STATE OF OREGON
POSITION DESCRIPTION

Position Revised Date: 8/1/25

Agency: Department of Consumer & Business Services

Facility: Labor & Industries Building

☐ New ☒ Revised

This position is:
☒ Classified
☐ Unclassified
☐ Executive Service
☐ Mgmt. Svc – Supervisory
☐ Mgmt. Svc – Managerial
☐ Mgmt. Svc - Confidential

SECTION 1. POSITION INFORMATION

a. Classification Title:	Investigator 3	**b.** Classification No:	C5233
c. Working Title:	Enforcement Investigator	**d.** PPDB No/WD ID:	0003.025
e. Section Title:	Enforcement Section, Division of Financial Regulation	**f.** Agency No:	44000
g. Employee Name:		**h.** Budget Auth No:	221720
i. Supervisor Name:	Dorothy Bean	**j.** Repr. Code:	OAS
k. Work Location (City – County):	Salem - Marion		

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

m. FLSA: ☐ Exempt ☒ Non-Exempt

If Exempt: ☐ Executive/Supervisory ☐ Administrative ☐ Professional ☐ Computer

n. Eligible for Overtime: ☒ Yes ☐ No

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 Ombudsman 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 mission of the **Department of Consumer and Business Services** is "to protect and serve Oregon's consumers and workers while supporting a positive business climate in the state." 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 Enforcement team is focused on protecting consumers from past, ongoing or future harm by regulated entities' non-compliance with laws and rules. This team investigates alleged violations of laws or rules and develops and implements enforcement and remediation strategies to correct and/or prevent consumer harm. The Enforcement team will work with other teams to develop strategic areas of focus to protect those who are most vulnerable in our financial markets and inform policy.

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:

The purpose of this Investigation position is to investigate allegations of violation of diverse issues including but not limited to violations of the Oregon Insurance Code, financial fraud, dishonest practices, employee theft, misrepresentation, and unfair trade practices. Frequently, alleged violations are found to be multi-jurisdictional which requires this position to lead or participate in investigations with other law enforcement and regulatory agencies (city, county, state, and federal), and the Department of Justice to conclude the investigation.

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.

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

% of Time	N/R/NC	E/NE	DUTIES
Ongoing			• 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 diversify the workforce. • Regular attendance is an essential function required to meet the demands of this job and to provide necessary services.

80%			• Receives incoming complaints from supervisor, screen and evaluate complaints to identify specific issues, obtain preliminary information from internal and other sources to determine scope of potential violations. Receives referrals of investigation cases from various state regulators, law enforcement agencies, attorney general's office, consumer advocacy units, and private individuals and companies. Conducts complex investigations by gathering and preserving factual information and evidence supporting or disproving allegations from sources such as law enforcement and regulatory agencies (city, county, state and federal), financial institutions, witnesses, respondents, and various databases and sources to determine the potential violations and scope of investigation. • Administers oaths and affirmations on behalf of the Director; may conduct extensive formal and informal interviews with law enforcement agencies (city, county, state and federal), legal counsel, licensees and company personnel, and others to gather facts and collect evidence related to possible violations of the statutes and rules regulated by DFR. Interviews can include recorded and sworn testimony. Collects physical evidence (i.e. computer system records, financial records, company records, etc.), analyzes claims files, financial transactions, business ledgers, bank records, contracts, offering documents, trust accounts, and other documents. Prepares subpoenas and affidavits in furtherance of investigations and civil or criminal proceedings. Participates in the development and furtherance of inter-agency and inter-jurisdictional cases; monitor and track case activity and developments. • Evaluates and analyzes facts to identify specific issues; decides on sufficiency of evidence and makes recommendations to forward the case for administrative review and action. Presents case findings to Chief of Enforcement, DFR Administrator, DCBS Director, Assistant Attorney General, and/or others for decision-making. Presents findings in clear, concise and properly documented reports. Notifies Federal Bureau of Investigation (FBI) of cases dealing with monetary amounts in excess of $50,000. Interprets and applies specific statutes and legal theories including the Oregon Insurance Code, Oregon Securities Law, Oregon Mortgage Lending statutes, among others, and administrative law as well as principles of tort/contract law. • Prepares extensive written legal reports, sufficient for use by DCBS and the Department of Justice in administrative hearings or a prosecutor of local jurisdiction in criminal prosecution, documenting the investigative course of action, facts, and evidence gathered. Explains administrative actions/sanctions to persons involved and may assist with negotiating settlements prior to hearings.
15%			• Assists Financial Enforcement Officers/Enforcement Staff Attorneys and Assistant Attorneys General in the development and presentation of administrative cases, and assists prosecutors in the development and presentation of criminal cases. Coordinates cases scheduled for contested case proceedings; assists legal counsel at hearings and trial with preparation of witnesses and exhibits. Testifies in court, administrative hearings, before grand juries, and other adjudicative bodies. Assists prosecutors in development and presentation of criminal cases.

