

JOB CODE SPECIFICATION

FLSA:	NEXP	Job Code:	ACV39539
Job Class Code:	410	Salary Schedule:	AREG
EEO Category:	01	Grade:	25
Workers Comp Code:	8803		

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

Job Code Series: Regulation of Financial Institutions and Financial Enterprises Series

JOB CODE TITLE: SENIOR FINANCIAL INSTITUTIONS EXAMINATIONS MANAGER

HRIS TITLE: SR FINL INSTNS EXMNS MGR

CHARACTERISTICS OF THE JOB CODE: Works under direction of the Superintendent or Deputy Superintendent. Has the authority to enforce laws regulating the operations of financial institutions and or/enterprises; make all decisions pertaining to the operation of the unit; approve/disapprove applications to sell financial institution securities (exempted from securities laws). Manages one or more of four divisions: Banking & Trust, Credit Unions, Financial Enterprises, or Licensing & Consumer Affairs for the Department; conducts investigations; develops cases for prosecution; develops budget for division; develops and implements training programs for staff; oversees all activities of the assigned division. Responsible for the effective operation of the work unit; examination of the overall operations of financial institutions to assure compliance with statutes; negotiating with attorneys of businesses regarding settlement of administrative matters; testifying as an expert witness. Work product consists of a functioning work unit; completed reports of examinations and findings; complaints settled with no violations of law; violations detected and cases referred for prosecuting; approval or denial of licenses and institution offerings.

This is the fifth level of the Financial Institution Examiner series. At this level, the examiner performs a full range of duties in the examiner series. Supervise the work of subordinates which may include entry level examiners through F.I. Examinations Supervisors. Determine the procedures, methodology, and work schedule necessary to complete assignments. Manage the financial compliance and examinations operations; oversee the preparation of the examination reports; identify developing financial trends and operating results; and responsible for the development, implementation and review of the examination program. Evaluate policies, procedures, and practices of the financial institutions/enterprises.

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

Instructs staff members in proper use of a complex system of methods, procedures, rules or regulations utilized by the work system. Establishes and maintains work standards, procedures, methods and rules. Confers with staff and representatives of other divisions, sections, or work units of own agency in order to agree on decisions, clarify information, and resolve common problems. Confers with superior, concerning work of work system; gives information and advice; receives instruction and guidance. Attends work unit staff meetings as chairman; directs discussion, explains, listens, resolves conflicts; participates and leads in decisions making. Reads, examines, reviews reports prepared by subordinates, consultants or specialists; makes corrections, adjustments, raises questions, routes back to writer or approves for routing to destination. Oversees safety and soundness of financial institutions and or/enterprises. Analyzes complex financial data and reports. Searches for law in statute books, codes, and other sources, in order to be informed of wording, meaning, and intent of laws. Writes policy and operating procedures for division or agency, subject to guidelines and regulations set forth by

superior, and by laws and regulations. Interpret laws and regulations and review and resolve complaints. Attends periodic workshops or training sessions to improve working knowledge and skills at manager or administrator level in work system; such training may expand or form conceptual or theoretical base of knowledge or concentrate on development of management or leadership skills. As a planning device, gathers data on workload or service load over designated period, then, making adjustment based on calculated estimates, projects same figures for future period. Drafts (composes) and edits agency regulations and rules, both substantive and procedural. Performs related work as required.

WORK CONDITIONS: Generally work is performed in an office atmosphere. May require travel and overnight stays away from home base; interaction with irate individuals.

KNOWLEDGE, SKILLS AND ABILITIES:

Knowledge of: practices and techniques of management and supervision; 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 and or/enterprises administration; investigation techniques; personal computers, software applications and computerized products as they relate to auditing and accounting systems and processes; general office procedures; legal principles and practices appropriate to work assignment; investigative procedures, techniques and reporting.

Skill/Ability to: manage and supervise; apply auditing and accounting methods and techniques; apply rules and logic in financial institution examinations; interpret complex laws, rules and regulations; analyze and interpret complex financial data; apply principles and practices of work leadership and management; use personal computers; interpersonal relationships; oral and written communication.

KSAs are typical 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.