

STATE OF CALIFORNIA
Budget Change Proposal - Cover Sheet
DF-46 (REV 07/23)

Fiscal Year 2024-25	Business Unit Number 1701	Department Department of Financial Protection and Innovation
Hyperion Budget Request Name 1701-008-BCP-2024-GB		Relevant Program or Subprogram 1556-California Consumer Financial Protection

Budget Request Title

Continuation of California Consumer Financial Protection

Budget Request Summary

The Department of Financial Protection and Innovation requests an increase in expenditure authority of \$14.0 million Financial Protection Fund in 2024-25 and in 2025-26 to continue funding for 55.0 positions for the implementation of the California Consumer Financial Protection Law.

Requires Legislation (submit required legislation with the BCP) <input type="checkbox"/> Trailer Bill Language <input type="checkbox"/> Budget Bill Language <input checked="" type="checkbox"/> N/A	Code Section(s) to be Added/Amended/Repealed N/A	
Does this BCP contain information technology (IT) components? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If yes, departmental Chief Information Officer must sign.</i>	Department CIO N/A	Date N/A

For IT requests, specify the project number, the most recent project approval document (FSR, SPR, S1BA, S2AA, S3SD, S4PRA), the approval date, and the total project cost.

Project No. N/A **Project Approval Document:** N/A

Approval Date: N/A **Total Project Cost:** N/A

If proposal affects another department, does other department concur with proposal? ☐ Yes ☐ No

Attach comments of affected department, signed and dated by the department director or designee.

Prepared By Marchael Kelly, Deputy Commissioner	Date 1/10/2024	Reviewed By Suzanne Martindale, Senior Deputy Commissioner	Date 1/10/2024
Department Director Clothilde V. Hewlett, Commissioner	Date 1/10/2024	Undersecretary Melinda Grant	Date 1/10/2024

Department of Finance Use Only

Additional Review: ☐ Capital Outlay ☐ ITCU ☐ FSCU ☐ OSAE ☐ Dept. of Technology

Principal Program Budget Analyst Charlene Manning	Date submitted to the Legislature 1/10/2024
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A. Problem Statement

Chapter 157, Statutes of 2020 (AB 1864) established the California Consumer Financial Protection Law (CCFPL), which expanded the Department of Financial Protection and Innovation's (Department) authority to oversee financial products and services previously not regulated by the Department. The 2020 Budget Act included \$8.3 million Financial Protection Fund and 44.0 positions in 2020-21 and the 2021 Budget Act included \$9 million and 45.0 positions in 2021-22, growing to \$12.1 million and 55.0 positions in 2022-23, and \$12 million and 55.0 positions in 2023-24. The Department requests an increase in expenditure authority of \$14 million Financial Protection Fund in 2024-25 and in 2025-26 to continue funding for 55.0 positions for the implementation of the California Consumer Financial Protection Law. Two years of limited-term funding will allow the Department to further reevaluate the program's workload and resource needs based on additional years of registration and enforcement data.

The CCFPL gives the Department broad authority over covered persons, as defined in Financial Code section 90005(f), engaged in the business of offering and/or providing consumer financial products or services. Pursuant to Financial Code section 90009, the Department is allowed to prescribe rules regarding registration requirements for specified covered persons. Meaning, while the Department has authority over a larger universe of covered persons, only some will be subject to registration under the CCFPL. Covered persons required to register will be identified through consumer complaint analysis, market monitoring and research, and stakeholder input. The Department has the authority to investigate, examine, and require annual reporting for both registered and non-registered covered persons. The Department can also require an annual assessment or registration fee for registrants. The Supervision and Registration of New Covered Persons (NCP) program has been established to implement the CCFPL and perform these supervisory functions.

With the implementation of the CCFPL, the Department was authorized resources for the following:

- The Financial Technology Innovation Office, which is to encourage innovative financial products and services.
- The Consumer Financial Protection Division, which is focused on research, education, and outreach.
- The New Covered Person program, which is to register and supervise new classes of covered persons offering financial services to Californians.
- The Office of the Ombuds, which is to make certain complaints about the Department receive a confidential, full, and impartial review and resolution.
- Enhancements to the Department's enforcement, legal, public affairs, administrative and information technology divisions to support the CCFPL.

The CCFPL program was initially structured based on workload related to an estimated 2,000 registrants that would qualify under the law. While the Department has ongoing position authority for 55.0 positions for the CCFPL program, the funding to support these positions will expire on June 30, 2024. This request includes funding to continue support of the 55.0 positions in 2024-25 and 2025-26. These resources will allow the Department to continue to supervise, examine, and investigate financial products and services that have not previously been regulated by the Department.

The CCFPL is unique in that it provides supervision over a widespread number of industries that were not previously under the purview of the Department and permits registration of financial products and services that will be identified through continuous industry research, market

monitoring, and consumer complaint review. The number of registrants will grow as registration is required for more industries via rulemaking. The current proposed regulations cover businesses providing debt settlement services, student debt relief services, education financing, and income-based advances. The regulations are scheduled to be finalized in March 2024 with Office of Administrative Law (OAL) approval anticipated by May 1, 2024. From approximately April through June 2024, it is estimated that 385 applications will be submitted for this initial group of registration categories. While the estimated 385 initial registrants is lower than the 2,000 registrants previously estimated, additional industries will be included in future rulemaking. It is critical that staffing levels account for growth in registrants as additional financial products and services are identified for registration through future rulemaking.

The NCP program's primary focus has been hiring diverse and talented staff. In March 2023, the program filled all vacancies. The NCP program has created a training and development plan, including an examiner's skills assessment and identification of necessary training curriculum, both internal and external, to provide examiners with the necessary core skills to perform work adequately. Training efforts have also included arming staff with knowledge of CCFPL-related financial products and services, as well as the various federal and state consumer protection laws that may be applicable in the regulation of covered persons. The NCP program continues to work closely with the Department's Information Technology (IT) Division to establish the necessary infrastructure to process applications through the Nationwide Multistate Licensing System and Registry (NMLS), maintain registrant information in our internal databases, improve complaint handling, and receive data from registrants required by our annual reporting requirements. The program has all necessary technological processes fully operational to accept registration applications, once the registration rulemaking is finalized. Lastly, the NCP program has also been in constant communication with the Department's Legal Division on the status of CCFPL-related regulations.

Below is a summary of the status of each currently pending regulation package as well as challenges the Department has faced:

- CCFPL Registration Regulations – The Department anticipates the complete rulemaking package will be filed with the OAL the first quarter of 2024. This package has taken significant time and staff resources to develop because it covers four industries the Department has identified through stakeholder engagement to be areas where increased oversight is necessary and includes many nuanced legal issues. In addition, the Department received an abnormal number of public comments for this rulemaking package, including duplicates created by one of the Earned Wage Access (Income-Based Advances) providers. This resulted in a time-consuming process for the Legal Division to identify unique public comments and respond to each as required.
- Consumer Complaints Regulations – After extensive review of public comments and additional analysis of the fiscal impact, the Department decided to continue working on this rulemaking package through 2024 and break up the provisions into multiple packages to phase-in the requirements. Opposition to these regulations due to its potential economic impact on covered persons has resulted in this rulemaking proceeding at a slower pace than anticipated. This rulemaking package includes substantive requirements for financial services providers to investigate and respond to consumer complaints, and related recordkeeping and reporting standards, was highly controversial. Obstacles were faced once it was determined by an economist that requirements around staffing and recordkeeping would have a major fiscal impact. The Department decided to take a new approach to this rulemaking package, that is statutorily mandated pursuant to Financial

Code section 90008. The Department anticipates finalizing the portion of the regulations for substantive complaint handling standards in early 2025, and the remaining regulations for staffing and recordkeeping after.

- Small Business Unfair, Deceptive, or Abusive Acts or Practices (UDAAP) Protections – The rulemaking package was approved on August 2, 2023, and became effective on October 1, 2023.

California Consumer Financial Protection Law - Resource History

(Dollars in thousands)

Program Budget	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24*
Authorized Expenditures	N/A	N/A	8,444	9,371	12,936	13,007
Actual Expenditures	N/A	N/A	4,619	8,560	11,614	13,007
Revenues	-	-	-	1,986	3,928	4,063
Authorized Positions	N/A	N/A	23.0	14.0	19.0	19.0
Filled Positions	N/A	N/A	0.5	7.4	15.8	19.0
Vacancies	N/A	N/A	22.5	6.6	3.2	0.0

*Projected

Program - Workload History

Workload Measure	2020-21	2021-22	2022-23	2023-24*
Number of New CCFPL Registrants	0	0	0	385
Number of Surrender Requests	0	0	0	0
Number of Amendment Requests	0	0	0	0
Number of Examinations	0	0	0	20

*Projected

Office of the Ombuds - Resource History

(Dollars in thousands)

Program Budget	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24*
Authorized Expenditures	N/A	N/A	88	178	187	187
Actual Expenditures	N/A	N/A	29	178	187	187
Authorized Positions	N/A	N/A	0.5	1.0	1.0	1.0
Filled Positions	N/A	N/A	0.2	1.0	1.0	1.0
Vacancies	N/A	N/A	0.3	0.0	0.0	0.0

*Projected

Office of the Ombuds - Workload History

Workload Measure	2020-21	2021-22	2022-23	2023-24*
Complaints Regarding Department Actions	0	18	24	30
Policy/Procedural Inquiries	0	14	11	15
First-Time Callers Redirected to Consumers Services Office Hotline	0	87	65	60
Referrals to Legal Division	0	12	9	10
Referrals to Other Agencies	0	32	34	30
Other	0	108	153	180

*Projected

Enforcement Division - Resource History

(Dollars in thousands)

Program Budget	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24*
Authorized Expenditures	12,135	12,952	13,834	14,515	16,218	18,681
Actual Expenditures	11,585	12,955	13,834	14,511	16,218	18,681
Authorized Positions	51.0	51.0	51.0	63.5	71.0	75.0
Filled Positions	45.7	48.5	50.7	52.7	57.9	71.0
Vacancies	5.3	2.5	0.3	10.8	13.1	4.0

*Projected

Legal Division - Resource History

(Dollars in thousands)

Program Budget	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24*
Authorized Expenditures	4,769	4,817	4,149	5,518	7,019	7,793
Actual Expenditures	4,769	4,817	4,149	5,581	7,019	7,793
Authorized Positions	18.0	18.0	18.0	25.0	27.0	27.0
Filled Positions	16.5	18.5	16.8	20.0	20.9	26.5
Vacancies	1.5	0.0	1.2	5.0	6.1	0.5

*Projected

Legal - Workload History

Workload Measure	2020-21	2021-22	2022-23	2023-24*
Rulemaking Packages	3	3	3	3
Formal Internal Opinions	9	18	27	27
Informal Internal Opinions	70	140	204	204
External Opinions	3	9	17	17
Public Records Act Requests and Other Information Requests	10	20	30	30

*Projected

Consumer Services Office - Resource History

(Dollars in thousands)

Program Budget	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24*
Authorized Expenditures	2,682	2,452	2,156	2,570	2,835	2,966
Actual Expenditures	2,682	2,452	2,156	2,570	2,835	2,966
Authorized Positions	23.0	22.0	22.0	19.0	19.0	19.0
Filled Positions	19.1	19.6	21.0	16.9	18.0	19.0
Vacancies	3.9	2.4	1.0	2.1	1.0	0.0

*Projected

Consumer Services Office - Workload History

Workload Measure	2021	2022	2023*
Complaints	270	773	1121

*Projected

Office of Public Affairs - Resource History

(Dollars in thousands)

Program Budget	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24*
Authorized Expenditures	N/A	N/A	N/A	8,589	4,205	4,954
Actual Expenditures	N/A	N/A	N/A	8,589	4,205	4,954
Authorized Positions	N/A	N/A	N/A	15.0	18.0	18.0
Filled Positions	N/A	N/A	N/A	7.5	13.4	17.0
Vacancies	N/A	N/A	N/A	7.5	4.6	1.0

*Projected

Office of Public Affairs - Workload History

Workload Measure	2020-21	2021-22	2022-23	2023-24*
Prepare and distribute internal and external communications	8	16	20	22
Research, write and edit speeches	5	14	18	18
COMPILE, EDIT, PUBLISH REPORTS	2	3	6	6
WEBSITE CONTENT CREATION AND EDITING	4	20	48	56
Monitor, interact with news media	0	10	15	15
Plan, develop, and execute statewide consumer campaigns	0	21	66	61
NUMBER OF SOCIAL MEDIA FOLLOWERS ACROSS ALL PLATFORMS	0	8,136	8,950	10,000
Number of social media posts across all platforms	415	286	402	600
Monitor, interact with social media followers	0	21	47	60
Prepare and distribute targeted marketing emails to consumers (including newsletters)	24	24	40	50
Targeted marketing plans executed	1	3	2	4
Newsletter subscribers	13,265	14,343	14,465	15,000
NUMBER OF EVENTS HOSTED OR PARTICIPATED IN	46	167	230	290
Number of Targeted Audience served (Seniors)	4,052	7,115	9,630	10,500
Number of Targeted Audience served (Military/Veterans)	374	497	2,128	3,000
Number of Targeted Audience served (New Americans)	243	5,108	4,337	5,200
Number of Targeted Audience served (Students)	9,755	2,888	15,662	15,800
Number of new partnerships	17	65	60	70

