



STATE OF OREGON
POSITION DESCRIPTION

Position Revised Date:
4/24/2024

This position is:

- Classified
Unclassified
Executive Service
Mgmt Svc - Supervisory
Mgmt Svc - Managerial
Mgmt Svc - Confidential

Agency: Department of Consumer & Business Services

Facility: Labor & Industries Building

New Revised

SECTION 1. POSITION INFORMATION

Form with fields a through o including Classification Title, Effective Date, Working Title, Section Title, Employee Name, Work Location, Supervisor Name, Position type, FLSA status, and Overtime eligibility.

SECTION 2. PROGRAM AND POSITION INFORMATION

a. Describe the program in which this position exists. Include program purpose, who's affected, size, and scope. Include relationship to agency mission.

The Department of Consumer and Business Services (DCBS) is Oregon's largest business regulatory and consumer protection agency. The department administers state laws and rules to protect consumers and workers in the areas of workers' compensation, occupational safety and health, financial services, insurance and building codes.

DCBS consists of the Workers' Compensation Division; Oregon Occupational Safety and Health Division; Division of Financial Regulation; Building Codes Division; Small Business Ombudsman; and Ombuds Office for Oregon Workers. The department provides shared services to all divisions through the Director's Office and Central Services Division. The department also provides shared services to the Workers' Compensation Board. DCBS employs 950 employees and has a biennial operating budget of approximately \$685 million.

The Credit Union Program is responsible for proactively ensuring the safety and soundness of the state-charted credit unions and their compliance with statutes and regulations.

b. Describe the primary purpose of this position, and how it functions within this program. Complete this statement. The primary purpose of this position is to:

Objectively evaluate the condition of credit unions for safety and soundness, maintenance of public confidence in the integrity of the financial system and in individual institutions; also, to enforce both state and federal statutes and regulations related to credit unions.

This position functions at the team leader level in conducting safety and soundness examinations. It is the third level of a three-level series. This position assigns and monitors the work of other examiners. The examiner at level three is assigned examinations involving the more complex and difficult examinations.

SECTION 3. DESCRIPTION OF DUTIES

List the major duties of the position. State the percentage of time for each duty. Mark “N” for new duties, “R” for revised duties or “NC” for no change in duties. Indicate whether the duty is an “Essential” (E) or “Non-Essential” (NE) function.

% of Time	N/R/NC	E/NE	DUTIES
80%	R	E	<p>Participate in regulatory examinations primarily of credit unions, but could also include banks, bank holding companies, extra-national institutions, and trust companies, either as examiner-in-charge or as a team member to assess the financial institution’s financial condition, operating performance, compliance with laws and regulations, and overall safety and soundness. Conduct financial analysis, review documents, and interview institution personnel to assess various aspects and functional areas of the financial institution including, but not limited to, capital, asset quality (including business, real estate, and consumer loans as well as investments), management, earnings, liquidity, interest rate risk, regulatory reporting, information technology, internal controls, and compliance with applicable state and federal laws and regulations. Be very capable and comfortable with technology, and become very proficient with examination and related software.</p> <p>Provide written reports to the examiner-in-charge documenting findings and recommendations. Discuss examination conclusions, findings, and recommendations with the financial institution management. As examiner-in-charge, plan, assign, prioritize, and review work of other examiners for the specific examination to ensure overall accuracy, quality and timeliness of the work product. Determine and establish the examination scope. Conduct exit meetings with the financial institution management and board of directors. Prepare extensive narrative examination reports that are grammatically correct and accurate, and support the assigned ratings.</p>
10%	NC	NE	Assists in training, advises junior examiners on policy and procedure matters.
10%	NC	NE	<p>Retains all working manuals in an up-to-date condition. Remains informed of current trends and changes in the law, rules, and examination procedures. Attends specialized schools or training classes in examination theory and practice.</p> <p>Performs other duties as assigned.</p>

Ongoing	NC	<p>Expectations of all DFR employees: Provide excellent customer service; create and maintain productive working relationships; treat colleagues and the public fairly, courteously, and respectfully; fully participate in work teams, division and department projects; collaborate with coworkers in the improvement of work processes; improve interpersonal and job skills; provide and receive feedback and suggestions in an open and constructive manner; and, comply with all personnel policies and procedures.</p> <p>Foster and promote the importance and value of a diverse, discrimination- and harassment-free workplace. Respect diversity of opinions, ideas, and cultural differences. Support outreach and diversity-related efforts in order to diversify the workplace.</p> <p>Confidentiality Expectation: This position will be accessing or hearing confidential information during the course of performing position responsibilities. This information includes but is not limited to: financial accounts, SSN, criminal background history, financial information or status of an entity, examination results and investigations. The information you access or hear while at work is confidential and may not be shared with anyone inside or outside the agency unless there is a business purpose for the information to be shared.</p>
Ongoing		<ul style="list-style-type: none"> • Perform position duties in a manner which promotes customer service and harmonious working relationships, including treating all persons courteously and respectfully. Engage in effective team participation through willingness to assist and support co-workers, supervisors, and other work-related associations. Develop good working relationships with division and agency staff and supervisors through active participation in accomplishing group projects and in identifying and resolving problems in a constructive manner. Demonstrate openness of constructive feedback and suggestions, in an effort to strengthen work performance. Contribute to a positive, respectful and productive work atmosphere. • Foster and promote the importance and value of a diverse, discrimination and harassment free workplace. Respect diversity of opinions, ideas, and cultural differences. Support outreach and diversity related efforts in order to diversity the workforce. <p>Regular attendance is an essential function required to meet the demands of this job and to provide necessary services.</p>

SECTION 4. WORKING CONDITIONS

Describe any on-going working conditions. Include any physical, sensory, and environmental demands. State the frequency of exposure to these conditions.

