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: Principal Executive/Manager G
b. Class No.: Z7012
c. Effective Date: April 28, 2020
d. Position No.: 0003.001
e. Working Title: Administrator
f. Work Unit: Division of Financial Regulation
g. Agency No.: 44000
h. Agency Name: DCBS
i. Employee Name: Vacant
j. Work Location (City-County): Salem - Marion

k. Position: ☒ Permanent
☐ Seasonal
☐ Limited Duration
☐ Academic Year
☐ Full Time
☐ Part Time
☐ Intermittent
☐ Job Share

l. FLSA:
☐ Exempt
If Exempt: ☒ Exec
☐ Non-Exempt
☐ 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, Oregon Health Insurance Marketplace, Building Codes Division, Small Business Ombudsman, and Ombudsman for Injured Workers. The department provides shared services to all divisions through the Director’s Office, Central Services Division, and Employee Services. The department also includes the Workers’ Compensation Board. DCBS employs approximately 928 employees and has a biennial operating budget of approximately $202 million.

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.

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 . . .

Serve as the administrator of the Division of Financial Regulation directing and setting the overall direction, policy, division priorities and use of resources to bring about strategic change that encourages the widest range of stable, innovative and competitive financial and insurance services, products, and information for Oregonians that are safe, sound and fraud-free. This position is responsible for continuously improving the regulation of financial and insurance
institutions for the protection of consumers and maintaining an effective system that promotes and encourages innovation and healthy competition. This position is responsible for establishing division vision, mission and goals.

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.

<table>
<thead>
<tr>
<th>% of Time</th>
<th>N/R</th>
<th>DUTIES</th>
</tr>
</thead>
</table>

**Executive Leadership Team**
Report directly to the agency director and serve as a member of the DCBS Executive Management Team to contribute to the overall agency strategic planning, goal setting, policy determination, and provide mindful and effective recommendations for resolution of agency-wide issues.

Serve as the expert resource on issues related to insurance and financial services and provide the Executive Leadership Team with division updates, including information regarding legislation or other issues that may have impact across the agency.

Communicate and support agency decisions within the Division of Financial Regulation to ensure all DFR employees have a clear understanding of the purpose of DFR and the important work they do to support the vision of the agency. Implement policy decisions and changes as determined by DCBS director and executive team.

**Leadership and Oversight:**
Develop and implement effective section policies and procedures consistent with the protection of consumers. Provide leadership, oversight and guidance to management and professional staff responsible for financial and insurance regulatory activities that protect consumers, maintain confidence and support the financial and insurance industries, assist other state and federal regulatory agencies, and provide information for the public. Responsible for the development, implementation, and revision of program policies and procedures and program priorities.

Serve as the division resource on regulatory matters and statute interpretations pertaining to financial and insurance regulation and consumer protection. Maintain contact and collaboration with federal, other state and states’ authorities to ensure compliancy with federal and state regulations related to financial institutions and insurance industry.

Serve as an advisor on multi-jurisdictional issues to division, department and statewide leadership. Determine extent of Oregon’s participation in multi-jurisdictional issues involving financial and insurance institutions and the state’s interest. Work with various public groups in developing administrative rules and legislation, and testify before legislative committees.

Serve as primary architect of the director’s public policy recommendations in regard to the regulation of the financial and insurance industries in Oregon. Ensure director is apprised of significant issues. Participate in discussions of problems and develop solutions with other division managers. Oversees development of legislative concepts and division benchmarks involving financial matters. Establish procedures to implement legislation and work with stakeholders to develop legislation. Develop and/or reviews legislation and administrative rules.

Oversee the Ancillary Receivership process to ensure ancillary receiverships are opened in a timely fashion; assets in custody of director are properly controlled and released to the Oregon Insurance Guaranty Association when needed, proper accounting of assets is maintained. Serve as liaison between division and Oregon insurance guaranty associations.

**Perform Supervisory Functions:**
Provide strategic vision and direction for division management and staff. Manage management and professional staff by determining and establishing direction, purpose, scope and divisional goals in accordance with statutes and rules, formal working agreements with regulatory agencies and other
agreements. Ensure implementation of objectives and missions of the department and division. Regularly meet with staff to set policies and procedures in response to changes in federal and state laws, rules and urgent issues, and changes in the industries.