*Projected

Business Operations Office - Resource History

(Dollars in thousands)

Program Budget	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24*
Authorized Expenditures	2,571	2,474	2,750	3,302	3,550	3,600
Actual Expenditures	2,571	2,474	2,750	3,302	3,550	3,600460
Authorized Positions	23.0	23.0	24.0	26.0	27.0	27.0
Filled Positions	21.2	19.5	23.1	24.8	25.9	26.8
Vacancies	1.8	3.5	0.9	1.2	1.1	0.2

*Projected

Business Operations Office - Workload History

Workload Measure	2020-21	2021-22	2022-23	2023-24*
Purchase Orders & Contracts	N/A	N/A	101	168
Facilities Workload (Hours)	120	1,440	1,368	1,440

*Projected

Fiscal Management Office - Resource History

(Dollars in thousands)

Program Budget	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24*
Authorized Expenditures	2,074	2,395	2,095	2,485	2,873	2,900
Actual Expenditures	2,074	2,395	2,095	2,485	2,873	2,900
Authorized Positions	20.5	21.5	22.5	22.5	25.5	25.5
Filled Positions	19.3	18.7	19.9	20.4	22.3	25.5
Vacancies	1.2	2.8	2.6	2.1	3.2	0.0

*Projected

Fiscal Management Office - Workload History

Workload Measure	2020-21	2021-22	2022-23	2023-24*
Processes and reconciles cash, check and ZBA deposits	N/A	N/A	187	190
Process and reconciles ACH payments sent directly to the department	N/A	N/A	556	560
Remits Deposit transactions to State Funds in Fiscal AR module and makes corrections	N/A	N/A	2,500	2,500
Review and Approve Deposits and Remittances	277	293	280	290
Review and approve refunds and dishonored checks	238	231	430	430
Review and approve invoices, receivables, and employee payroll receivables	1,379	1,077	1,027	1,030

*Projected

Human Resource Office - Resource History

(Dollars in thousands)

Program Budget	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24*
Authorized Expenditures	2,454	2,853	3,122	3,728	3,930	3,950
Actual Expenditures	2,454	2,853	3,122	3,728	3,930	3,950
Authorized Positions	18.5	19.5	20.5	26.5	27.5	27.5
Filled Positions	17.3	19.1	19.1	21.2	24.5	27.2
Vacancies	1.2	0.4	1.4	5.3	3.0	0.3

*Projected

Human Resources Office - Workload History

Workload Measure	2020-21	2021-22	2022-23	2023-24*
Department Positions Filled	133	132	211	217
Workers' Comp Claims Open/Claims Litigated	19/8	19/10	23/14	23/15
Formal Discipline Actions Taken	3	1	2	9

*Projected

Information Technology Services Division - Resource History

(Dollars in thousands)

Program Budget	2018-19	2019-20	2020-21	2021-22	2022-23	2023-24*
Authorized Expenditures	6,413	10,724	10,648	11,051	18,883	20,857
Actual Expenditures	6,413	10,724	10,648	11,051	18,883	20,857
Authorized Positions	44.0	45.0	45.0	53.0	53.0	62.0
Filled Positions	41.7	41.6	42.3	43.6	51.2	59.5
Vacancies	2.8	3.4	2.7	9.4	1.8	2.5

*Projected

Information Technology Services Division - Workload History

Workload Measure (In Hours)	2020-21	2021-22	2022-23	2023-24*
Set up and configure PC equipment and onboarding for new hires (onsite & remote users)	1,100	1,250	1,050	1,300
Provide PC maintenance support for new hires (onsite & remote users)	220	680	1,100	1,200
Set up and configure mobile devices for remote users	125	335	130	310
Mobile device maintenance support and management	45	85	210	95
Desktop security patch management	45	480	480	480
Purchase HW/SW	240	680	640	255
Asset Management	40	186	240	260
Total IT Desktop Operations Support	1,815	3,696	3,850	3,900
Set up network profiles and services to onboard new staff	1,250	1,050	925	940
Provide network maintenance support for new staff	526	740	870	855
Total Network Support	1,776	1,790	1,795	1,795
Perform business analysis for new program systems	1,355	1,425	1,550	1,625
Provide business analysis maintenance support for new program systems	435	385	300	225
Total Business Analysis Support	1,790	1,810	1,850	1,850
Perform development and coding for new program systems	0	1,680	980	825
Provide development and coding maintenance support for new program systems	0	90	940	1,125
Total System Development Support	0	1,770	1,920	1,950
Perform quality assurance testing for new program systems	0	1,500	750	625
Provide quality assurance testing maintenance support for new program systems	0	260	1,040	1,175
Total System Testing Support	0	1,760	1,790	1,800
Project management to implement new program functionality and business processes into systems	0	1,562	1,200	1,100
Provide project management maintenance support for new program systems	0	210	580	750
Total Project Management Support	0	1,772	1,780	1,850
Data research, storage, import, analysis, extraction, transformation, and load support	0	480	3,285	5,300
Total Data Warehouse & Business Intelligence Architect/Developer Support	0	480	3,285	5,300

*Projected

B. Justification

To successfully complete the implementation of the CCFPL, the Department requests funding to sustain the following:

- Consumer Financial Protection Division (CFP), which includes a Market Monitoring, Consumer Research, Insights, and Analytics (MMCRIA) office focused on a research and data-driven approach to regulation.
- Supervision and Registration of New Covered Persons program established to register and supervise firms offering financial products and services that were not previously regulated by the Department.

- Office of Financial Technology Innovation (OFTI), which encourages innovative financial products and services.
- Office of the Ombuds focused on providing impartial review and resolution to complaints about the Department.
- Enforcement Division resources to enforce the CCFPL.
- Legal Division resources to provide guidance on the CCFPL.
- Consumer Services Office (CSO) resources to handle increased volume of consumer complaints related to the CCFPL.
- Office of Public Affairs (OPA) resources to provide education and outreach aimed to promote consumer financial protection.
- Administration Division resources in Human Resources Office (HRO), Business Operations Office (BOO), and Fiscal Management Office (FMO) to support CCFPL.
- Information Technology Services Division resources to enhance modernization necessary to implement the CCFPL.

Below is an overview of the positions initially authorized for the CCFPL program and those requested in this BCP. The request represents a net zero change in positions.

Positions Overview

Classification	Existing Authorized Positions	Current Request	Change
Deputy Commissioner – NCP (CEA)	1.0	1.0	0.0
Deputy Commissioner – Sec and Fran Reg (CEA)	1.0	0.0	-1.0
Financial Institutions Manager	1.0	2.0	1.0
Senior Financial Institutions Examiner	2.0	2.0	0.0
Financial Institutions Examiner	4.0	4.0	0.0
Program Total	9.0	9.0	0.0
Research Data Manager	1.0	1.0	0.0
Research Data Specialist III	5.0	5.0	0.0
MMCRIA Total	6.0	6.0	0.0
Deputy Commissioner (CEA B)	1.0	1.0	0.0
Attorney IV	0.0	1.0	1.0
Attorney III	1.0	0.0	-1.0
Research Data Specialist III	1.0	1.0	0.0
Associate Governmental Program Analyst	1.0	1.0	0.0
OFTI Total	4.0	4.0	0.0
Staff Services Manager II (Managerial)	1.0	1.0	0.0
Ombuds Total	1.0	1.0	0.0
Attorney V	1.0	1.0	0.0
Attorney III	1.0	1.0	0.0
Investigator	1.0	1.0	0.0
Enforcement Total	3.0	3.0	0.0
Attorney IV	0.0	2.0	2.0
Attorney III	5.0	3.0	-2.0
Legal Total	5.0	5.0	0.0
Information Officer II (Specialist)	1.0	1.0	0.0
Information Officer I (Specialist)	1.0	1.0	0.0
Staff Services Manager II (Supervisor)	1.0	1.0	0.0

Classification	Existing Authorized Positions	Current Request	Change
Staff Services Manager I (Specialist)	6.0	6.0	0.0
Associate Governmental Program Analyst	2.0	2.0	0.0
OPA Total	11.0	11.0	0.0
Associate Governmental Program Analyst (BOO)	2.0	2.0	0.0
Business Services Assistant (BOO)	1.0	1.0	0.0
Accounting Officer (FMO)	1.0	1.0	0.0
Senior Accounting Officer (FMO)	1.0	1.0	0.0
Associate Budget Analyst (FMO)	1.0	0.0	-1.0
Senior Personnel Specialist (HRO)	2.0	2.0	0.0
Staff Services Manager I (HRO)	0.0	1.0	1.0
Associate Personnel Analyst (HRO)	2.0	2.0	0.0
Administration Total	10.0	10.0	0.0
Information Technology Specialist II	3.0	3.0	0.0
Information Technology Specialist I	3.0	3.0	0.0
Information Technology Services Division Total	6.0	6.0	0.0
Total	55.0	55.0	0.0

Supervision and Registration of New Covered Persons

The NCP Program is responsible for processing registration applications for NCPs and conducting examinations. Although initial application and registrant numbers are expected to be lower than initially anticipated, the original workload estimates were understated and did not account for all tasks required. In addition, the number of registrants will grow as registration is required for more industries via rulemaking.

Application Review

Initial estimates indicated it would take an average of 2 hours to complete registration application review. While CCFPL registration application review time will be less than typical licensing applications, the processing time was understated based on the recent licensing application review time for debt collectors, which is around 20 hours per application. CCFPL applications will take less time than debt collectors, but more than the two hours initially estimated. The Program estimates an average of approximately 10 hours per application.

Examinations

Initial estimates indicated it would take an average of 16 hours to complete an examination of a CCFPL registrant. CCFPL registrants will consist of large, mid-sized, and small companies offering financial products and services that will often result in complex examinations. It is anticipated the average hours to complete examinations will be substantially higher and multiple examiners (as outlined below) will likely be required to complete examinations depending on the size.

- Large Exams: 240-320 hours (2 examiners); 360-480 hours (3 examiners)
- Mid-Sized Exams: 40-80 hours (1 examiner); 80-160 hours (2 examiners)
- Small Exams: 24-40 hours (1 examiner)
- Special Exams: 40-80 hours (1 examiner); 80-160 hours (2 examiners)

Amendments and Surrenders

Initial workload estimates did not include time spent processing registration amendments and surrenders. Each amendment is estimated to take an average of 1.5 hours to process, while each surrender is estimated to take an average of 1 hour.

Annual Reports

Annual reporting requirements were unknown and not included in the initial workload estimates. The review of annual reports has been added to workload estimates. It is estimated that each annual report will take approximately 2 hours to review and work with registrants on any deficiencies noted.

In addition to the above, research to identify new categories of covered persons for registration through rulemaking was also not included in the initial estimates. The NCP program will be required to continuously conduct research to identify new categories of covered persons that may pose a risk to consumers and the Department can use its CCFPL authority to provide the necessary oversight.

The Program requests two years of funding for the staffing outlined below. The number of requested positions matches the initial number of authorized positions. However, based on the Department's experience to best operate the program, the Department requests funding for 1.0 additional Financial Institutions Manager and elimination of the 1.0 Securities and Franchise Regulation Deputy Commissioner position. This will allow the Department to further evaluate the number of registrants and associated resources required. Workload tables are included in Attachments 1-4.

Program Positions

Classification	Existing Authorized Positions	Current Request	Change
Deputy Commissioner – NCP (CEA)	1.0	1.0	0.0
Deputy Commissioner – Sec and Fran Reg (CEA)	1.0	0.0	-1.0
Financial Institutions Manager	1.0	2.0	1.0
Senior Financial Institutions Examiner	2.0	2.0	0.0
Financial Institutions Examiner	4.0	4.0	0.0
Total	9.0	9.0	0.0

Market Monitoring, Consumer Research, Insights and Analytics Office

The MMCRIA serves as the research arm of the Department to study and develop consumer-focused, evidence-based policies. It has three core functions: (1) market monitoring, (2) retrospective reviews, and (3) consumer behavior analysis. All three functions are dedicated to developing policies and providing services that will benefit consumers obtaining financial products and services in California. MMCRIA coordinates with the Department's supervision programs, Enforcement, and OFTI to help identify trends in available data that may indicate consumer risks. The unit provides advice and support to programs on research and data analytics best practices.

