

POSITION DUTY STATEMENT

DFPI-HRO 203 (Rev. 08-21)



NAME	EFFECTIVE DATE
CLASSIFICATION TITLE Career Executive Assignment A	POSITION NUMBER 410-165-7500-300
WORKING TITLE Regional Deputy Commissioner	DIVISION/OFFICE/UNIT/SECTION Banking
BARGAINING UNIT M01	GEOGRAPHIC LOCATION Sacramento or San Francisco

General Statement: Under the direct supervision of the Deputy Commissioner of Banking, CEA B, the Regional Deputy Commissioner, CEA A is responsible for general operations and oversight of their respective geographical region as it pertains to licensee condition and staff efficiency and development for the Banking Division. Duties include, but are not limited to, the following:

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

35% - (E) The Regional Deputy Commissioner (RDC) has administrative and supervisory responsibility for a portfolio of licensees, which may include commercial and industrial banks and their holding companies, trust companies and departments, business and industrial development corporations and office of foreign banks, assigned by the Deputy Commissioner (DC). Supervision includes participation in any administrative proceedings taken by the Department to enforce the laws related to the regulation of licensees, taking informal enforcement action and recommending formal enforcement action such as cease and desist orders, officer removal, scheduling special examinations, calling special Board of Director's meetings, etc. Answers the most complex or sensitive inquiries from licensees and their management. Supervises the preparation of examination reports and official documents and handles other important matters assigned by the DC. The RDC makes independent policy and procedural decisions with respect to those licensees under his/her supervision. Coordinates the development of responses to issues of direct concern to the Commissioner. Meets with proposed applicants to discuss fining requirements for the establishment of new financial institutions, entities or services including the supervision of application reviews in connection therewith. Recommends actions to be taken with respect to such applications and approves certain applications under delegated authority from the Commissioner.

30% - (E) The RDC has direct supervisory responsibility over Financial Institutions Managers (FIM) who supervise, manage, and examine a portfolio of licensees. Ensures that FIMS and their assigned examination staff have adequate training and development.

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20% - (E) Participates in the policy making decisions of the Banking Division and may be involved with any number of subjects or projects critical to the operation of the Department. As needed, meets with legislative staff to discuss proposed legislation. Resolves with the Commissioner and Deputy Commissioner, highly sensitive issues that may involve relations with the Governor's Office, other agencies and departments, the legislature, and the public.

10% - (E) Supervise the preparation of official documents; and answer inquiries related to the work of the Department by interested person and organizations in the areas under his/her supervision. Responsible for the development of special studies of a sensitive nature.

5% - (M) Performs other related duties as required.

B. Supervision Received

The Regional Deputy Commissioner, CEA A, reports directly to and receives the majority of assignments from the Deputy Commissioner, Banking, CEA B; however, direction and assignments may also come from the Commissioner or Deputy Commissioners of other department programs.

C. Supervision Exercised

The RDC has direct supervisory responsibility over Financial Institutions Managers (FIM) Portfolio Managers (PM) and Examination Managers (EM) who supervise, manage, and examine a portfolio of licensees. Ensures that FIMS and their assigned examination staff have adequate training and development.

D. Administrative Responsibility

Incumbent will approve direct reports time sheets, travel expense claims, hiring requisitions and procurement requests. Will deal with internal administrative groups as necessary, HR, Business Operations, IT etc.

E. Personal Contacts

Incumbent's most common contacts, in ascending order of importance and sensitivity: 1) peers: employees of DFPI and other federal governmental agencies; 2) Licensees and their legal counsel, departmental applicants and consulting firms, and industry trade groups; 3) DFPI Executive staff; 4) Agency.

F. Actions and Consequences

If the incumbent does not adequately perform their job, the general public may be harmed by institutions that operate in an unsafe and unsound manner. Furthermore,

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financial institution oversight may deteriorate, and examination staff may not receive adequate direction, management or development.

G. Functional Requirements

The incumbent works primarily onsite, with 1 day of telework available, in an office setting, with artificial light and temperature control. The use of a personal computer, telephone 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 light lifting of no more than 25 lbs.

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, under changing priorities, and work irregular hours when workload dictates. Regular attendance and punctuality are essential. Possesses good written and verbal communication skills. The incumbent is required to travel throughout an assigned geographical area by various methods of transportation, both locally and out-of-town, for examination administration (approximately 12 times per year).]

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.

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.

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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