Provide section managers with training, clear counsel and guidelines in management of their sections. Interpret and determine policy issues and provide staff with clear counsel, attendant training and guidelines and preparation of reports. Plan, assign, prioritize, delegate and review work products.

Hire, train, reward, coach, and mentor staff and section managers, and impose discipline when performance and conduct so warrant. Complete performance appraisals, counsel staff and initiate personnel actions, as needed, and resolve grievances. Develop and maintain a high performing work team characterized by respectful and productive relationships within the team, and with other employees.

Public Policy and Legislative Expectations
Serve as the key spokesperson involved in a variety of legislative proposals, working with interested groups to seek consensus, testifying before the legislature and making presentations to other government and civic groups. Ensure stakeholders continue to communicate their strong trust and that they are able to provide effective input and report high levels of satisfaction.

Present public policy issues before management labor advisory committee for insurance and financial services, and both houses of the legislature to ensure the legislature continues to communicate a high level of trust in agency.

Provide input to assist in public policy development. Oversee development and deliver bill and fiscal analysis of insurance and financial services legislation intended to provide consumers with the best ensuring the safety and soundness of financial institutions, the availability and affordability of financial products, and the fair treatment of consumers.

Budget Execution:
Direct and monitor the development and execution of the division's biennial budget according to policy and law, ensure agency and division measures are in place for expending state funds. Operate division activities within legislatively approved limits. Review fund balances and participate in development of fund assessments annually to ensure adequate funding for efficient division operations.

Performance Measurement
Establish performance standards and measure progress towards meeting performance goals applicable to the program. Track relevant measures to assist the administration and legislature to determine patterns of growth, funding needs and workload needs.

Other duties as may be assigned by the director to ensure that the mission and objectives of the division and the department are met.

On Going
Perform duties of the position in a manner which promotes customer service including treating people with courtesy and respect; follows through on promises/commitments; demonstrates promptness, flexibility and cooperative efforts in problem solving; and explains procedures/technical requirements in a tactful, clear and concise way.

The incumbent will also demonstrate effective team participation by showing a willingness to assist and support others; developing a good working relationship with division employees; active participation in accomplishing group projects; accepting constructive criticism and suggestions and makes an effort to improve performance; contributes to a positive and productive work atmosphere; promotes diversity in the work force and the performance of duties; and actively participates in a constructive manner to identify and resolve problems.

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.
**Data Stewardship.** 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.

As a Data Steward responsible for both the managerial and operational roles, has the responsibility and authority to approve and signoff on IT&R Service Requests, Risk Assessments, and System Access Requests. Ensures data entry staff are trained and have desk manuals, and 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.

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.

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**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.

- Typical open state government office environment. Requires moderate amount of in- and out-of-state travel for collaboration, training and meetings/conferences. Occasional evening and weekend work may be required. Requires a valid Oregon driver’s license or other acceptable alternative transportation methods.

- May deal with angry people who are in disagreement about division policies or interpretation of the law. Occasionally subjected to pressure by investigative reporters for print and electronic media in search of a story, or by state and federal legislators or staff on behalf of constituents.

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**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.

- Federal statutes and regulations governing programs regulated by the division;
- Oregon Revised Statutes and Oregon Administrative Rules governing programs regulated by the division;
- Collective bargaining agreements;
- Statewide, agency, and division policies and procedures, including fiscal policies, standards and practices for financial administration;
- Program manuals;
- Regulations and standards of national and state trade organizations;
- IRM04-DCBS Application Development Policy, IRM07-DCBS Corporate Data Policy;
- Data Stewardship References: HIPAA (Health Information Portability & Accountability Act), Public Records laws (ORS 192.501), Juvenile Information Protection Act, Rehabilitation Act Section 508 (ADA), Credit card standards, DAS IRMD Security Guidelines, HB 2112 UETA (Uniform Electronic Transaction Act), HB 3839 (Keep electronic funds transfer data private), E-Sign, Oregon Digital Signature Law, Consumer privacy (in financial services).

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

- Often used in daily job performance. For use to ensure compliance with applicable state and federal regulations and guide, develop legislative concepts, and as resource tools in order to serve as policy advisor to executive leadership.