MMCRIA's priorities have been building the new program, hiring a diverse and skilled team of researchers, and identifying and procuring the necessary software and resources to effectively perform research and data analytics. As of March 2023, the unit has filled all vacancies. Developing market monitoring functions and strategy and securing infrastructure support have also been major focuses. MMCRIA has developed department-wide standards for conducting market research. MMCRIA has conducted research on several financial products and services to identify trends that can inform policy decision-making. This includes work analyzing earned

wage access data provided through voluntary agreements with providers and Home Equity Investment contracts, or shared appreciation mortgages, to assess consumer use and potential impacts of the product.

Perhaps MMCRIA's most notable accomplishment to date is its contributions to the Department's improvement in consumer complaint handling and internal complaint data reporting. In its development of an internal complaint data reporting process, which was created to inform Department executives, management, and staff of emerging trends and consumer risks based on complaint data for each program area, MMCRIA established standards to clean and validate the complaint data to improve accuracy in reporting and created a data dictionary for system terms to provide consistency in coding complaints. Below are examples of some of the trends identified through the review and analysis of internal complaint data:

1. Throughout the various financial products, services, and law areas regulated by the Department, it was noted that issues with customer service were often reported in complaints. Consumers expressed frustrations with the inability to speak with a live representative and get a resolution to their concerns. The CCFPL Complaints rulemaking package attempts to address this for covered persons under the CCFPL.
2. The analysis of internal complaint data also tracked the trend of the increasing number of complaints involving cryptocurrency scams and fraud. The Enforcement Division has created a "Crypto Scam Tracker" aimed to inform the public of common fraudulent and deceptive practices related to cryptocurrency activity.

MMCRIA is currently heavily involved in the implementation of the Department's enhanced complaint intake portal using the ServiceNow platform and is working to make the changes necessary to address current complaint data limitations and continue to improve future complaint data reporting under the new system.

There is no change to the requested staffing for the MMCRIA. Workload tables are included in Attachments 5 and 6.

MMCRIA Positions

Classification	Existing Authorized Positions	Current Request	Change
Research Data Manager	1.0	1.0	0.0
Research Data Specialist III	5.0	5.0	0.0
Total	6.0	6.0	0.0

Office of Financial Technology Innovation

OFTI is intended to serve external stakeholders by meeting with them and helping them understand the Department's expectations. In addition, OFTI educates Department staff on emerging issues. The primary functions of OFTI are as follows:

1. Engagement: Engage with stakeholders through office hours, events, and meetings to improve outcomes for Californians. OFTI staff regularly meet with industry attorneys, company representatives, lobbyists, consultants, consumer advocates, regulators, academics, and others focused on policy, supervision and understanding of emerging financial products and services. OFTI seeks to match stakeholders to Department resources that help industry stakeholders understand Department expectations and to support regulatory clarity and compliance by industry.

OFTI hosts anywhere from two to a dozen meetings a week with external stakeholders. In 2022, OFTI hosted 247 meetings with 161 different external stakeholders such as venture capitalists, law firms, and industry groups to discuss emerging products and services. In addition, in 2022

OFTI hosted 25 office hour meetings with 32 attendees. Examples of attendees include very early-stage founders looking to launch new businesses as well as attorneys and staff from existing licensees as they look to extend their product lines. As digital asset use increased in 2022, OFTI met with industry groups and consumer advocates, each sharing their insights into this emerging area.

Where appropriate, OFTI staff work to shape public policy regarding emerging products and services through internal efforts, such as cross-organizational working groups, and through external engagements, such as public appearances at fintech events, meetings and talks with state regulatory groups, and meetings with consumer advocates, industry groups and others.

2. Analysis: Provide thoughtful leadership on emerging products and services by synthesizing and sharing information about the risks and benefits of emerging financial products. Through its engagements and own secondary and primary research, OFTI develops and shares information about emerging products and services to serve two goals: 1) To help Department staff understand opportunities and risks of emerging products and services; and 2) To improve public policy, including the regulation and supervision of emerging products and services. This is accomplished through engagement efforts described above, as well as by interviewing experts on emerging products and services, reading and reviewing Congressional and legislation and legislative testimony on fintech topics, attending fintech events, reading think tank, non-profit, industry, and government reports on fintech issues. As an example, in 2022, OFTI reviewed and summarized the multiple crypto asset reports from the White House, issued a crypto asset newsletter for internal Department use, and hosted numerous sessions with crypto asset experts to help Department staff better understand the industry and its impact. In 2023, OFTI has turned its educational focus area to artificial intelligence, hosting lunch and learn sessions with an ethics expert, the Federal Trade Commission's chief technologist, and others.

3. Education: Share information to educate, inform and empower stakeholders to embrace the benefits and mitigate the risks of emerging financial products and services. OFTI shares what it learns through its engagement and research with Department staff and the public to increase understanding of and improve public policy regarding emerging products and services. OFTI hosts internal "Innovation Conversations" for Department staff, where thought leaders share information on emerging products and services. Innovation Conversation topics in 2022 included alternative credit scores, blockchain and crypto assets basics, and how to value and audit crypto assets.

OFTI led the workgroup charged with implementing the Governor's May 2022 Blockchain Executive Order (N-9-22) to Spur Responsible Web3 Innovation, Grow Jobs, and Protect Consumers. As noted above, in 2023, OFTI is working to help our colleagues better understand the ways in which artificial intelligence (AI) is changing financial services. Specifically, OFTI is leading the Department's efforts to effectively coordinate its AI policy, supervision, and regulatory approaches to AI to safeguard consumer protection, promote innovation, and drive operational excellence. OFTI is also leading efforts to verify the Department effectively deploys AI and coordinates its internal approach in a way that is consistent with its approach to licensees and covered persons and grows Department expertise and thought leadership.

The OFTI requests ongoing funding for positions initially approved and a reclassification of the Attorney III to Attorney IV based on the complex workload of the office as outlined above. The attorney upgrade is requested as the work involves emerging areas of the law with precedential significance. The change results in a net zero adjustment to positions. Workload tables are included in Attachments 7 – 9.

OFTI Positions

Classification	Existing Authorized Positions	Current Request	Change
Deputy Commissioner (CEA B)	1.0	1.0	0.0
Attorney IV	0.0	1.0	1.0
Attorney III	1.0	0.0	-1.0
Research Data Specialist III	1.0	1.0	0.0
Associate Governmental Program Analyst	1.0	1.0	0.0
Total	4.0	4.0	0.0

Office of the Ombuds

The Office of the Ombuds (Office) acts as an independent, impartial, and confidential resource to stakeholders to make sure complaints about Department staff or actions receive full and impartial review. Stakeholders include consumers, consumer groups, licensees, prospective licensees, and trade groups. The Office provides a confidential process to stakeholders to resolve problems, questions, and complaints by acting as a liaison between the Department and petitioners. The Office promotes responsiveness and accountability in the Department by identifying and solving the underlying causes of complaints received. The Offices' role is to:

- Establish and maintain a submission portal on the Department's website with contact information.
- Assure safeguards are in place to preserve the confidentiality required to encourage complainants to come forward.
- Listen, gather data, and analyze situations.
- Answer questions, explain Department policies and procedures, and make appropriate referrals.
- Apprise the Department administration of significant trends.
- Recommend changes in policies and procedures to Department executive and management staff.
- Issue reports required by the Department or law.

Since its creation in 2020, the Office has assisted hundreds of stakeholders, including consumers as well as current and prospective licensees, with resolving disputes and providing information on Department policies, procedures, regulations, and laws. The findings of the Office working through those disputes have identified issues and trends that led to recommendations to Executive Leadership and corrective measures to improve the Department's interaction with stakeholders.

The Office is an effective avenue for stakeholders to raise and resolve issues regarding Department operations and is also an important tool that allows the Department to identify trends and possible improvements to Department policies, procedures, and regulations.

There are no requested changes to the original approved position. A workload table is included as Attachment 10.

Office of the Ombuds Position

Classification	Existing Authorized Positions	Current Request	Change
Staff Services Manager II (Managerial)	1.0	1.0	0.0
Total	1.0	1.0	0.0

Enforcement

The Enforcement Division (Enforcement) serves Californians by enforcing the state's financial services laws and regulations. Enforcement supports the Department's mission by promoting innovation and fair and honest business practices, enhancing investor and consumer awareness, as well as preventing potential marketplace risks, fraud, and abuse. The division's primary function is two-fold: investigating and taking enforcement actions against licensees that violate the laws as well as stopping unlicensed activities. Enforcement acts as the Department's litigation arm, conducting all aspects of litigation and review of all CCFPL-related complaints received, including crypto complaints.

Enforcement Division Authority

Enforcement receives information about harmful or illegal financial business activities from investor complaints and referrals from internal programs. The division opens cases to conduct investigations and initiate enforcement actions against both unregistered and registered entities.

The Enforcement Division has the authority to issue enforcement actions, which may include:

- Administrative orders to stop violations of the laws, to deny, censure, suspend, revoke, or take possession of licensees; to levy penalties, to censure, suspend, or bar individuals from regulated industries; and to seek rescission, restitution, or disgorgement on behalf of investors victimized by unregistered or fraudulent conduct.
- Civil actions to cease violations of the law, to appoint receivers over companies, and to obtain equitable remedies including rescission, restitution, and penalties against violators.
- Aiding in the criminal investigation and prosecution of the laws administered by the Department with the appropriate United States Attorney, Attorney General, or District Attorney.

The Department has proven processes for investigating and bringing enforcement actions, including matters involving complex litigation. Under the leadership of its Deputy Commissioner, the Enforcement's team includes managers, attorneys, examiners, investigators, and legal support.

Enforcement Division Caseload

Workload is measured by the number of cases assigned to attorneys (caseload). Cases are generated by referrals from various Department programs requesting enforcement of violations by licensees and through complaints received from consumers regarding unregistered or unlicensed activity.

In 2021, Enforcement attorneys spent 6,960 hours related to work under the CCFPL law. In 2022, attorney CCFPL hours increased to 9,094. Cumulatively, attorneys logged over 16,000 hours on CCFPL cases and related work in the first two years.

Enforcement Caseload

Year	Attorney Hours - CCFPL Law	Personnel Year (1,760 hours)
2021	6,960	3.95
2022	9,094	5.17

In total, Enforcement executed 209 investigative actions and 141 public administrative actions on suspected bad actors in the two years since CCFPL became effective. Some examples of areas of Enforcement investigations opened under CCFPL include crypto asset scams, false and abusive advertising by debt settlement companies, abusive debt collection practices, private college funding using alternative finance options, fintech companies offering bank-like services, unlicensed money transmitter activity, and other financial services like buy-now-pay-later, and advance fee scams that advertise as offering financial products and/or services.

The Department anticipates investigations will continue to be steady and could increase because (1) more complaints will come in as the public learns of the Department's oversight (which is happening already and will continue) and (2) new financial products and services that fall outside of traditionally regulated industries will continue to come into the market, driven on the supply-side by venture capital trying to "disrupt" traditional industries by offering new products and services online or through apps that were traditionally offered mostly through brick and mortar institutions; and on the demand-side by customers who want the ease and convenience of these new products and services, or who don't necessarily trust the traditional institutions and want alternatives to them, but who may not realize these new products and services don't always have the same protections as traditionally regulated one. This influx of new products and services means Enforcement will continue to need resources to analyze them to determine first if they are subject to CCFPL authority, and if so whether enforcement action is necessary which in turn requires Enforcement staff to acquire new skills and training to make such determinations to best protect consumers and investors, and to keep marketplaces safe.

The summary of positions for the Enforcement Division is outlined below. Workload tables are included as Attachments 11 - 12.

Enforcement Positions

Classification	Existing Authorized Positions	Current Request	Change
Attorney V	1.0	1.0	0.0
Attorney III	1.0	1.0	0.0
Investigator	1.0	1.0	0.0
Total	3.0	3.0	0.0

Legal

The Legal Division is responsible for verifying the CCFPL is administered in accordance with legal requirements to protect California consumers from illegal, deceptive, or abusive financial products and services. The division provides the following legal services for the CCFPL:

- Legal guidance on the new financial services laws identified in the CCFPL not previously under the Department's jurisdiction.
- External opinions and interpretations to stakeholders not previously subject to the Department's oversight.