Typical open state government office or financial institution environment, depending on assignment. Some work may be conducted remotely.

Position requires regular in-state travel for examinations and occasional out-of-state travel for training and/or examinations. The travel is normally in state motor pool vehicles with two-to-five occupants. Prolonged travel in a car is often required. Frequent overnight absence from home of two-to-four nights a week.

Driving is an essential function of this position. The position requires a valid Oregon driver's license and satisfactory driving record. Drivers must obey state driving laws and rules while driving state-owned vehicles

or private vehicles for official duty.

Must be able to carry laptop and work-papers to and from job sites.

SECTION 5. GUIDELINES

a. List any established guidelines used in this position, such as state or federal laws or regulations, policies, manuals, or desk procedures.

- Examination manuals
- State and Federal credit union and banking statutes, rules, and regulations
- State/Agency/Division rules and policies
- Confidentiality requirements

b. How are these guidelines used?

Examinations are conducted in accordance with the examination manuals. Financial institutions are required to comply with various state and Federal credit union and bank rules and regulations, and part of the examination process involves reviewing and assessing the institutions' compliance. Employees are expected to comply with all applicable statewide, agency, and division policies and procedures. All examination information is protected and must be treated by examiners with the utmost confidentiality.

SECTION 6. WORK CONTACTS

With whom, outside of co-workers in this work unit, must the employee in this position regularly come in contact?

Who Contacted	How	Purpose	How Often?
Regulated financial institutions	In person, phone, letter, email, chat or video	To obtain information; to discuss condition of institution; and/or to ensure compliance with laws and regulations.	Daily
Other regulators, Federal/State, Division staff	In person, phone, letter, email, chat or video	To obtain information; to discuss condition of institution; and/or to ensure compliance with laws and regulations.	Frequently
General public	In person, phone, letter, email, chat or video	Respond to inquiries and complaints.	Infrequently

Note: If additional rows of the below table are needed, place cursor at end of a row (outside table) and hit "Enter".

SECTION 7. POSITION RELATED DECISION MAKING

Describe the typical decisions of this position. Explain the direct effect of these decisions.

Recommends financial institution ratings based on evaluation of an institution's financial condition, operating performance, and compliance with applicable laws and regulations. Makes recommendations for corrective action based on examination findings. Recommending and supporting accurate ratings and requiring institutions to take timely corrective actions to address noted weaknesses or deficiencies protects consumers and businesses. The ratings affect the level of formal supervision required. The examination function helps to ensure the safety and soundness of individual financial institutions and to maintain public confidence in the integrity of the financial system.

The assignment and oversight of examiner duties on a specific examination affects the efficiency and effectiveness of an examination. How employees perform affects employee training, planning, and performance reviews by the supervisor.

SECTION 8. REVIEW OF WORK

Who reviews the work of the position?

Classification Title	Position Number	How	How Often	Purpose of Review
Compliance and Regulatory Manager 2	0001.058	By review of reports and observation of performance, which may include in person by phone, email, chat or video conference	As necessary, but at least quarterly via performance accountability and feedback meetings	Determine examiner's ability to carry out the varied functions associated with this position and needed training.

Note: If additional rows of the below table are needed, place cursor at end of a row (outside table) and hit "Enter".

SECTION 9. OVERSIGHT FUNCTIONS

THIS SECTION IS FOR SUPERVISORY POSITIONS ONLY

- a. How many employees are directly supervised by this position? _____
 How many employees are supervised through a subordinate supervisor? _____
- b. Which of the following activities does this position do?
- | | |
|--|---|
| <input type="checkbox"/> Plan work | <input type="checkbox"/> Coordinates schedules |
| <input type="checkbox"/> Assigns work | <input type="checkbox"/> Hires and discharges |
| <input type="checkbox"/> Approves work | <input type="checkbox"/> Recommends hiring |
| <input type="checkbox"/> Responds to grievances | <input type="checkbox"/> Gives input for performance evaluations |
| <input type="checkbox"/> Disciplines and rewards | <input type="checkbox"/> Prepares & signs performance evaluations |

SECTION 10. ADDITIONAL POSITION-RELATED INFORMATION

ADDITIONAL REQUIREMENTS: List any knowledge and skills needed at time of hire that are not already required in the classification specification:

Preference given to those who have a thorough knowledge of financial institution principles and practices, managerial experience in a financial institution, and/or experience as an examiner with emphasis on business credit analysis.

This position is eligible for remote work part-time, once the incumbent has gained the proficiency to perform work independently. The incumbent may occasionally be asked to work from the office on an as-needed basis. The determination for remote work for this position may be based, in part, on economic conditions, the financial condition and/or management of the company, the examiner's and/or workforce training needs, the working relationship with the deposit insurance agency and/or other regulators, and the workplace needs.

Special Requirements:

Position is subject to a criminal background check.

BUDGET AUTHORITY: If this position has authority to commit agency operating money, indicate the following:

Operating Area	Biennial Amount (\$00000.00)	Fund Type
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Note: If additional rows of the below table are needed, place cursor at end of a row (outside table) and hit "Enter".

SECTION 11. ORGANIZATIONAL CHART

Attach a current organizational chart. Be sure the following information is shown on the chart for each position: classification title, classification number, salary range, employee name and position number.

SECTION 12. SIGNATURES

Employee Signature

Date

Supervisor Signature

Date

Appointing Authority Signature

Date