

**POSITION DUTY STATEMENT**

DFPI-HRO 203 (Rev. 08-21)



<b>NAME</b> [Name of candidate hired]	<b>EFFECTIVE DATE</b> [Date position filled]
<b>CLASSIFICATION TITLE</b> Financial Institutions Manager	<b>POSITION NUMBER</b> 410-166-4104-210
<b>WORKING TITLE</b> Examination Manager	<b>DIVISION/OFFICE/UNIT/SECTION</b> Financial Institutions/ Office of Credit Unions (CU)
<b>BARGAINING UNIT</b> M01	<b>GEOGRAPHIC LOCATION</b> Sacramento, San Francisco

**General Statement:** Under general direction of the Chief Examiner for the Office of Credit Unions, the Financial Institutions Manager/Examination Manager is responsible supervising a group of Financial Institutions Examiners and overseeing the examinations of state chartered credit unions 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 examinations processes, internal policies, and training program. Duties include, but are not limited to, the following:

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

45 % 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. 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, develop a plan for remedial action, and monitor completion of the plan. Initiates disciplinary actions where warranted. Prepares Request for Personnel Actions and Duty Statements. Participates in the screening and interviewing of applications. Monitors attendance and timely submission of required reports, such as attendance reports, absence requests, time reports and expense claims. Reviews and distributes to examiners information received by the Department which is relevant to the examination functions. Prepares for and conducts or facilitates periodic team meetings.

20% Examination (E)

Plans, organizes, supervises, and directs regulatory examinations. Reviews examination report content prepared by examiners using the Modern Examination & Risk Management Tool (MERIT) prior to submission for final processing. Serves as a mediator, when needed, to resolve issues that arise between federal agency

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examination staff or private share insurer staff during fieldwork on joint or concurrent examinations.

20% Planning (E)

Assist in planning, organizing, supervising, and directing examinations by preparing examination schedules and making work 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 issuance to the licensee. Coordinates examination programs and schedules with the National Credit Union Administration (NCUA) or private share insurers, as required. Enters data into the Department's management information system programs, including shared drives and the Financial Institutions Management Information System (FIMIS).

10% Leadership and Communication (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. May represent the Department at industry group meetings or conferences, such as with the National Association of State Credit Union Supervisors (NASCUS) and NCUA.

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 Chief Examiner. However, direction and assignments may also come from the Deputy Commissioner for the Office of Credit Unions.

**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. The incumbent is typically a field examination manager who has the authority to hire, evaluate, and discipline employees. May require additional supervisory and personnel duties, as needed.

**D. Administrative Responsibility**

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

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**E. Personal Contacts**

The Examination Manager will consistently work with Examiners, Portfolio Managers, and the NCUA 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 to Examiners. The Examination Manager will also work with the Department's Human Resources 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 Departmental policies, procedures, and this duty statement may result in administrative action by human resources. 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 credit union 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 regulatory counterpart, 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 that could have an adverse impact on the safety and soundness of the institutions, possibly, a credit union failure; hence, affecting the stability of the California financial market.

**G. Functional Requirements**

Working remotely and/or in one of the DFPI's office settings in Sacramento, San Francisco, or Los Angeles.

**Frequently:**

- Sitting at a desk, in a chair, and in front of a computer screen. 75%
- Moving/walking about the office and standing or sitting during in meetings. 50%
- Using a Department-issued cell phone. 75%
- Utilizing audio and video software to connect with DFPI staff, federal counterparts, and management during remote working. 75%
- Utilizing audio and video software to conduct interviews and examinations of licensees. 75%
- Traveling to and working within space allocated by licensee during on-site examination visits. 50%
- Bend (neck and waist), squat, kneel, and twist (neck and waist). 25%

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- Perform repetitive hand motion, simple grasping, fine manipulation, pushing and pulling with right and left hands. 75%

**Occasionally:**

- Traveling via private or public transportation (i.e., driving automobile, airplane, etc.) including overnight travel inside California may be required. 50%
- Traveling via public transportation including overnight travel outside California may be required 10%
- Lifting and carrying up to 20 pounds. 25%

**H. Other Information**

Exercises good judgment in decision-making, exercises creativity and flexibility in problem identification and resolution, and manages time and resources effectively. Works well with others, under changing priorities, and work irregular hours when workload dictates. Regular attendance and punctuality are essential. Possesses good written and verbal communication skills. The incumbent is occasionally required to travel throughout an assigned geographical area by various methods of transportation, both locally and out-of-town, for examination administration.

**CONFLICT OF INTEREST**

This position is subject to Title 10, § 250.30 of the California Code of Regulations, the Department of Financial Protection and Innovation’s Conflict of Interest Regulations, the incumbent is required to submit a Statements of Economic Interests (Form 700) within 30 days of assuming office, annually by April 1st and within 30 days of leaving office.

**FINGERPRINTING**

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

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

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Employee's Printed Name, Classification

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

\_\_\_\_\_  
Supervisor Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Supervisor's Printed Name, Classification