



**State of Oregon**  
**Department of Administrative Services**

**Position Description**

**This Position is:**

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

\*\*\* PLEASE READ INSTRUCTIONS BEFORE COMPLETING THIS FORM \*\*\*

New

Revised

**SECTION 1. POSITION INFORMATION**

- a. Class Title: Financial Examiner 3
- b. Class No.: OAS C5677
- c. Effective Date: December 1, 2021
- d. Position No.: 0001.171
- e. Working Title: Information Systems Examiner
- f. Work Unit: Division of Financial Regulation, Banking and Credit Union Programs
- g. Agency No.: 44000
- h. Agency Name: DCBS
- i. Employee Name: VACANT
- j. Work Location (City-County): Salem-Marion or Lake Oswego-Clackamas

- k. Position:  Permanent  Seasonal  Limited Duration  Academic Year  
 Full Time  Part Time  Intermittent  Job Share
- l. FLSA:  Exempt  Non-Exempt
- If Exempt:  Exec  Prof  Admin
- m. Eligible for Overtime:  Yes  No

**SECTION 2. PROGRAM/POSITION INFORMATION**

- a. Describe the program in which this job 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 Injured Workers Ombudsman. The department provides Employee Services, communication and legislative coordination services to all divisions through the Director's Office and fiscal, facilities and information technology services are provided through the Central Services Division. The department also includes the Workers' Compensation Board.

The Division of Financial Regulation's mission supports that of the department by protecting Oregonians' access to fair products and services through education, regulation, and consumer assistance. The division is responsible for ensuring the safety and soundness of financial institutions, the availability and affordability of financial products, and the fair treatment of consumers. Functions include licensing, regulating, and monitoring the conduct of banks, credit unions, financial services providers, health care service contractors, insurance companies, and licensed or registered agents of such entities.

The Financial Institutions team is responsible for proactively ensuring the safety and soundness of the financial institutions we regulate through analysis, examinations, and strategic development of regulatory frameworks to address emerging markets and types of financial tools. Members of this team are organized by primary area of specialization – banks, credit unions, and insurance – to leverage deep subject matter expertise, but the team will work across the three units on shared policy issues and to cross-train. The

Financial Institutions team also stays abreast of new developments in each industry through collaboration with other teams across the division and informs division policy.

- b. Describe the purpose of this position, and how it functions within this program, by completing this statement:  
**The purpose of this job/position is to . . .**

Examine financial institution's internal control systems affecting the integrity, reliability, and accuracy of data, as well as the quality of the information systems (IS) supporting management decisions. The primary goal of these examinations is to identify risks that threaten the safe and sound operations of the financial institutions.

Responsibilities of this position will vary from being the lead examiner to that of an assisting examiner. In some cases, this position will lead examiners from federal regulatory agencies. As lead examiner, this position is responsible for exam leadership, assigning and monitoring the work of assistant examiners, identifying IS Risks, and preparing the examination report. Through the exit review conducted with the directorate and management, examination findings are discussed and recommendations for corrective action presented.

---

**SECTION 3. DESCRIPTION OF DUTIES**

List major duties. Note percentage of time duties is performed. If this is an existing position, mark "N" for new duties or "R" for revised duties.

% of Time	N/R	DUTIES
78%		<p>Duties vary from that of Information Systems (IS) examiner-in-charge to one of an assisting IS examiner in the examination of state-chartered banks, state-chartered credit unions, trust companies, and independent data processing servicers. IS examinations may be conducted independently or simultaneously with traditional safety and soundness examinations.</p> <p>Performs specialized IS examination duties that focus on IS data security and requirements to ensure the safety and soundness and the management competency of the examined financial institutions.</p> <p>Duties performed as an assisting IS examiner:</p> <ul style="list-style-type: none"> <li>• Effectively applies knowledge of IT policies, procedures, laws, rules and regulations</li> <li>• Effectively follows established examination procedures to collect and analyze data, documentation, and reports</li> <li>• Assesses the level and quality of oversight and support of IT activities by the Board of Directors and management</li> <li>• Evaluates the adequacy of security policies, standards, and reporting relative to the regulatory guidance and risk profile of an institution</li> <li>• Evaluates the adequacy of IT audit, testing, and vulnerability remediation</li> <li>• Measures the quality of overall oversight and support provided by the Board of Directors and management</li> <li>• Assesses the quality of physical and logical security, as well as resiliency and vendor management programs</li> <li>• Evaluates the effectiveness of an institution's cyber and information security risk identification, management, and reporting processes</li> <li>• Assesses the level and quality of oversight and support of systems development and acquisition activities</li> <li>• Assesses an institution's testing, audit, and corrective action programs</li> <li>• Develops correct conclusions from collected data and completes formal work programs</li> <li>• Makes appropriate control recommendations to reduce institutional risk</li> </ul> <p>Additional duties performed as the IS examiner-in-charge:</p> <ul style="list-style-type: none"> <li>• Provides examination team leadership and makes decisions related to IS and data security.</li> <li>• Directs and assigns the work of assisting examiners.</li> <li>• Reviews the examination findings of assisting examiners.</li> <li>• Prepares examination reports and reviews examination findings with Division management.</li> <li>• Assigns an IS rating that is included in the management section of the CAMEL rating.</li> <li>• Conducts exit reviews with the institution and recommends corrective action or process improvements.</li> </ul>