- Develop and issue statements of policy related to the CCFPL, including its enumerated laws and the financial service providers governed by those laws.
- Develop regulatory requirements for industries, covered persons, and financial products and services subject to the Department's jurisdiction for the first time.
- General legal review, support, and oversight related to public records requests, subpoenas for documents, memorandums of understanding with other regulatory bodies, publications, presentations, and testimony resulting from the expanded jurisdiction.
- Legal review and analysis of expanded federal and state legislation related to the new laws captured under the CCFPL.
- Review, adopt, and disapprove, where appropriate, administrative decisions brought under the CCFPL.
- Assess rules, interpretations, and policies issued under the CCFPL; and
- Update requirements and standards through rulemaking or revised guidance.

Based on the amount of legal work needed by other programs of comparable size and the complexities of the program, the Legal Division requires 2.0 Attorney IVs and 3.0 Attorney IIIs positions to support the CCFPL.

Attorney IV and III positions are needed to work on several complex rulemaking packages to address the types of covered persons required to be registered and the procedures all covered persons must follow in handling consumer complaints. Currently, the Legal Division is proposing regulations to cover businesses providing debt settlement services, student debt relief services, education financing, and income-based advances. In its first comment period, the rulemaking package has already generated over 25,000 comments from stakeholders, which will require several attorneys to analyze and respond in writing as required by the Administrative Procedure Act (APA). In the future, additional industries will be included in future rulemaking packages.

Attorney IV positions are indispensable for these complex rulemakings because the Department has found that staff at the Attorney IV level are best positioned, based upon extensive experience, to provide legal project management on complex rulemaking challenges, such as developing creative approaches and comments to respond to complex rulemaking comments and verify that the Department has complied with the APA's detailed requirements.

Legal Division attorneys are also needed to provide legal guidance to internal and external stakeholders, legal support to the New Covered Persons Program in the form of informal legal guidance and written memos regarding questions of interpretation under the CCFPL, to work with the Enforcement Division on issues of interpretation under the CCFPL, and to provide interpretive opinions to covered persons, prospective registrants, and other industry stakeholders to provide clarity under the relatively new law.

The table on the following page summarizes the positions requested by the Legal Division. The number of requested positions matches the initial number of authorized positions. However, based on the Department's experience to best operate the program, the Department requests 2.0 Attorney IV positions, reducing the Attorney III request from 5.0 to 3.0 positions. Workload tables are included as Attachments 13 and 14.

Legal Positions

Classification	Existing Authorized Positions	Current Request	Change
Attorney IV	0.0	2.0	2.0
Attorney III	5.0	3.0	-2.0
Total	5.0	5.0	0.0

Office of Public Affairs

The Office of Public Affairs was established as a critical component in making certain the Department's robust consumer protection efforts reach all communities in California. The OPA team create, manage, and cultivate the primary channels to reach populations identified by the Legislature, including military service members, older adults, students, and new Californians. In addition, the team has expanded its focus to include low-income communities and communities of color.

In 2022, the Communications and Outreach teams of the OPA were combined to promote deep integration and shared learning to drive the Department's consumer outreach efforts, which are characterized by broad-based consumer campaigns, hosting and participating in hundreds of events statewide, and developing partnerships to exponentially expand the reach of the Department.

Financial education and awareness are a critical issue for every Californian, but particularly among the populations the Department serves the most: older adults, new Americans, students, active military and veterans, communities of color, and low-income communities. With the explosion of new technologies such as crypto assets and artificial intelligence and the spread of ever-evolving financial products and services, consumer education has never been more critical for consumer protection. Educating consumers through face-to-face education programs and omni-channel campaigns increases consumer awareness of unfair, deceptive, or abusive practices that could undermine the delivery of trusted financial products and services, the continued functioning of the financial system and sound extensions of credit to consumers.

To meet the demands of the expanded authority and audiences under the Department's purview, OPA has undertaken several high-level initiatives to meet consumers, licensees, and other audiences where they are, including:

- Launched a complete overhaul of the Department's website, including a significant expansion of consumer education content to meet the needs of California's diverse populations statewide.
- Expanded outreach and education programs online and in person. Approximately 105,000 people statewide, up from 17,378 in 2021, attended the Department's targeted outreach and education events focused on reaching specific targeted communities that have been historically underserved by the financial industry: People of Color (primarily Black and Latino), Older Adults/Seniors, Military Servicemembers/Veterans, Students, and New Americans/Immigrants. The OPA hosted, presented in, or staffed a resource table for 517 in-person and virtual events and distributed over 33,400 pieces of educational print materials.
- The Department partnered with three external vendors to help plan and execute a series of multilingual and multichannel marketing, and communications campaigns to inform and empower specific targeted communities.
- Published 19 CCFPL-related press releases in 2022, garnering coverage in local, state,

and national news publications and outlets.

- Increased the Department's reach on social media.

To continue the required workload, the OPA requests ongoing funding for the positions initially authorized as outlined below. Workload tables are included as Attachments 15 – 18.

Office of Public Affairs Positions

Classification	Existing Authorized Positions	Current Request	Change
Information Officer II (Specialist)	1.0	1.0	0.0
Information Officer I (Specialist)	1.0	1.0	0.0
Staff Services Manager II (Supervisor)	1.0	1.0	0.0
Staff Services Manager I (Specialist)	6.0	6.0	0.0
Associate Governmental Program Analyst	2.0	2.0	0.0
Total	11.0	11.0	0.0

In addition, continued resources are required to fund print materials, translation services, outreach events and materials, social media campaigns, and consumer education campaigns. The Department initially received \$1 million for these purposes. Continued funding is requested as outlined below:

Office of Public Affairs Funding

Description	Annual Cost
Print Materials	\$150,000
Translation services	\$10,000
Outreach events and materials	\$40,000
Social media outreach	\$50,000
Consumer education campaigns	\$750,000
Total	\$1,000,000

Administration

Business Operations Office Acquisitions Services Unit

1.0 Business Service Assistant and 1.0 AGPA were authorized in the administration division to support the CCFPL program. The additional positions processed an additional 101 acquisitions in 2022-23 and acquisitions are projected to continue to increase going forward. The Department requests continued funding for these 2.0 positions.

Business Operations Office Facilities Management Unit

1.0 AGPA was authorized to handle the increased facilities workload from the CCFPL. This position is the subject matter expert and leads in various facilities matters including Robin Return, City Innovate, and Business Operations Ticketing System (BOTS) ticket requests. The Department requests continued funding for this 1.0 position.

Fiscal Management Office

Accounts Receivable was authorized 1.0 Accounting Officer to manage the increased number of assessments, cash receipts transactions, and reconciliations due to the new program and added licensees. The position was filled as 1.0 Accountant Trainee to allow for departmental training and will be promoted to the Accounting Officer (Specialist) level after

one year of successful training. The Department requests continued funding for this 1.0 position.

Accounts Receivable was also authorized 1.0 Senior Accounting Officer (Specialist) position to perform review and approval of transactions as well as month-end and year-end processes, provide guidance to staff, and develop and update procedures. The Department requests continued funding for this 1.0 position.

Human Resources Office

HRO was authorized for 4.0 positions to assist with the CCFPL staff as follows: 2.0 Senior Personnel Specialists and 2.0 Associate Personnel Analyst (APA). In addition, 1.0 Associate Budget Analyst position initially authorized under the CCFPL for FMO was transferred to HRO and reclassified as a Staff Services Manager I (SSMI) position to manage the newly developed Career Outreach and Development team tasked with focused recruitment efforts based on the fast growth of the Department. These 5.0 positions were used to onboard employees and implement the CCFPL program. In concert with this Department growth, the workload performed by these positions in areas of recruitment, employee support, and labor issues is ongoing and continues to increase. The Department requests continued funding for 5.0 HRO positions.

Workload tables for the Administration positions are included as Attachments 19 – 25.

Administration Positions

Area	Classification	Existing Authorized Positions	Current Request	Change
BOO	Associate Governmental Program Analyst	2.0	2.0	0.0
BOO	Business Services Assistant	1.0	1.0	0.0
FMO	Accounting Officer	1.0	1.0	0.0
FMO	Senior Accounting Officer	1.0	1.0	0.0
FMO	Associate Budget Analyst	1.0	0.0	-1.0
HRO	Senior Personnel Specialist	2.0	2.0	0.0
HRO	Staff Services Manager I	0.0	1.0	1.0
HRO	Associate Personnel Analyst	2.0	2.0	0.0
	Total	10.0	10.0	0.0

Information Technology Services Division

When the CCFPL program was established in 2020-21, the Department was authorized 6.0 Information Technology (IT) positions. The 6.0 IT positions comprised of 3.0 Information Technology Specialist I (ITS I) and 3.0 Information Technology Specialist II (ITS II) positions which were broken down into the following roles and support services:

CCFPL IT Classifications and Roles

IT Classification	Position Role
Information Technology Specialist I (ITS I)	IT Desktop Operations Support
Information Technology Specialist I (ITS I)	Business Analyst Support
Information Technology Specialist I (ITS I)	System Testing Support
Information Technology Specialist II (ITS II)	Network Support
Information Technology Specialist II (ITS II)	System Developer Support
Information Technology Specialist II (ITS II)	Project Management Support

1.0 ITS I - IT Desktop Operations Support

ITSD received 1.0 ITS I position dedicated to performing IT desktop support. As the CCFPL program became fully staffed and operational, from 2020-21 through 2021-22, the Department's IT Division experienced a 104 percent increase in IT desktop support hours. The complexity of managing the Department's IT assets has also increased as security requirements evolved with the implementation of Cal-Secure Phase 2 (2022-23). The workload associated with supporting the Department's IT asset management program has increased from 5,900 hours to 7,810 hours, or 32 percent over the past five years.

1.0 ITS I - Business Analyst and 1.0 ITS I - System Tester

The Business Analyst (BA) and System Tester will continue to provide support and work closely with the CCFPL program Subject Matter Experts (SMEs) to gather business requirements, perform alternative system solutions analysis, provide automated process solutions, provide system development and production testing to incorporate CCFPL business functionalities into an electronic database system.

1.0 ITS II – Network, 1.0 ITS II – System Developer, and 1.0 ITS II – Project Manager

The network, system developer, and project manager originally authorized will continue to provide IT network access, bandwidth, data storage, data backup, system programming, project management, and associated network and system maintenance support for the CCFPL program.

Workload tables are included as Attachment 26.

Information Technology Services Division Positions

Classification	Existing Authorized Positions	Current Request	Change
Information Technology Specialist II	3.0	3.0	0.0
Information Technology Specialist I	3.0	3.0	0.0
Total	6.0	6.0	0.0

In 2021-22 and 2022-23, ITSD worked with the CCFPL program to develop, implement, and maintain their business processes in the Department's Customer Relationship Management (CRM) system, DOCQNET. In 2024-25 and beyond, ITSD anticipates program requests for new business process requirements will fall under standard system maintenance. In 2021-22, due to the significant amount of data collected and analyzed by the CCFPL program, ITSD secured a cloud-based service contract to build servers and store data. The cost for cloud services is an ongoing annual expense.

The Department requests funding of \$1 million in 2024-25 and 2025-26 for IT hardware and software, maintenance, support, and cloud services to continue IT system operations as follows:

CCFPL Projected IT Data Costs

Description	Annual Cost
Hardware/Software	\$120,000
System Maintenance	\$230,000
Technical Enterprise Support (Enterprise Architect, Data Architect, Business Analysis)	\$300,000
Cloud Services (Test/Stage/Production Power BI/Gateway Servers and Data Storage/Backup)	\$350,000
Total	\$1,000,000

C. Departmentwide and Statewide Considerations

Through careful regulation, enforcement, and consumer interaction, the Department serves as a crucial consumer protector. Financial services impact all Californians be it through a bank, credit union, lender, debt collector, or the myriad of other financial services in California. The department stands as the most visible and accessible government entity working with consumers and other stakeholders to promote fair and honest business practices and preventing potential marketplace risk, fraud, and abuse.

Achieving these goals is even more important in low-income households, diverse communities, or other vulnerable populations. Bad actors often target communities they believe are most vulnerable to fraud, deception, or a lack of understanding. This includes low-income households, immigrant communities, students, veterans, and the elderly.

The CCFPL was created to pivot the Department to a more consumer focused lens. Not only does this law provide the Department with the authority to regulate previously unregulated financial products and services, but it also instructs the Department to outreach to historically underserved communities. Through CCFPL, the Department is better positioned to work with and alongside communities to effectively protect our most vulnerable consumers.

This proposal is in alignment with California's commitment to protect consumers from unfair, deceptive, and abusive acts and practices. The requested positions and ongoing funding will enable the Department to finalize implementation of the CCFPL. This proposal will benefit California residents by enhancing consumer protections in financial products and services that have historically had little to no oversight or regulation.

