

CLASSIFICATION SPECIFICATION

FLSA:	NEXP	Job Code:	ACV39535
Job Class Code:	410	Salary Schedule:	AREG
EEO Category:	02	Grade:	20
Workers Comp Code:	8803		

Job Code Established:	05-01-06	Effective Date:	05-01-06
Job Code Revised:		Effective Date:	05-01-06

JOB CODE SERIES: Regulation of Financial Institutions and Financial Enterprises Series

JOB CODE TITLE: FINANCIAL INSTITUTIONS EXAMINOR – ENTRY

HRIS TITLE: FINL INSTNS EXAMINOR ENTRY

CHARACTERISTICS OF THE CLASS: Works under close supervision of a higher-level examiner or supervisor examiner who assigns work. Work is frequently reviewed for accuracy and adherence to standards and guidelines. Performs entry level examinations of financial institutions and/or enterprises to ensure compliance with laws and regulations.

This is the entry level of the Financial Institution Examiner series. Individual positions learn to apply and follow procedures, techniques, rules, and regulations. Individual positions study financial, operating, and insurance or security product information to determine what it means and how it fits together in order to get practical solutions in terms of determining financial soundness assessment. Individual positions draft reports of examination for less complex institutions.

EXAMPLES OF DUTIES: Individual positions may be responsible for some or all of the listed duties and/or related duties.

1. Compliance and Operation Examinations

Examine accounting and other records and methods of operation for compliance with laws and regulations governing activities of financial investment enterprises or institutions, and prepare reports of examination.

Verify entries and analyze general ledger accounts of Banks, Credit Unions, and Banks Holding Companies. Evaluate and verify portfolio, reconcile correspondence bank accounts and review operational controls. Assist with asset evaluation. Prepare papers, schedules, statistics, and portions of the examination report as assigned, including recommendation for action.

Verify trust assets with the general ledger and conformity with trust document requirements and federal and State laws.

Examine computer products to ensure safe and sound processing of records, acceptable processing procedures, and compliance and institution standards and policies.

2. Safety and Soundness Evaluation

Assist in assigning the Capital adequacy, Asset quality, Management competence, Earning power, and Liquidity (CAMEL) rating for the financial institution.

Assist in preparing documentation to ensure safety and soundness evaluation is in compliance with applicable laws and regulations.

3. Consultation

Evaluate policies, procedures, and practices of financial institutions and provides guidance and recommendations to improve operating practices and service in the public interest.

4. Investigate Complaints

Investigate basic complaints lodged against licensed entities by applying statutes to case-specific facts.

WORK CONDITIONS: Long hours of concentration on detail; interact with management and personnel of regulated financial institutions and/or enterprises; and require travel and overnight stays away from home base.

KNOWLEDGE, SKILLS AND ABILITIES:

Knowledge of: principles and practices of auditing, accounting, and examination techniques of financial institutions; Federal and State laws, rules and regulations as they pertain to financial institutions administration; personal computers, software applications and computerized products as they relate to auditing and accounting systems and processes; legal principles and practices appropriate to work assignment; evaluation procedures, techniques and reporting.

Skill/Ability to: apply auditing and accounting methods and techniques; interpret complex laws, rules and regulations pertaining to financial institutions; use personal computers, software applications and computerized products in accomplishing examinations; learn state government operations; oral and written communications; and interpersonal relationships.

KSAs are typically obtained through experience and/or education in:

Accounting, auditing, business law, bank operations, regulation, examination or analysis of financial institutions and/or related industry.

Any combination of training and experience that meet the knowledge, skills, and abilities (KSAs) may be substituted.

SPECIAL SELECTION FACTORS: Any position-specific specialty area(s) will be announced during the recruitment process.