5%			• Develops working knowledge in designated area of securities, mortgage lending, non-depository programs (NDP), insurance, identity theft, and other finance-related areas. Maintain proficiency and knowledge of applicable state and federal statutes and rules, and current trends related to specialized investigatory techniques. Provide information and training to staff and to investigators of regulatory agencies and other law enforcement groups.
Ongoing			• Performs position duties in a manner which promotes customer service and harmonious working relationships, including treating all persons courteously and respectfully. Engages in effective team participation through willingness to assist and support co-workers, supervisors and other work-related associations. Develops good working relationships with division and agency staff through active participation in accomplishing group projects and in identifying and resolving problems in a constructive manner. Demonstrates openness of constructive feedback/criticism and suggestions in an effort to strengthen work performance. Contributes to a positive, respectful and productive work place. Regular attendance is an essential requirement of this position. • Driving is an essential duty of this position. The position requires a valid motor vehicle driver's license and safe driving record. Drivers must obey state driving laws and rules while driving state-owned vehicles or private vehicles for official duty.

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.

Majority of work is in office setting, in open office area, that involves extensive computer work. Must be proficient in typing. Periodic in-state travel involved, with occasional out of state travel. Investigators are required to work, at times, undercover in which person's identity is not disclosed. Occasionally requires working long hours. Must work with people from variety of educational, cultural and social-economic backgrounds and effectively control persons in various emotional states and stressful situations, including hostile and defensive people. This position is eligible to telework on a part-time basis once the incumbent has gained the proficiency to perform work independently. However, regular scheduled office hours are also required.

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.

Oregon Revised Statutes Chapters 59, 86A, 97, 446, 645, 646, 646A, 650, 697, 706, 707, 708A, 709, 711, 713, 714, 716, 717, 725, 726, 722, 723
Oregon Insurance Code, ORS 731-750
Oregon Administrative Rules for Securities, Banking, Credit Unions, Insurance, Mortgage Lending, Identity Theft, Non-depository programs and contested cases
Oregon and Federal securities statutes, case law and rules
Federal and Oregon civil procedures and rules
Federal and Oregon criminal law and procedures
Generally Accepted Accounting Principles

Oregon Rules of Evidence
Law Enforcement Data Systems (LEDS)
Financial Institutions Registration and Enforcement (FIRE) computer system
Central Registration Depository (CRD) computer system
Oregon Revised Statutes Chapter 183, and administrative rules relating to contested administrative hearings, Oregon Revised Statutes Chapter 192, Public Records Law
Federal laws and guidelines concerning Truth-in-Lending, Financial Privacy and Money Laundering
Regulations and standards of securities self-regulatory organizations such as the Financial Industry Regulatory Authority, Inc. (FINRA) and International Association of Financial Planners
NMLS Licensing system
SBS Licensing/Enforcement system

b. How are these guidelines used?

The investigator uses the guidelines to evaluate the merits of complaints received; to provide guidance on investigations and analysis of evidence; to determine whether the evidence supports administrative, civil, or criminal enforcement action, including the direction to proceed on a case, the merits of evidence obtained, the elements to be proven at hearings, whether a case should be referred to another regulatory or law enforcement agency, and whether a case should be investigated independently by this office or jointly with another agency; and to evaluate settlement or alternative dispute processes during resolution of a case.