This proposal is consistent with the Department's mission and strategic plan to encourage responsible innovation in financial services, promote fair and honest business practices by preventing potential marketplace risks, fraud, and financial abuse, and creating a diverse and fair marketplace with affordable financial product options that meet the unique needs of vulnerable communities.

This proposal has no impact on other state or federal departments. When appropriate, the Department will coordinate with other state and federal regulators to pool resources and conduct examinations of covered persons. Registrants will be assessed annually on a pro rata basis. Examination costs are fully reimbursed to the Department by the registrants.

This proposal will likely receive support from consumer advocacy groups because it provides the Department resources to fulfill its obligations and increase consumer protection under the CCFPL. Many industries may likely welcome fair regulation of their businesses, but others may be opposed.

D. Outcomes and Accountability

Supervision and Registration of New Covered Persons

The broad and unique nature of the CCFPL will require a phased in approach to continuously add new categories of financial products and services for registration. The requested resources will enable the Department to successfully implement the CCFPL and meet its registration and examination obligations of covered persons, provide necessary consumer protections, and mitigate consumer risk in the financial marketplace.

Program - Projected Outcomes

Workload Measure	2023-24	2024-25	2025-26	2026-27	2027-28	2028-29
Total Registrants	385	405	1,000	1,050	1,600	1,680
Number of New CCFPL Registrants	385	40	615	100	600	160
Number of Surrender Requests	0	20	20	50	50	80
Number of Amendments	0	60	60	150	150	240
Number of Examinations	20	40	100	100	160	170

Legal - Projected Outcomes

Workload Measure	2023-24	2024-25	2025-26	2026-27	2027-28	2028-29
Rulemaking Packages	3	3	3	3	3	3
Formal Internal Opinions	27	27	27	27	27	27
Informal Internal Opinions	204	204	204	204	204	204
External Opinions	17	17	17	17	17	17
Public Records Act Requests and Other Information Requests	30	30	30	30	30	30

Office of Public Affairs - Projected Outcomes

Workload Measure	2023-24	2024-25	2025-26	2026-27	2027-28	2028-29
Prepare and distribute internal and external communications	22	24	26	28	30	30
Research, write and edit speeches	18	22	24	24	24	24
Compile, edit, publish reports	6	10	11	12	12	12
Website content creation and editing	56	36	36	36	36	36
Monitor, interact with news media	15	15	18	24	24	24
Plan, develop, and execute statewide consumer campaigns	61	48	50	52	54	56
Number of social media followers across all platforms	10,000	11,000	12,000	13,000	14,000	15,000
Number of social media posts across all platforms	600	1,000	1,200	1,200	1,200	1,200
Monitor, interact with social media followers	60	100	160	200	200	200
Prepare and distribute targeted marketing emails to consumers (including newsletters)	50	60	60	60	60	60
Targeted marketing plans executed	4	5	6	6	6	6
Newsletter subscribers	15,000	16,000	17,000	18,000	19,000	20,000
Number of events hosted or participated in	290	300	310	320	330	330
Number of Targeted Audience served (Seniors)	10,500	11,000	11,500	12,000	12,500	13,000
Number of Targeted Audience served (Military/Veterans)	3,000	3,200	3,400	3,600	3,800	4,000
Number of Targeted Audience served (New Americans)	5,200	5,400	5,600	5,800	6,000	6,200
Number of Targeted Audience served (Students)	15,800	16,000	16,200	16,400	16,600	16,800
Number of new partnerships	70	75	80	85	90	95

Consumer Services Office - Projected Outcomes

Workload Measure	2023	2024	2025	2026	2027	2028
Complaints	1,121	1,401	1,751	2,189	2,736	3,420

Business Operations Office - Projected Outcomes

Workload Measure	2023-24	2024-25	2025-26	2026-27	2027-28	2028-29
Purchase Orders & Contracts	168	171	175	179	183	186
Facilities Workload (Hours)	1,440	1,512	1,558	1,667	1,750	1,838

Fiscal Management Office - Projected Outcomes

Workload Measure	2023-24	2024-25	2025-26	2026-27	2027-28	2028-29
Processes and reconciles cash, check and ZBA deposits	190	190	190	190	190	190
Process and reconciles ACH payments sent directly to the department.	560	560	560	560	560	560
Remits Deposit transactions to State Funds in Fiscal AR module and makes corrections.	2,500	2,500	2,500	2,500	2,500	2,500
Review and Approve Deposits and Remittances	290	300	300	300	300	300
Review and approve refunds and dishonored checks.	430	430	430	430	430	430
Review and approve invoices, receivables, and employee payroll receivables.	1,030	1,030	1,030	1,030	1,030	1,030

Human Resources Office - Projected Outcomes

Workload Measure	2023-24	2024-25	2025-26	2026-27	2027-28	2028-29
Department Positions Filled	217	260	300	300	300	300
Workers' Comp Claims Open/Claims Litigated	25/15	32/20	38/26	43/32	48/38	54/44
Formal Discipline Actions Taken	9	15	18	21	24	27

Information Technology Services Division - Projected Outcomes

Workload Measure	2023-24	2024-25	2025-26	2026-27	2027-28	2028-29
Set up and configure PC equipment and onboarding for new hires (onsite & remote users)	1,300	1,313	1,326	1,339	1,352	1,366
Provide PC maintenance support for new hires (onsite & remote users)	1,200	1,212	1,224	1,236	1,248	1,260
Set up and configure mobile devices for remote users	310	313	316	319	322	325
Mobile device maintenance support and management	95	105	116	128	141	155
Desktop security patch management	480	485	490	495	500	505
Purchase HW/SW	255	258	261	264	267	270
Asset Management	260	312	305	297	289	279
Total Desktop Support	3,900	3,998	4,038	4,078	4,119	4,160
Set up network profiles and services to onboard new staff	940	949	958	968	978	988
Provide network maintenance support for new staff	855	891	900	908	917	926
Total Network Support	1,795	1,840	1,858	1,876	1,895	1,914
Perform business analysis for new program systems	1,625	1,641	1,657	1,674	1,691	1,708
Provide business analysis maintenance support for new program systems	225	255	258	260	262	265
Total Business Analysis Support	1,850	1,896	1,915	1,934	1,953	1,973
Perform development and coding for new program systems	825	833	841	849	857	866
Provide development and coding maintenance support for new program systems	1,125	1,166	1,178	1,190	1,202	1,214
Total System Development Support	1,950	1,999	2,019	2,039	2,059	2,080
Perform quality assurance testing for new program systems	625	631	637	643	649	655
Provide quality assurance testing maintenance support for new program systems	1,175	1,214	1,226	1,239	1,252	1,265
Total System Testing Support	1,800	1,845	1,863	1,882	1,901	1,920
Project management to implement new program functionality and business processes into systems	1,100	1,111	1,122	1,133	1,144	1,155
Provide project management maintenance support for new program systems	750	785	793	801	809	818
Total Project Management Support	1,850	1,896	1,915	1,934	1,953	1,973

E. Implementation Plan

Upon approval, the Department will recruit, and fill positions as outlined in the BCP. The additional staff will be accommodated by existing facilities.

F. Supplemental Information (If Applicable)

See the attachments section for fiscal detail, organizational charts, and workload tables.

BCP Fiscal Detail Sheet

BCP Title: Continuation of California Consumer Financial Protection

BR Name: 1701-008-BCP-2024-GB

Budget Request Summary

Personal Services

Personal Services	FY24 Current Year	FY24 Budget Year	FY24 BY+1	FY24 BY+2	FY24 BY+3	FY24 BY+4
Earnings - Permanent	0	5,756	5,756	0	0	0
Total Salaries and Wages	\$0	\$5,756	\$5,756	\$0	\$0	\$0
Total Staff Benefits	0	3,417	3,417	0	0	0
Total Personal Services	\$0	\$9,173	\$9,173	\$0	\$0	\$0

Operating Expenses and Equipment

Operating Expenses and Equipment	FY24 Current Year	FY24 Budget Year	FY24 BY+1	FY24 BY+2	FY24 BY+3	FY24 BY+4
5301 - General Expense	0	220	220	0	0	0
5320 - Travel: In-State	0	64	64	0	0	0
5320 - Travel: Out-of-State	0	16	16	0	0	0
5322 - Training	0	63	63	0	0	0
5324 - Facilities Operation	0	605	605	0	0	0
5340 - Consulting and Professional Services - External	0	1,000	1,000	0	0	0
5342 - Departmental Services	0	1,870	1,870	0	0	0
5346 - Information Technology	0	1,000	1,000	0	0	0
Total Operating Expenses and Equipment	\$0	\$4,838	\$4,838	\$0	\$0	\$0

Total Budget Request

Total Budget Request	FY24 Current Year	FY24 Budget Year	FY24 BY+1	FY24 BY+2	FY24 BY+3	FY24 BY+4
Total Budget Request	\$0	\$14,011	\$14,011	\$0	\$0	\$0

Fund Summary

Fund Source

Fund Source	FY24 Current Year	FY24 Budget Year	FY24 BY+1	FY24 BY+2	FY24 BY+3	FY24 BY+4
State Operations - 3363 - Financial Protection Fund	0	14,011	14,011	0	0	0
Total State Operations Expenditures	\$0	\$14,011	\$14,011	\$0	\$0	\$0
Total All Funds	\$0	\$14,011	\$14,011	\$0	\$0	\$0

Program Summary

Program Funding

Program Funding	FY24 Current Year	FY24 Budget Year	FY24 BY+1	FY24 BY+2	FY24 BY+3	FY24 BY+4
1556 - California Consumer Financial Protection	0	14,011	14,011	0	0	0
Total All Programs	\$0	\$14,011	\$14,011	\$0	\$0	\$0

Personal Services Details

Salaries and Wages

Salaries and Wages	FY24 Current Year	FY24 Budget Year	FY24 BY+1	FY24 BY+2	FY24 BY+3	FY24 BY+4
-	0	5,756	5,756	0	0	0
Total Salaries and Wages	\$0	\$5,756	\$5,756	\$0	\$0	\$0

Staff Benefits

Staff Benefits	FY24 Current Year	FY24 Budget Year	FY24 BY+1	FY24 BY+2	FY24 BY+3	FY24 BY+4
5150900 - Staff Benefits - Other	0	3,417	3,417	0	0	0
Total Staff Benefits	\$0	\$3,417	\$3,417	\$0	\$0	\$0

Total Personal Services

Total Personal Services	FY24 Current Year	FY24 Budget Year	FY24 BY+1	FY24 BY+2	FY24 BY+3	FY24 BY+4
Total Personal Services	\$0	\$9,173	\$9,173	\$0	\$0	\$0

Attachment 1

NCP Program – 1.0 Deputy Commissioner (CEA B) Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Plan, organize, and oversee the implementation of the CCFPL through the operations of the Supervision and Registration of New Covered Persons (NCP) program. Implement policies, strategies, and procedures, and make continuous improvements to promote efficient operations and effective regulation of covered persons.	12	80	960
Plan, organize, and oversee operations of the Market Monitoring, Consumer Research, Insights and Analytics (MMCRIA) unit (Research Team).	12	40	480
Consults with the executive team to formulate, develop, and evaluate department policies related to the monitoring, enforcement, and resulting actions of unregulated financial service providers. Make policy recommendations to executive staff.	12	16	192
Direct supervision of NCP and MMCRIA managers and review completed work; one-on-one meetings and other administrative duties.	12	16	192
Total Hours	-	-	1,824
Number of positions needed (1,760 hours per year position)	-	-	1.0
Number of positions requested	-	-	1.0

Attachment 2

NCP Program – 2.0 Financial Institutions Manager Workload Table

Task	2024-25 Tasks per Year	2024-25 Hours per Task	2024-25 Total Hours per Year	2025-26 Tasks per Year	2025-26 Hours per Task	2025-26 Total Hours per Year
Plan, direct, and manage all registration and examination activities for the CA Consumer Financial Protection Law (CCFPL)/Supervision and Registration of New Covered Persons (NCP) program, including hiring, training, monitoring, coaching, communicating instructions, preparing performance evaluations.	12	160.0	1,920	12	120.0	1,440
Review and approve completed registration applications; provide the final determination when a registration will be issued under the law.	40	1.0	40	615	1.0	615
Review and approve completed requests for amendments.	60	0.5	30	60	0.5	30
Review and approve completed requests for surrenders.	20	0.5	10	20	0.5	10
Prepare and update manuals for registration and examination procedures. Review new or amended laws or legislation to determine the impact on the program. Comply with existing laws and legislation by incorporating new policy/procedures or changes in existing policies/procedures.	12	40.0	480	12	40.0	480
Direct supervision of examiners; assign registration processing tasks, such as new application, amendment, and surrender requests; review examination work papers and reports; prepare enforcement memoranda and letters to registrants and public members on various matters relating to the regulation under the CCFPL. Reviews and determines when an administrative action is warranted and the extent of such action for violations found during the examination or complaint process.	12	80.0	960	12	100.0	1,200
Regularly meet with Deputy Commissioner to discuss registration and examination status, complex issues, personnel matters, and emerging trends identified that may	12	10.0	120	12	10.0	120

