| **NAME** | **EFFECTIVE DATE** |
|---|---|
| Vacant | |
| **CLASSIFICATION TITLE** | **POSITION NUMBER** |
| Financial Institutions Manager | 410-365-4104-356 |
| **WORKING TITLE** | **DIVISION/OFFICE/UNIT/SECTION** |
| Examinations Manager | Banks |
| **BARGAINING UNIT** | **GEOGRAPHIC LOCATION** |
| M01 | Los Angeles |

**General Statement:** Under the general direction of The Regional Deputy Commissioner of Banks in the Division of Financial Institutions, the Financial Institutions Manager is responsible for supervising a group of Financial Institutions Examiners and overseeing the examination of state charted banks and foreign banking organizations conducted in accordance with the Department's guidelines, the Uniform Financial Institutions Rating System and the applicable State and Federal laws and regulations. The Examination Manager may be assigned to specific projects to refine examination process, internal policies, and training program. Duties include, but are not limited to, the following:

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

**40% Training and Development (E)**

Provides a close level of supervision for assigned examiners, including hiring, training, monitoring, coaching, communicating instructions, preparing performance evaluations and probationary reports, and approving merit salary increases and promotions. Works with assigned examiners in developing performance objectives and plans for achieving objectives, including training goals and assignments that prepare the examiners for promotional opportunities. Works with assigned examiners in processing various applications to provide training and development to the assigned examiners. Provides comments regarding performance, verbally and in writing, to assigned examiners and makes recommendations for areas of improvement and/or additional training. In areas where improvement is needed, develops a plan for remedial action, and monitors completion of plan. Initiates disciplinary actions where warranted. Monitors attendance and timely submission of required reports, such as attendance reports, absence requests, time reports and expense claims. Reviews and distributes information received by the Department which is relevant to the examination functions. Prepares for and conducts or facilitates periodic crew meetings.

**20% Examination (E)**

Plans, organizes, supervises, and directs examinations. Reviews examination report content prepared by examiners prior to submission for final processing. Serves as a mediator, when needed, to resolve issues that arise between examination staff of various agencies during fieldwork on joint or concurrent examinations.

**20% Planning (E)**

Assists in planning, organizing, supervising, and directing examinations by preparing examination schedules and making assignments. Assists the Examiner-in-Charge on pre-examination planning, as needed, in determining the scope, including development of the budget for the examination. Reviews entry letters, as needed, prior to mailing to the licensee. Coordinates examination programs and schedules with other agencies, as may be required. Inputs data to the Department's management information system programs.

**15% Leadership (E)**

Identifies issues related to licensees that could lead to changes in Department policy or practice and in examination functions. Coordinates discussion of issues with other Managers. Recommends changes to appropriate members of Department management prior to implementation and promptly reports unsatisfactory and/or unusual conditions discovered in licensees. Attends examination exit meetings, as appropriate.

**5% Miscellaneous (M)**

Performs other related duties as required.

**B. Supervision Received**

The Examination Manager reports directly to and receives the majority of direction from the Regional Deputy Commissioner. However, direction and assignments may also come from the Deputy Commissioner of the Banking program.

**C. Supervision Exercised**

The Examination Manager will provide close supervision to the Financial Institutions Examiners and general direction for the Senior Financial Institutions Examiners for their assignments.

**D. Administrative Responsibility**

The Examination Manager will monitor attendance and timely submission of required reports, such as attendance reports, absence requests, time reports and expense claims.

**E. Personal Contacts**

The Examination Manager will consistently work with Examiners, Portfolio Managers and other federal agencies to review confidential information, evaluate conditions of the financial institutions, and communicate examination findings to the licensees. The Examination Manager will provide comments on assignments and feedback on performance and to Examiners. The Examination Manager will also work with DFPI's HR unit for employee hiring and separation.

**F. Actions and Consequences**

Failure to perform duties correctly and according to Federal and State law as well as DFPI's policies, procedures and this duty statement may result in HR actions. Consequences could include documentation of improvement needed on Performance Appraisal Summaries, merit salary adjustments not approved, counseling memoranda, corrective actions and more significantly, adverse actions.

Additionally, failure to perform duties from a bank examination standpoint could lead to examinations not being conducted within the mandatory deadline. This may significantly affect the Department's credibility, supervisory control, and reputation with our Federal Regulator counterparts, as well as the institutions we supervise.

Failure to perform duties may also lead to not providing adequate training and development to Examiners. Consequently, examiners may not have the necessary skills and knowledge to identify and address issues which could have adverse impact to the safety and soundness of the institution, possibly including a bank failure; hence, affecting the stability of the California financial market.

**G. Functional Requirements**

While mostly at a computer notebook, functional requirements of the Examination Manager include research and analysis of various bank financial documents, reviewing and responding to emails, reviewing documents submitted by examiners, conferring and meeting with examiners, other banking program management and bank employees/management. Examination Manager should possess the ability to work independently as well as a team member, have good interpersonal and communication skills, ability to follow directions, take initiative, assume responsibility, and exercise good judgment and tact. Must be able to work alone without much guidance or interaction or interaction from other staff. Finally, the Examination Manager is responsible for prepares probationary reports, performance appraisal reports, and various other administration forms and documents.

**H. Other Information**

Examination Manager are typically on a flexible schedule. Examination Manager must be punctual, dependable, and reachable during their workdays.

**CONFLICT OF INTEREST**

This position is subject to Title 16, section 3830 of the California Code of Regulations, the Department of Financial Protection and Innovation's Conflict of Interest Regulations. The incumbent is required to submit a Statements of Economic Interests (Form 700) within 30 days of assuming office, annually by April 1st and within 30 days of leaving office.

**FINGERPRINTING**

Title 11, section 703 (d) of the California Code of Regulations requires criminal record checks of all personnel who have access to Criminal Offender Record Information (CORI). Pursuant to this requirement, applicants for this position will be required to submit fingerprints to the Department of Justice and be cleared before hiring. In accordance with DFPI's (CORI) procedures, clearance shall be maintained while employed in a CORI-designated position. Additionally, the position routinely works with sensitive and confidential issues and/or materials and is expected to maintain the privacy and confidentiality of documents and topics pertaining to individuals or to sensitive program matters at all times.

**I have read and understand the duties listed above and I can perform these duties with or without reasonable accommodation.** (If you believe reasonable accommodation is necessary, discuss your concerns with the hiring supervisor. If unsure of a need for reasonable accommodation, inform the hiring supervisor, who will discuss your concerns with the Health & Safety analyst.)

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Employee Signature Date

_____

Employee's Printed Name, Classification

**I have discussed the duties of this position with and have provided a copy of this duty statement to the employee named above.**

_____

Supervisor Signature Date

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Supervisor's Printed Name, Classification