.

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Conflict of Interest (COI)
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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.)

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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

Printed Name, Classification

New (10/2026)