Task	2024-25 Tasks per Year	2024-25 Hours per Task	2024-25 Total Hours per Year	2025-26 Tasks per Year	2025-26 Hours per Task	2025-26 Total Hours per Year
require future registration or new financial products and services.						
Total Hours	-	-	3,560	-	-	3,895
Number of positions needed (1,760 hours per year position)	-	-	2.0	-	-	2.2
Number of positions requested	-	-	2.0	-	-	2.0

Attachment 3

NCP Program – 2.0 Senior Financial Institutions Examiner Workload Table

Task	2024-25 Tasks per Year	2024-25 Hours per Task	2024-25 Total Hours per Year	2025-26 Tasks per Year	2025-26 Hours per Task	2025-26 Total Hours per Year
Review and process registration applications.	10	15	150	154	15	2,310
Assist the Deputy Commissioner and Financial Institutions Manager to develop regulatory and registration forms, applications, and procedural manuals for registration and examination.	12	16	192	-	-	-
Conduct full-scope, complex examinations, prepare examination reports, and review responses. Act as an examiner in charge for large to midsize companies.	12	160	1,920	30	160	4,800
Conduct special examinations (resulting from complaints, tip-offs, or Department findings), refer licensees to enforcement, draft enforcement referral memos detailing violations and what remedies should be sought, work with enforcement attorney and investigator assigned to case, work with enforcement attorney on investigation, testify at hearing as expert witness.	4	80	320	10	80	800
Review annual reports and other reports required by the Commissioner; calculate annual assessments.	405	2	810	1000	2	2,000
Attend trainings to understand applicable federal laws, state laws, and industry changes; provide initial and on-going training to new hires; train and mentor the Financial Institution Examiners.	12	24	288	12	8	96
Total Hours	-	-	3,680	-	-	10,006
Number of positions needed (1,760 hours per year position)	-	-	2.1	-	-	5.7
Number of positions requested	-	-	2.0	-	-	2.0

Attachment 4

NCP Program – 4.0 Financial Institutions Examiner Workload Table

Task	2024-25 Tasks per Year	2024-25 Hours per Task	2024-25 Total Hours per Year	2025-26 Tasks per Year	2025-26 Hours per Task	2025-26 Total Hours per Year
Review and process registration applications.	30	7.0	210	461	7.0	3,227
Review and process amendments.	60	1.0	60	60	1.0	60
Review and process surrenders.	20	0.5	10	20	0.5	10
Conduct full-scope, less complex examinations, prepare examination reports, and review responses. Act as an examiner in charge for small to midsize companies.	24	80.0	1,920	60	80.0	4,800
Serve as assisting examiner to SFIE on larger, more complex examinations.	16	160.0	2,560	40	160.0	6,400
Review CCFPL related complaints, including for the purposes of conducting research to identify new industries for potential registration.	12	80.0	960	12	80.0	960
Attend trainings to understand applicable federal laws, state laws, and industry changes, including on-the-job training provided internally.	12	16.0	192	12	8.0	96
Total Hours	-	-	5,912	-	-	15,553
Number of positions needed (1,760 hours per year position)	-	-	3.4	-	-	8.8
Number of positions requested	-	-	4.0	-	-	4.0

Attachment 5

MMCRlA – 1.0 Research Data Manager Workload Table

Task	Number of Tasks per Year	Hours per Task	Total Hours per Year
Plan, organize, and oversee operations of the MMCRlA unit (Research Team), including hiring, training, managing financial industry research projects, identifying appropriate research software and tools for unit, and other administrative duties.	12	80	960
Supervise team of researchers; issue research project assignments and review completed work of staff including data research working files and reports.	12	40	480
Consult with, advise, and provide recommendations to the Department's executive management and staff and other stakeholders.	12	10	120
Develop partnerships with state and federal government entities, industry, universities, etc. Identify areas where partner data can be utilized.	12	10	120
Create internal and external publications that inform the Department and public and can be utilized in policy making decisions.	12	10	120
Total Hours	-	-	1,800
Number of positions needed (1,760 hours per position)	-	-	1.0
Number of positions requested	-	-	1.0

Attachment 6

MMCRRA – 5.0 Research Data Specialist III Workload Table

Task	Number of Tasks per Year	Hours per Task	Total Hours per Year
Conduct studies and research on consumer behavior related to financial transactions, including market research techniques, including surveys, focus groups, interviews, observations, experiments and field trials, analysis of other studies, academic publications, and other relevant literature. Prepare reports with analyses and policy recommendations based on research observations.	12	200	2,400
Study and prepare reports on mainstream and alternative financial products currently in the market. Analyze consumer risks and benefits, consumer behavior, market penetration, competition, and any other factors relevant to financial health of Californians and the financial marketplace in California.	12	150	1,800
Study and report on developments in markets for emerging consumer financial products and services, including consumer risks and benefits. Develop policy recommendations regarding oversight of products.	12	150	1,800
Perform retrospective and historical analyses of the development and life cycles of identified financial products and services, consumer risks and benefits, the impact of unregulated financial products and services, and the oversight and experience of other states and jurisdictions. Compile and assimilate past studies and literature, industry practices, and best practices developed by industries. Develop lessons on policy recommendations based on these studies.	12	100	1,200
Conduct analyses of market trends in financial services, including consumer credit trends and mortgage performance trends, and the risks and benefits to consumers. Document findings and make policy recommendations.	12	100	1,200
Prepare and publish internal and external reports.	12	40	480
Total Hours	-	-	8,880
Number of positions needed (1,760 hours per position)	-	-	5.0
Number of positions requested	-	-	5.0

Attachment 7

OFTI – 1.0 Deputy Commissioner Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Develop strategy and tactics the office Engagement, Thought Leadership and Coordination	1	100	100
Meet with external stakeholders	50	5	250
Research, draft and otherwise investigate fintech	50	20	1,000
Management and supervision of OFTI staff	50	21	1,050
Total Hours	-	-	2,400
Number of positions needed (1,760 hours per year position)	-	-	1.4
Number of positions requested	-	-	1.0

OFTI – 1.0 Attorney IV Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Analysis of financial law	75	10	750
Tracking relevant legal developments	50	7	350
Working across the Department to coordinate policy	100	5	500
Engaging external stakeholders	50	2	100
Collaboration with other financial regulators	20	3	60
Total Hours	-	-	1,760
Number of positions needed (1,760 hours per position)	-	-	1.0
Number of positions requested	-	-	1.0

Attachment 8

OFTI – 1.0 Research Data Specialist III Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Research - leads, plans, coordinate, and conduct research projects.	147	3	441
Engagement- identify new strategic opportunities, including ways to facilitate access to beneficial products, improve competition, remove unnecessary regulatory burdens, and enhance consumer protections.	176	2	352
Education - Identify relationships and emerging data trends in rapidly evolving financial industries to forecast potential risks and identify new strategic opportunities.	132	2	264
Reports - performs data collection and analysis in response to ad-hoc research and reporting requests.	88	1	88
Recommendation - Consults and advises OFTI and department on research methodology, project feasibility, and the probable risks of new and innovative technologies that impact programs and policies, makes recommendations through oral and written communications	88	1	88
Advises - Consult with OFTI and departmental staff, advise, and provide reports, findings presentations and recommendations to OFTI, departmental staff etc.	88	1	88
Collaboration - Works closely with other division partners conducting evaluations of departmental programs.	88	1	88
Administrative Support - provide support to OFTI and departmental staff on projects, peer review etc.	88	1	88
Training - to be current on research literature, market research, fintech, software etc.	30	3	90
Projects - coordinate OFTI projects and projects on emerging fintech related topics.	30	3	90
Analyses - OFTI data collection and analysis, analyses of emerging data trends. Utilize quantitative and qualitative research methodologies and techniques to collect, analyze and interpret data related to innovative financial technology.	30	3	90
Total Hours	-	-	1,767
Number of positions needed (1,760 hours per position)	-	-	1.0
Number of positions requested	-	-	1.0

Attachment 9

OFTI – 1.0 Associate Governmental Program Analyst Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Manage OFTI inbox respond to inquiries within 2 business days	120	1	120
Maintain HubSpot database of OFTI contacts, meetings, speaking engagements, events, outcomes, etc.	260	1	260
Track office interactions (meetings, speaking events, internal education sessions)	260	1	260
Manage office hours (schedule meetings, email reminders and thank you letters, host Zoom)	24	1	24
Coordinate brown bag events (schedule meetings, invite staff, collect questions, host Zoom, collect and analyze participation outcomes)	8	10	80
Office procurement (subscriptions, office supplies)	12	1	12
Coordinate travel via Concur and CalATERS	12	2	24
Research and compile facts on topics relevant to OFTI (Example: artificial intelligence in financial services, regTech for financial data privacy and protection)	12	40	480
Develop, issue, and analyze surveys for office insights or feedback	2	15	30
Research and intake for external meetings	200	1	200
Research fintech events/possible speaking opportunities for OFTI	20	2	40
Highlight relevant news articles to share back	120	2	240
Total Hours	-	-	1,770
Number of positions needed (1,760 hours per position)	-	-	1.0
Number of positions requested	-	-	1.0

Attachment 10

Office of the Ombuds – 1.0 Staff Services Manager II (Managerial) Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Listen, gather data, and analyze complainant problems, questions, or complaints. Consult with Department staff as needed to understand policies, practices, and procedures.	30	30	900
Answer questions, explain Department policies and procedures, and make appropriate referrals and recommendations. Resolve problems, questions, and complaints.	20	30	600
Prepare policy and procedure recommendations to Department executive and management staff. Issue reports required by the Department or law.	4	75	300
Total Hours	-	-	1,800
Number of positions needed (1,760 hours per year position)	-	-	1.0
Number of positions requested	-	-	1.0

Attachment 11

Enforcement – 1.0 Attorney V Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Handles all heavy civil and criminal prosecutions as a top litigator in the Department with an exceptional level of litigation experience that surpasses all others.	9	50	450
Work directly with Executive Management on developing proactive litigation agenda to deter external stakeholders from violations for the prevention of investor harm.	1	120	120
Effectively mentor less experienced staff, and proactively identify new areas for training and development both internal and external stakeholders and volunteer for opportunities to conduct training. Use litigation experience and subject matter expertise to develop trainings on litigation skills to Department attorneys, advise and create exam protocols that will lead to enhanced litigation strategies against licensees and unlicensed persons.	9	20	180
Independently identify and apply relevant areas of law that apply to stakeholders and formulate litigation strategies and advise Executive Management on litigation options.	36	10	360
Independently prepare clear, effective, and objective opinion and written analyses on the most complex and sensitive and high-profile matters.	36	10	360
Independently coordinate the production of discoverable documents and testimony, analyze documents, and responds to discovery requests to determine privileges and objections and engage in extensive administrative and civil discovery, including taking investigative testimony and conducting depositions, preparing, and responding to requests for admissions and propounding and answering interrogatories.	9	20	180
Acts as the subject matter expert by providing expertise in investigation and enforcement of the laws under the department's jurisdiction. Works directly with the Commissioner, Deputy Commissioners, General Counsel, and other Executive staff on special projects which deal with legal analysis on pending investigations and litigations, legislative analysis of proposed new and revised legislation and input on new departmental policy in subject matter areas unique to the Department.	10	5	50
Performs other required duties	1	60	60
Total Hours	-	-	1,760
Number of positions needed (1,760 hours per position)	-	-	1.0
Number of positions requested	-	-	1.0

Attachment 12

Enforcement – 1.0 Attorney III Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Independently perform legal work conducting difficult litigation, settlement, and post-trial negotiations, legal research, and hearings.	4	180	720
Work detailed and extensive investigations involving consumers and investors, read and analyze technical documents, work with law enforcement and other state and federal agencies, and mentor Attorney I with litigation issues. Issue subpoenas to banks and companies to obtain information necessary in the investigation of the case. Take administrative testimony of witnesses and defendants during investigations.	4	135	540
Advise the exec. staff of the Department with Attorney IV and provide expertise on enforcement cases involving all laws under the Department. Acts as team leader over other professional staff and provides training.	6	30	180
Prepare analyses and opinions on laws and make recommendations on enforcement actions. Takes on complicated new cases and acts as the primary point person for high profile cases for laws under the Department's jurisdiction. Participates in work groups and task forces for the Department.	1	180	180
Direct and conduct investigations consisting of a multi-discipline staff including examiners, investigators, support staff and other Attorneys. Direct the operational activities of examiners, legal assistants, and support staff in enforcement activities. Develop investigation and litigation plans to determine violations of the law and review and analyze the work product prepared by the examiners, legal assistants, support staff and lower-level attorneys.	1	80	80
Perform other duties as required	1	60	60
Total Hours	-	-	1,760
Number of positions needed (1,760 hours per position)	-	-	1.0
Number of positions requested	-	-	1.0