		<ul style="list-style-type: none"> <li>• Addresses personnel problems in the field.</li> <li>• Evaluates work performances of assisting examiners on the job.</li> <li>• Provides on-the-job training to new examiners.</li> <li>• Provides quality control over work of assisting examiners.</li> </ul> <p>May assist other examiners with traditional (non-IS exams) safety and soundness financial examinations.</p>
10%		Designs, develops, and maintains specialized automated information services required by the section managers, examiners, support staff, and general public. Data processing activity in this area is coordinated with Central Services Division's technical staff and Department policy.
5%		Reviews federal regulator's IS examination reports on Oregon chartered financial institutions. Determines whether any issues identified can be addressed in follow-up examinations of the institution or whether immediate regulatory action may be necessary.
2%		Responds to requests for information from regulated financial institutions. Generates custom and pre-programmed reports.
5%		Attends specialized IS training and other educational activities in order to maintain and upgrade skills and to stay current with technological advances and professional standards
At all times		<p><b><u>Expectations of all DFR employees</u></b></p> <p>Provide prompt 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, regularly and timely report to work.</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> <p><b><u>Data Stewardship</u></b></p> <p>Per IRM-07, has the responsibility and accountability for a set of business information. This includes: Controlling access to the data, ensuring those who do have access can get what they need when they need it, and ensuring the data is accurate and kept up to date.</p> <p>As a Data Steward responsible for both the managerial and operational roles, has the responsibility and authority to approve and signoff on IMD Service Requests, Risk Assessments, and System Access Requests. Ensures that data entry staff are trained and have desk manuals, and that data quality processes and appropriate internal controls are in place. Proposes and implements processes to ensure data quality and internal controls, assesses the quality of data, resolves data issues, maintains business rule and data definition information, and coordinates changes to the meaning of data.</p> <p>Understands and follows DCBS policies related to data stewardship, especially IRM-04 and IRM-07. Has a basic understanding of the Data Stewardship References listed under Section 5 Guidelines below.</p>
100%		

---

**SECTION 4. WORKING CONDITIONS**

Describe special working conditions, if any, that are a regular part of this job. Include frequency of exposure to these conditions.

Statewide travel, normally in state motor pool vehicles with two to five occupants. Overnight absence from home (two to four nights a week).

---

**SECTION 5. GUIDELINES**

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

- State of Oregon banking and credit union codes
- Department/Division rules and policies
- Statutes and rules promulgated by federal agencies

b. How are these guidelines used to perform the job?

- State banking and credit union codes determine how we regulate state-chartered financial institutions.
- Department/Division statutes and rules are used to determine examination procedures and to set forth employee conduct.
- Federal regulations affect our regulatory process by interdependence written in the statutes.
- FFIEC handbook determines examination procedures.

---

**SECTION 6. WORK CONTACTS**

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

<u>Who Contacted</u>	<u>How</u>	<u>Purpose</u>	<u>How Often?</u>
Financial Institution Personnel	In person written phone	To obtain information, discuss condition of institution, ensure compliance with laws and regulations.	Daily
Other Federal/State regulators	In person written phone	To obtain information, discuss condition of institution, ensure compliance with laws and regulations.	Frequently
Division Staff	In person written phone	To obtain information, discuss condition of institution, ensure compliance with laws and regulations.	Daily

---

**SECTION 7. JOB-RELATED DECISION MAKING**

Describe the kinds of decisions likely to be made by this position. Indicate effect of these decisions where possible.

Reliability of examination work is critical as it verifies the safety and soundness of financial institutions and their data security procedures. This ultimately contributes to the security and protection of the personal information of Oregon consumers. Integrity of examination results is also crucial as federal agencies often rely on the accuracy of our findings. Assignment of examiner duties affects efficiency and effectiveness of examination. Evaluation of employee performance on-the-job affects employee training, planning, and performance review by supervisor. Analysis and rating of the condition of financial institutions affects the level of formal supervision required. Development and maintenance of in-house automated information services affects the productivity and efficiency of all the Division's staff.

---

**SECTION 8. REVIEW OF WORK**

Who reviews the work of this position? (List classification title and position number.) How? How often? Purpose of the review?

Principal Executive/Manager E (0001.632); by observation; Periodic progress reports or meetings as needed.  
Purpose - determines examiner ability to carry out the examination and in-house support functions associated with this position, quarterly performance reviews.

---

**SECTION 9. SUPERVISORY DUTIES** TO BE COMPLETED **ONLY** FOR POSITIONS IN MANAGEMENT SERVICE

a. How many employees are directly supervised by this position? 0 Through Subordinate Supervisors? 0

b. Which of the following supervisory/management activities does this job perform?

- |  |   |  |
|--|---|--|
| <input type="checkbox"/> Plans Work    | <input type="checkbox"/> Responds to Grievances | <input type="checkbox"/> Hires/Fires (or Effectively Recommends)   |
| <input type="checkbox"/> Assigns Work  | <input type="checkbox"/> Disciplines/Rewards    | <input type="checkbox"/> Prepares and Signs Performance Appraisals |
| <input type="checkbox"/> Approves Work |   |  |

---

**SECTION 10. ADDITIONAL JOB-RELATED INFORMATION**

Any other comments that would add to an understanding of this position:

This position is eligible for remote work on a part-time basis once the incumbent has gained the proficiency to perform work independently. However, regular, scheduled office hours are also required.

**SPECIAL REQUIREMENTS:** List any special mandatory recruiting requirements for this position:

This position is subject to a fingerprinted criminal background check.

This position requires a valid motor vehicle driver's license and satisfactory driving record.

**BUDGET AUTHORITY:** If this position has authority to commit agency operating money, indicate in what area, how much (biennially) and type of funds:

---

**SECTION 11. ORGANIZATIONAL CHART**

Attach a current organizational chart. See instructions for detail to be included on the chart.

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

\_\_\_\_\_  
Date

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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Appointing Authority Signature

\_\_\_\_\_  
Date