Policies describe the data steward role in managing DCBS system and data. The Data Stewardship References describe requirements and issues that should be considered by a data steward to properly manage data for which they are responsible.
SECTION 6. WORK CONTACTS
With whom outside of co-workers in this work unit must this position regularly come in contact?

<table>
<thead>
<tr>
<th>Who Contacted</th>
<th>How</th>
<th>Purpose</th>
<th>How Often?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department staff</td>
<td>By phone, in writing, in person</td>
<td>Discuss/resolve issues, provide information</td>
<td>Daily</td>
</tr>
<tr>
<td>Industry representatives</td>
<td>By phone, in writing, in person</td>
<td>Discuss/resolve issues, provide information</td>
<td>Frequently</td>
</tr>
<tr>
<td>Consumer representatives</td>
<td>By phone, in writing, in person</td>
<td>Discuss/resolve issues, provide information</td>
<td>Frequently</td>
</tr>
<tr>
<td>Other state and federal personnel</td>
<td>By phone, in writing, in person</td>
<td>Discuss/resolve issues, provide information</td>
<td>Frequently</td>
</tr>
<tr>
<td>Media</td>
<td>By phone, in writing, in person</td>
<td>Provide information</td>
<td>Frequently</td>
</tr>
<tr>
<td>Public</td>
<td>By phone, in writing, in person</td>
<td>Provide information</td>
<td>Occasionally</td>
</tr>
</tbody>
</table>

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.

This position will establish the vision, mission and goals of the division. This position sets direction for managers to determine effective implementation of financial regulation and consumer protection services.

This position will determine divisional performance goals, establishing jobs to achieve sufficient and efficient organizational structure to achieve goals, conduct strategic planning and initiative development at division level. This position is responsible for effective determination of hiring of executive-level managers and lower-level staff. This position will decide on policy matters for the division.

Issues that have effect beyond the Division of Financial Regulation within DCBS are shared with Director or Deputy Director.

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?

Director, DCBS, Z7016, Principal Executive Manager I, 1000.432 and Deputy director, DCBS, Z7014, Principal Executive Manager H, 1000.411. Reviews work on an infrequent basis. Interaction occurs to provide or exchange information, seek opinion or concurrence in major policy areas, keep Director informed of condition and possible upcoming changes which may affect political arena, and regulated industries.
SECTION 9. SUPERVISORY DUTIES  TO BE COMPLETED ONLY FOR POSITIONS IN MANAGEMENT SERVICE

a. How many employees are directly supervised by this position? 2  Through Subordinate Supervisors? 162

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

- Plans Work
- Assigns Work
- Approves Work
- Responds to Grievances
- Disciplines/Rewards
- Hires/Fires (or Effectively Recommends)
- Prepares and Signs Performance Appraisals

SECTION 10. ADDITIONAL JOB-RELATED INFORMATION

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

- Per ORS 731.228, no Division of Financial Regulation employee shall be a director, officer, or employee of or be financially interested in any person regulated by the insurance code, except as a policy holder or claimant under an insurance policy or by rights vested in commission, fees, or retirement benefits prior to being employed by the division.
- As an employee, you must comply with the Oregon government ethics laws, ORS 244.010 0 244.280, and DCBS Policy EMP-01, Ethics and Conflict of Interest.

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

This position requires a person who thinks critically and who has, or can quickly acquire, general (and occasionally very specific) knowledge of a large number of regulatory programs. The person in this position must be dispassionate, fair-minded and a strong leader. Prior experience directly supervising a major financial services and/or securities regulatory program is helpful, but not essential.

Must possess a BA or BS degree or satisfactory equivalent and experience in examination, auditing, accounting or actuarial work that included knowledge of insurance and financial institution accounting laws, and three years as an insurance / financial operations examiner. Must be eligible to hold the CFE designation.

As part of the executive management teams of both the department and the division, the person’s character, leadership and critical thinking qualities must be of a high caliber.

This position is subject to a fingerprinted criminal background check.

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

- Has signature authority for division programs. Budget is approximately 41 million per biennium. Specific signature authority is in DCBS signature authority data base.

SECTION 11. ORGANIZATIONAL CHART

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