Enforcement – 1.0 Investigator Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Court proceeding assistance	13	70	910
Interviews victims and witnesses	32	12	384
Locates assets and people	32	8	256
Website capture and undercover shops	27	8	256
Prepares and serves subpoenas	15	4	60
Desist and Refrain follow-ups	13	4	52
Total Hours	-	-	1,878
Number of positions needed (1,760 hours per position)	-	-	1.1
Number of positions requested	-	-	1.0

Attachment 13
Legal – 2.0 Attorney IV Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Internal Legal Opinions and Projects: Provide legal counsel to the Commissioner and executive staff on very complex, important, and controversial legal and policy issues. Provide legal advice concerning registration, examining and other matters concerning registrants and covered persons to the Department's program staff. With minimal supervision, provide legal subject matter expertise on financial services and unlawful, unfair, deceptive, and abusive acts and practices (UUDAAP) to the Department's Enforcement Division. Report on the efficacy of the Department's regulations in reducing violations and noncompliance with the CCFPL and related laws.	15	60	900
External Legal Opinions: Research and draft very complex legal opinions concerning UUDAAP matters, particularly involving new or novel financial models or practices or implementing new statutes and court decisions affecting the financial services industry. Represent the Department at meetings held by other regulators, industry groups, and the Legislature. With minimal supervision, draft releases and publish other informational documents to provide information to consumers and licensees to address complex and sensitive legal issues.	8	80	640
Regulations: Lead and coordinate an attorney team on complex or controversial rulemakings. Research, draft and adopt regulations addressing complex business practices or business models to implement the CCFPL. Develop forms, questionnaires, and releases. Participate in discussions with consumer and other interest groups regarding regulations. Analyze legal, economic, regulatory, and social trends that may result in changes in the policies and interpretations of the Commissioner, or which lead to proposed rulemaking.	2	600	1,200
Legislation: Draft legislative proposals to clarify the Department's oversight of the financial services industry. Provide legislative analysis and research assistance to the Department's Legislative Unit on the most complex legislative proposals. Coordinate with other Department programs to develop analysis of proposals. Provide testimony at legislative hearing on regulation of financial services providers.	8	20	160
Internal Legal Guidance: Provide legal advice and policy support to the CCFPL program and Department staff and management regarding the administration of the CCFPL. Work directly with examiners and examination managers on legal questions pertaining to exams and licensing applications and inquiries. Provide legal training on the regulation of financial services providers to Department managers and staff. Prepare MOUs, agreements, and other legal documents.	60	10	600
Administrative Hearings: Review very complex proposed decisions and prepare memoranda with recommendations to the Commissioner; draft final opinions on behalf of the Commissioner. Act as the hearing officer by rejecting decisions of administrative law judges in administrative hearings, taking evidence, and issuing new decisions for the Department.	4	40	160
Total Hours	-	-	3,660
Number of positions needed (1,760 hours per year position)	-	-	2.1
Number of positions requested	-	-	2.0

Attachment 14

Legal – 3.0 Attorney III Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Internal Legal Opinions and Projects: Research and draft internal legal opinions, with the supervision and guidance of the Assistant Chief Counsel, on legal issues where extensive legal or policy experience with the subject matter is not required. Assist on special projects related to legal and policy issues for the Department's program staff.	12	60	720
External Legal Opinions: Research and draft external legal opinions interpreting CCFPL where extensive legal or policy experience with the subject matter is not required.	9	80	720
Regulations: Work in a team with more senior attorneys on the complex rulemaking packages. Issue informal invitations for comment; conduct formal rulemaking with impact of under \$50 million to interpret or clarify provisions of the CCFPL; work with internal and external stakeholders to implement new rules. Work with economist to draft Standardized Regulatory Impact Assessment, file SRIA with Department of Finance, conduct formal rulemaking with impact of over \$50 million to interpret or clarify provisions of the CCFPL, and work with internal and external stakeholders to implement new rules	3	600	1800
Internal Meetings: Attend cross-divisional meetings with internal stakeholders (with 3 Legal Division attorneys attending each meeting)	12	3	36
Internal Legal Guidance: Provide informal legal advice internally to CCFPL Program, Enforcement, and OFTI.	144	15	2160
Legislation: Analyze state and federal legislation affecting CCFPL	8	25	200
External Meetings: Engage quarterly with consumer groups regarding CCFPL (with 3 Legal Division attorneys attending each meeting)	12	2	24
Administrative Hearings: Review less complex proposed decisions and prepare memoranda with recommendations to the Commissioner; draft final opinions on behalf of the Commissioner. Act as the hearing officer by rejecting decisions of administrative law judges in administrative hearings, taking evidence, and issuing new decisions on the Department's behalf.	6	40	240
Total Hours	-	-	5,900
Number of positions needed (1,760 hours per year position)	-	-	3.4
Number of positions requested	-	-	3.0

Attachment 15

Office of Public Affairs – 1.0 Information Officer II Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Provide leadership for Digital team, establishing strategies to impact consumers across all points of the digital journey	260	4	1,040
Own and actively contribute to strategic deliverables; monitor and develop digital KPIs that can be easily communicated across the broader organization	36	2	72
Develop and monitor user acquisition and retention across paid/earned media and social	52	1	52
Collaborate with departmental leadership/executives to develop content and campaigns that drive engagement	52	2	104
Oversee digital content, messaging, and production strategy to verify it's aligned with utilizing email, SMS, digital ads, and social media	260	1	260
Organize and coordinate team meetings	52	1	52
Oversee Digital team in the development and maintenance of media reports and dashboards	24	1	24
Perform high-level social listening and data analysis to assist with the development of web content	52	3	156
Total Hours	-	-	1,760
Number of positions needed (1,760 hours per year position)	-	-	1.0
Number of positions requested	-	-	1.0

Office of Public Affairs – 1.0 Information Officer I Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Develop and update contact lists for financial services media	4	10	40
Interact with news media	48	5	240
Editorial board visits and preparation	9	10	90
Prepare and distribute news releases, other media materials	25	12	300
Develop and place paid media	10	20	200
Prepare and distribute internal and external communications	30	6	180
Write, research, and edit speeches	12	20	240
Compile, edit and publish reports	12	20	240
Training	4	8	32
Supervision	1	200	200
Total Hours	-	-	1,762
Number of positions needed (1,760 hours per year position)	-	-	1.0
Number of positions requested	-	-	1.0

Attachment 16

Office of Public Affairs – 1.0 Staff Services Manager II Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Design, develop and implement methods to educate underserved consumers and communities. Coordinate and collaborate with internal researchers and other programs to improve educational methods. Explore novel methods and foster partnerships to educate underserved consumers and communities. Review relevant research and publications, including studies in behavioral economics and psychology, to improve targeted consumers' retention of financial education.	65	8	520
Coordinate efforts between state and federal agencies to develop methods of collaboration relating to consumer financial products and services offered to, purchased, or used by underserved consumers and their communities.	60	4	240
Collaborate with community, nonprofit, and other organizations educating or assisting underserved consumers and communities by meeting regularly to share information and coordinate outreach and education activities.	40	8	320
Engage with underserved consumers and communities and the public to identify educational and empowerment needs.	40	6	240
Educate and empower underserved consumers and communities to make better informed decisions regarding consumer financial products and services through direct in-person, online or other communication methods.	40	8	320
Coordinate and communicate with management, other DBO programs and the public to identify underserved consumer and community needs. Using information gathered, develop new directives with management and other programs to implement.	30	4	120
Total Hours	-	-	1,760
Number of positions needed (1,760 hours per year position)	-	-	1.0
Number of positions requested	-	-	1.0

Attachment 17

Office of Public Affairs – 6.0 Staff Services Manager I (Specialist) Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Design, develop and implement methods to educate underserved consumers and communities. Coordinate and collaborate with internal researchers and other programs to improve educational methods. Explore novel methods and foster partnerships to educate underserved consumers and communities. Review relevant research and publications, including studies in behavioral economics and psychology, to improve targeted consumers' retention of financial education.	390	8	3,120
Coordinate efforts between state and federal agencies to develop methods of collaboration relating to consumer financial products and services offered to, purchased, or used by underserved consumers and their communities.	360	4	1,440
Collaborate with community, nonprofit, and other organizations educating or assisting underserved consumers and communities by meeting regularly to share information and coordinate outreach and education activities.	240	8	1,920
Engage with underserved consumers and communities and the public to identify educational and empowerment needs.	240	6	1,440
Educate and empower underserved consumers and communities to make better informed decisions regarding consumer financial products and services through direct in-person, online or other communication methods.	240	8	1,920
Coordinate and communicate with management, other DBO programs and the public to identify underserved consumer and community needs. Using information gathered, develop new directives with management and other programs to implement.	180	4	720
Total Hours	-	-	10,560
Number of positions needed (1,760 hours per year position)	-	-	6.0
Number of positions requested	-	-	6.0

Attachment 18

Office of Public Affairs – Market Analyst – 1.0 AGPA Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Develop marketing materials to help target audiences understand, participate in, and accept department programs and policies.	270	1	270
Implements marketing plans to deliver key messages to target audiences.	52	4	208
Develops, implements, and monitors marketing campaigns to promote Department products and services.	365	1	365
Work collaboratively with programmatic areas within the Department to support participation in tradeshow, industry conferences, and outreach events.	30	2	60
Supports the OPA team with the planning, creation, and review of all promotional activities.	52	4	208
Reconciles the division's credit card billing, expenses, and invoices related to marketing activities.	52	2	104
Develop reports and dashboards for internal stakeholders to help provide transparency on progress with departmental KPI's.	30	2	60
Build email lists, create emails, and nurture leads through written communications.	365	1	365
Working with departments to develop a master communications calendar allowing Agency to strategically plan and prepare communications efforts.	120	1	120
Total Hours	-	-	1,760
Number of positions needed (1,760 hours per year position)	-	-	1.0
Number of positions requested	-	-	1.0

Office of Public Affairs – Digital Analyst – 1.0 Associate Governmental Program Analyst

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Assist with implementing and managing all social media platforms.	260	4	1,040
Oversees and provides excellent social customer service by responding to constituent issues/questions/requests in a timely and professional manner via social media.	24	1	24
Lead weekly social media and content brainstorming meetings with other members of the OPA team and departmental staff.	52	2	104
Create and distribute dynamic, creative, and on-brand social media content of all kinds.	130	1	130
Attends events for social media coverage and promotion.	4	8	32
Research social media trends, informing management of changes that are relevant to the Department's marketing and communication activities.	130	2	260
Manages and maintains the monitoring of social media analytics.	50	2	100
Plans, develops, and executes content calendar for social media.	14	5	70
Total Hours	-	-	1,760
Number of positions needed (1,760 hours per year position)	-	-	1.0
Number of positions requested	-	-	1.0

Attachment 19

BOO – Acquisitions Services Unit – 1.0 Business Service Assistant Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Preparing purchase orders and solicitation documents, which includes developing specifications, preparing, and issuing departmental contract requests utilizing the Department's Lotus Base Procurement System and Fiscal.	150	3	450
Creating and maintaining procurement-related files and records.	300	1	300
Secures control agencies' exemption approvals (Department of Justice, Office of the Attorney General; Department of General Services, Office of Legal Services).	70	4	280
Obtains authorized signatures; reviews and distributes contracts as appropriate (contractor, State Controller's Office, accounting office, internal users of the services contracted, and other control agencies as required).	100	2	200
Provides support with managing ASU staff BOTS assignments.	150	1	150
Assists contract users in preparing the required contract evaluation reports. This includes identifying the scope of the project; developing a project plan and timetable;	70	2	140
Provides support for special projects (SABRC, SB/DVBE compliance reporting and tracking) including recent legislation AB 661 and AB 2019.	90	2	180
Provides support with tracking bargaining unit notifications on contracts.	52	2	104
Total Hours	-	-	1,804
Number needed (1,760 hours per year)	-	-	1.0
Number of positions requested	-	-	1.0