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?
Note: *If additional rows of the below table are needed, place curser at end of a row (outside table) and hit "Enter".*			
Other DFR units, including licensing, consumer advocacy, examinations, market regulation Private attorneys Oregon Department of Justice Public (consumers and investors) State and local law enforcement Self-Regulatory Organizations Federal Bureau of Investigation Internal Revenue Service US Postal Inspector Securities and Exchange Commission U.S. Attorney for Oregon District Attorneys	Phone; in person; e-mail; in writing, enforcement actions; meetings; formal investigative interviews and depositions; administrative hearings; civil and criminal court trials	Advise on enforcement policies and issues; negotiate settlements; coordinate enforcement strategies and actions; inform, sanction and prosecute perpetrators of fraud; develop enforcement policy	Daily
State Agencies	In person, email, memo, phone	Consult, inform, obtain guidance	As Needed
FR Lead Enforcement Officer/Chief of	In person, email, memo, phone	Consult, inform, obtain guidance	As Needed

Enforcement/Administrator/Director			

SECTION 7. POSITION RELATED DECISION MAKING

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

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

Make decisions regarding the scope and direction of the investigation; whether to continue information gathering or conclude investigation based on evidence; determinations if facts gathered are sufficient to support the referral of the case for administrative review and possible sanction and/or for referral to law enforcement agencies.

Decisions, while reviewed and formally authorized by supervisor, are based upon investigator's recommendation. Effect is that cases are often pursued or closed without formal action based on investigator's recommendation.

Must maintain confidentiality of information gathered relative to an investigation.

SECTION 8. REVIEW OF WORK

Who reviews the work of the position?

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

Classification Title	Position Number	How	How Often	Purpose of Review
Lead Enforcement Officer and Chief of Enforcement, Enforcement Section Manager, Compliance and Regulatory Manager 2	0009.701	Reviews work as needed		Evaluate quality and completeness of investigation, and ensure enforcement actions are within Department and Division standards.
Annual performance appraisal				

SECTION 9. OVERSIGHT FUNCTIONS

THIS SECTION IS FOR SUPERVISORY POSITIONS ONLY

a. How many employees are directly supervised by this position? 0
How many employees are supervised through a subordinate supervisor? 0

b. Which of the following activities does this position do?

- ☐ Plan work
- ☐ Assigns work
- ☐ Approves work
- ☐ Responds to grievances
- ☐ Disciplines and rewards
- ☐ Coordinates schedules
- ☐ Hires and discharges
- ☐ Recommends hiring
- ☐ Gives input for performance evaluations
- ☐ 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:

This position serves as a point person for the investigative unit of the division. The Investigator is the first person most complainants, witnesses and respondents speak with. A person in this position must be bright, quick, inquisitive, perceptive, thorough, professional, hard-working, able to work independently and also work at the direction of another person.

Must have excellent writing and communication skills and be able to deal with individuals of varied education and training in multiple settings and under stressful conditions. Candidates should also be able to concurrently investigate a variety of matters, which may be at different stages of completion, bringing each to a timely and appropriate conclusion.

Required four years of recent (within the past ten years) investigation experience. College course work, preferably in law enforcement, pre-law, or social sciences, may be substituted for up to one year of the required experience. Preference may be given to applicants with at least two years of experience involving insurance, financial, or white-collar crime investigation, and/or analyzing financial records and transactions.

Per ORS 731.228 no Division employee shall be a director, officer, or employee of or be financially interested in any person regulated by the insurance code, except as a policyholder or claimant under an insurance policy or by rights vested in commission, fees, or retirement benefits prior to being employed with the division.

As an employee, you must comply with the Oregon government ethics laws, **ORS 244.010 – 244.280*,*** and **DCBS Policy EMP-01**, Ethics and Conflict of Interest.

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

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

None		

SECTION 11. ORGANIZATIONAL CHART

Attach a <u>current</u> 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		