Attachment 20

BOO Acquisitions Services Unit – 1.0 Associate Governmental Program Analyst Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Analyzes and reviews a wide variety of consulting and services contract requests to determine feasibility and appropriate bid method; reviews scope of work to be performed; determines appropriate monetary amounts; clearly identifies specifications or deliverables.	55	5	275
Determines legal requirements; interprets varying sources of difficult laws and requirements for specialized services contracts such as the California Government Code, Public Contract Code, State Administrative Manual, State Contracting Manual, and control agency directives.	55	4	220
Preparing purchase orders and solicitation documents, which includes developing specifications, preparing, and issuing departmental contract requests utilizing the Department's Lotus Base Procurement System and Fiscal	55	3	165
Provide purchasing and contracting training (related to purchasing and contracting platform).	60	2	120
Secures control agencies' exemption approvals (Department of Justice, Office of the Attorney General; Department of General Services, Office of Legal Services).	55	2	110
Develops contract language.	80	2	160
Obtains authorized signatures; reviews and distributes contracts as appropriate (contractor, State Controller's Office, accounting office, internal users of the services contracted, and other control agencies as required).	60	1	60
Provides training and contract consultation services, both legal and technical, to departmental staff at all levels.	65	2	130
Assists contract users in preparing the required contract evaluation reports. This includes identifying the scope of the project; developing a project plan and timetable.	55	2	110
Performs the more technical/analytical special projects relating to the department's business services operations. (SABRC, SB/DVBE compliance reporting and tracking). This includes recent legislation AB 661 and AB 2019.	50	5	250
Creating and maintaining procurement-related files and records.	55	3	165
Total Hours	-	-	1,765
Number needed (1,760 hours per year)	-	-	1.0
Number of positions requested	-	-	1.0

Attachment 21

BOO Facilities Management Unit – 1.0 Associate Governmental Program Analyst Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Analyzes and provides recommendations to property managers and Department of General Services (DGS) for services, equipment, technology, and furniture related to projects. Responsible for facility projects and requests.	15	40	600
Works with private property managers and DGS' Facilities Maintenance Division to address maintenance requests and coordinates approval on facility-related requests.	10	16	160
Coordinator for conference room set-up for onsite meetings. Including: assisting in reserving conference rooms, set-up of conference room furniture as requested, providing requested supplies (flip charts, dry erase markers, etc.), coordinating use of conference room phones and conference line bridges, confirmation of IT equipment usage, Visitor Badges for non-department attendees, and general assistance for staff and Executive Office personnel.	10	12	120
Works with property management to process keycard and building ID Badge requests, following procedures set for the security of the office. Coordinates and oversees with DGS the overall building access rights.	10	4	40
Serves as the Local Safety Coordinator for regional office; conducts and documents quarterly safety inspections. Participates in quarterly Safety Committee meetings; participates in accident, incident, and near miss investigations as needed; acts as location point of contact for Fire Marshall and OSHA & Cal/OSHA inspections.	4	40	160
Collaborates with the Department Health and Safety Officer to implement ergonomic solutions and make recommendations; provides safety training materials as requested by managers/supervisors.	8	15	120
Coordinates and maintains the Department's telecommunication system, assesses needs, identifies solutions to problems, and determines appropriate equipment and services.	7	50	350
Process and generate telecom related paperwork including but not limited to Form 5s, Telecommunication Requests, etc. Responds to action/information requests and resolves communication issues.	11	8	88
Coordinates the Hybrid Workforce environment, where the office environment constantly changes to accommodate and adjust to the program needs, where workstations and meeting rooms need constant on-demand and on-time monitoring and upkeep to verify their constant readiness and usability.	16	8	128
Total Hours	-	-	1,766
Number needed (1,760 hours per year)	-	-	1.0
Number of positions requested	-	-	1.0

Attachment 22

FMO – 1.0 Accounting Officer (Specialist)/Accountant Trainee – Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Processes cash and check revenue payments, creates collection reports and makes bank deposits.	100	4.0	400
Reconciles ZBA Bank Account electronic payments to third party and departmental collection reports and processes revenue payments.	90	3.75	337.5
Process and reconciles ACH payments sent directly to the department.	560	0.40	224
Remits Deposit transactions to State Funds in Fiscal AR module, distributes Unearned Revenue and makes corrections.	1,200	0.25	300
Researches and responds to emails from Program managers, licensees, filers, and other Department staff.	1,750	0.25	437.5
Answers calls from the public.	190	0.25	47.5
Assists in year-end accrual entries for Unremitted deposits, Unearned Revenue, and Accounts Receivables.	1	13.5	13.5
Total Hours	-	-	1,760
Number needed (1,760 hours per year)	-	-	1.0
Number of positions requested	-	-	1.0

FMO – 1.0 Senior Accounting Officer (Specialist) – Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Review and approve deposits and remittances to Control Agencies.	280	0.30	84
Review and approve refunds and dishonored checks.	215	0.75	161.25
Review and approve billing invoices and AR setup in FI\$Cal.	260	0.70	182
Review, approve, and analyze Employee Payroll Accounts Receivable transactions.	253	1	253
Month End Close Reconciliation and research discrepancies for FI\$Cal AR, Billing, and GL Modules.	12	24	288
Provide weekly support and guidance to staff.	52	8	416
Develop and maintain procedures for the Accounts Receivable and Cashiering sections.	2	40	80
Reconciliation of Accounts Receivables for SCO Report.	1	48	48
Research, analyze, and calculate cost recovery rates.	2	20	40
Testing and communication with IT regarding Accounting Interface Portal for Assessment billing and implementation of dunning letter's notification.	13	6	78
Prepares and enters year-end accruals for Accounts Receivable and Cashiering sections in FI\$Cal.	1	33.75	33.75
Special projects from Department Program staff that involves reconciling, researching, and analyzing multiple reports from FI\$Cal and payment logs.	12	8	96
Total Hours	-	-	1,760
Number needed (1,760 hours per year)	-	-	1.0
Number of positions requested	-	-	1.0

Attachment 23

HRO – 2.0 Senior Personnel Specialist Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Prepares, processes, and maintains documents, reports or records involving personnel and payroll transactions, including: Keys various types of employee information, leave data and payroll actions into the appropriate automated data bases; MyCalPERS, SCO (HIST, PIP, PIMS, CLAS). Processes PARS, relating to appointment and transfer transactions. Processes Employee Action Request (EAR) forms and updates employee records to maintain accurate address and tax withholding information.	2	540	1,080
Prepares and distributes information on open enrollment, health, and dental benefits, FlexElect and long-term disability insurance and other employee benefits. processes forms for health, dental, vision, life insurance, Long Term Disability, Group Legal Plan, FlexElect, COBRA, Catastrophic Leave, direct deposit, annual leave, and explains benefit information to employees.	2	540	1,080
Handles separation transactions relating to resignations, retirements, and stipulations. Processes separation EARS, along with separation documents. Prepares Form 612 and OPFs for transfer of employees to other departments/reporting units; reviews employment and pay history to verify the information is correct prior to sending file; purges and arranges material in OPF in accordance with established guidelines. Provides verbal and written A01 employment verification for other Departments.	2	270	540
Reviews attendance reports; audits leave usage; researches and resolves discrepancies; makes corrections to CLAS database to verify accuracy. Verifies employees' annual leave statements. Reconciles and certifies monthly payroll. Reviews PAR and payroll documents to verify accuracy. Tracks range change eligibility, special pay differentials, PERS eligibility, and probation report due dates; and prepares appropriate documents.	2	270	540
Maintains various manuals, including Personnel Action Manual (PAM), Payroll Procedures Manual (PPM), Benefits Administration Manual (BAM), CalHR Pay Scales, and employee OPFs to verify information is current. Coordinates to effectively coordinate information and documentation on new and separating employees and sends Leave Accounting (LAB) reports to the attendance coordinators and management. Conducts employment verifications as requested by entities outside state service.	2	270	540
Total Hours	-	-	3,780
Number of positions needed (1,760 hours per year position)	-	-	2.1
Number of positions requested	-	-	2.0

Attachment 24

HRO – 2.0 Associate Personnel Analyst – Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Consult and advise managers, supervisors, and HR liaisons on all aspects of recruitment efforts. Review, analyze, approve and/or deny requests for personnel action (RPA) packages. Verifies all required documents are included in the RPA package, completes an in-depth analysis, to validate submitted documentation meets departmental, control agency guidelines, and appropriate government code. Orders certification list and contact letters; reviews interview questions and screening criteria; verify minimum qualifications eligibility; alternate range criteria; participates on interview panels as required.	180	9	1,620
Review, research, and prepare written responses to classification projects; merit issue complaints; appeals; and illegal appointments. Develop and prepare formal letters and memorandums regarding human resources policies, procedures, and regulations.	36	20	720
Review and analyze requests for hiring above minimum; red circle rates; alternate range criteria; back pay requests; pay differentials; Work Week Group issues; out-of-class requests; Training & Development and TAU appointments; 180-day RA requests. Prepares Exempt Position Requests and Career Executive Assignment (CEA) proposals; follow-up with State Personnel Board (SPB) and CalHR to obtain CEA allocation and level approval. Assists with special studies and administrative projects for departmental management.	72	10	720
Provides technical guidance to Department staff in their area of expertise; provides educational materials and training on various subjects related to hiring and recruitment policies, procedures, and best practices.	106	5	530
Total Hours	-	-	3,590
Number of positions needed (1,760 hours per year)	-	-	2.0
Number of positions requested	-	-	2.0

Attachment 25

HRO – 1.0 Staff Services Manager I Workload Table

Task	Number Tasks per Year	Hours per Task	Total Hours per Year
Manage and supervise the COD team and the day-to-day operations of the COD Unit; Mentor and train the team regarding the civil service exam process, using guidance as outlined from control agencies; Review, approve, and monitor leave requests and timesheets. Meet with each team member on regular intervals to foster open communication and team development. Engage in the performance management and/or progressive discipline process with team members as required.	1	540	540
Engage in the consultative process with senior and executive leadership regarding the exam process, recruitment efforts, or job fairs; Support HR liaisons, including support of hiring managers as they develop recruitment materials.	1	450	450
Act as the subject matter expert (SME) regarding minimum qualification determinations and exam development; Represent the Department at various statewide meetings and the Examination Supervisors' Forum.	1	300	300
Develop and implement a career development plan for Department; Establish mentorships for team members hoping to advance their careers; Develop and application review and consultation process for Department team members regarding their current qualifications and career path.	1	300	300
Develop Department-wide training regarding the exam process and an overview of the minimum qualification process, including training for hiring managers, senior and executive leadership, HR liaisons, team members, and Human Resources Office (HRO) team members; Facilitate and/or delegate the presentation of the training.	1	250	250
Assist in providing guidance and direction regarding talent acquisition and recruitment activities for the Department.	1	90	90
Special Projects	1	90	90
Total Hours	-	-	2,020
Number of positions needed (1,760 hours per year)	-	-	1.1
Number of positions requested	-	-	1.0

Attachment 26
ITSD – 1.0 Information Technology Specialist I
IT Desktop Operations Support Workload Table

Task	Tasks per Year	Hours per Task	Total Hours per Year
Set up and configure PC equipment and onboarding for new hires (onsite & remote users)	65	10.0	650
Provide PC maintenance support for new hires (onsite & remote users)	120	5.0	600
Set up and configure mobile devices for remote users	30	5.0	150
Mobile device maintenance support and management	9	5.0	45
Desktop security patch management	15	16.0	240
Purchase HW/SW	25	5.0	125
Asset Management	25	5.0	125
Total Hours	-	-	1,935
Number of positions needed (1,760 hours per year)	-	-	1.1
Number of positions requested	-	-	1.0

ITSD – 2.0 Information Technology Specialist I
IT Business Analyst and System Tester Support Workload Table

Task	Tasks per Year	Hours per Task	Total Hours per Year
Perform business analysis for new program systems	325	5.0	1,625
Provide business analysis maintenance support for new program systems	45	5.0	225
Perform quality assurance testing for new program systems	125	5.0	625
Provide quality assurance testing maintenance support for new program systems	235	5.0	1,175
Total Hours	-	-	3,650
Number of positions needed (1,760 hours per year)	-	-	2.1
Number of positions requested	-	-	2.0

ITSD – 3.0 Information Technology Specialist II
IT Network, System Development, and Project Management Support – Workload Table

Task	Tasks per Year	Hours per Task	Total Hours per Year
Set up network profiles and services to onboard new staff	235	4.0	940
Provide network maintenance support for new staff	177	5.0	885
Perform development and coding for new program systems	165	5.0	825
Provide development and coding maintenance support for new program systems	225	5.0	1,125
Project management to implement new program functionality and business processes into systems	550	2.0	1,100
Provide project management maintenance support for new program systems	375	2.0	750
Total Hours	-	-	5,625
Number of positions needed (1,760 hours per year)	-	-	3.2
Number of positions requested	-	-	3.0