



STATE OF CALIFORNIA  
Department of Business Oversight



EXAMINATION ANNOUNCEMENT  
CORPORATION EXAMINER IV (SUPERVISOR)  
PROMOTIONAL EXAMINATION

EDMUND G. BROWN JR., Governor

Anna M. Caballero, Agency Secretary  
Jan Lynn Owen, Commissioner of Business Oversight

THE STATE OF CALIFORNIA IS AN EQUAL OPPORTUNITY EMPLOYER TO ALL, REGARDLESS OF AGE, ANCESTRY, COLOR, DISABILITY (MENTAL AND PHYSICAL), EXERCISING THE RIGHT TO FAMILY CARE AND MEDICAL LEAVE, GENDER EXPRESSION, GENDER IDENTITY, GENETIC INFORMATION, MARITAL STATUS, MEDICAL CONDITION, MILITARY OR VETERAN STATUS, NATIONAL ORIGIN, POLITICAL AFFILIATION, RACE, RELIGIOUS CREED, SEX (INCLUDES PREGNANCY, CHILDBIRTH, BREASTFEEDING AND RELATED MEDICAL CONDITIONS), AND SEXUAL ORIENTATION.  
IT IS AN OBJECTIVE OF THE STATE OF CALIFORNIA TO ACHIEVE A DRUG-FREE STATE WORKPLACE. ANY APPLICANT FOR STATE EMPLOYMENT WILL BE EXPECTED TO BEHAVE IN ACCORDANCE WITH THIS OBJECTIVE, BECAUSE THE USE OF ILLEGAL DRUGS IS INCONSISTENT WITH THE LAW OF THE STATE, THE RULES GOVERNING CIVIL SERVICE, AND THE SPECIAL TRUST PLACED IN PUBLIC SERVANTS.

**DEPARTMENTAL PROMOTIONAL EXAMINATION**

**WHO MAY APPLY**

Competition is limited to applicants who have a permanent civil service appointment with the Department of Business Oversight as of the final filing date listed below, or must be: 1) a current or former employee of the Legislature for two or more years as defined in Government Code Section 18990; or 2) a non-elected exempt employee of the Executive Branch for two or more consecutive years as defined in Government Code Section 18992; or 3) a person retired from the United States Military, honorably discharged from active military duty with a service-connected disability, or honorably discharged from active duty as defined in Government Code Section 18991.

**HOW TO APPLY**

Submit Examination Application (STD. 678) to:

**DEPARTMENT OF BUSINESS OVERSIGHT  
ATTN: HUMAN RESOURCES/EXAM UNIT  
1515 K STREET, SUITE 200  
SACRAMENTO, CA 95814**

**APPLICANTS MUST INCLUDE EXAM CODE 5CP21-02 ON THEIR APPLICATION**

The Examination Application (STD. 678) must be postmarked no later than the final filing date. Applications postmarked, personally delivered after 5:00 p.m., or received via interoffice mail after the final filing date will NOT be accepted. Faxed or emailed applications will not be accepted.

**FINAL FILING DATE: OCTOBER 20, 2015**

**CROSS FILING INFORMATION**

If you meet the requirements for admittance to this examination and the Corporation Examiner IV (Specialist), you may file for both examinations on a single application. However, you must list the examination title(s) of each examination you wish to file for on the Examination Application (STD. 678). You will only be considered for acceptance into the examination(s) that you have listed on your application.

**SPECIAL TESTING ARRANGEMENTS**

If you have a disability that requires accommodation, mark the appropriate box in Part 2 of the Examination Application (STD. 678). You will be contacted about specific testing arrangements.

**SALARY RANGE: \$6,110 - \$7,984**

**REQUIREMENTS FOR ADMITTANCE TO THE EXAMINATION**

**Note: All applicants must meet the education and/or experience requirements for this examination by the final filing date. Applications must include "from" and "to" employment dates (month/day/year), time base, hours per week, civil service class title(s) and range (if applicable). Applications received without this information will be rejected.** Your signature on your application indicates that you have read, understood, and possess the basic qualifications required.

Qualifying experience may be combined on a proportionate basis if the requirements stated below include more than one pattern and are distinguished as "Either" I "or" II, "or" III, etc. For example, candidates possessing qualifying experience amounting to 50% of the required time of Pattern I, and additional experience amounting to 50% of the required time of Pattern II, may be admitted to the examination as meeting 100% of the overall experience requirement.

**MINIMUM QUALIFICATIONS**

**Either I**

One year of experience in the California state service performing professional accounting or auditing duties of a class at a level of responsibility equivalent to that of Corporation Examiner, Range B.

**Or II**

Experience: Four years of increasingly responsible professional accounting or auditing experience, including two years supervising a staff of accountants and auditors. (Experience in California state service applied toward this requirement must include one year performing the duties of a class at a level of responsibility equivalent to that of Corporation Examiner, Range B.);

**And**

Education:

**Either**

1. Equivalent to graduation from college with specialization in accounting;

**Or**

2. Completion of either:
  - a. A prescribed professional accounting curriculum given by a residence or correspondence school of accountancy, including courses in elementary and advanced accounting, auditing, cost accounting and business law; or
  - b. The equivalent of sixteen semester hours of professional accounting courses given by a collegiate-grade residence institution, including courses in elementary and advanced accounting, auditing, and cost accounting; and three semester hours of business law.

**SPECIAL PERSONAL CHARACTERISTICS**

Ability to qualify for a fidelity bond.

**ADDITIONAL DESIRABLE QUALIFICATIONS**

In appraising the relative qualifications of candidates, consideration will be given to the extent and type of pertinent education beyond that required under "Minimum Qualifications." Preferred additional education includes college level courses in business administration, public administration, accounting, auditing, business law, and corporate finance.

**POSITION DESCRIPTION**

A Corporation Examiner IV (Supervisor) either (1) supervises a group of examiners engaged in field examinations, or (2) assists in the organization, planning, and direction of a regional examination program.

Positions exist in Los Angeles, Sacramento, San Diego and San Francisco.

## EXAMINATION INFORMATION

### TRAINING AND EXPERIENCE QUESTIONNAIRE WEIGHTED 100%

This examination will consist of a Training and Experience Questionnaire weighted 100%. In order to obtain a position on the eligible list, a minimum rating of 70% must be attained on the Training and Experience Questionnaire. **Qualifications Appraisal Panel (QAP) Interviews will not be conducted.**

Candidates who meet the Requirements for Admittance to the Examination "minimum qualifications" will be emailed (or mailed) a Training and Experience Questionnaire approximately two to three weeks after the final filing date. The Training and Experience Questionnaire is designed to elicit a range of specific information regarding each candidate's knowledge, skills, abilities, and potential to effectively perform the duties relative to the classification and scope as outlined on this bulletin. **Return of the Training and Experience Questionnaire is mandatory. Candidates who do not return the completed Training and Experience Questionnaire will be eliminated from the examination process.**

## SCOPE

### A. Knowledge of:

1. General and specialized accounting and auditing principles and procedures.
2. Laws, policies, rules and regulations administered by the Department of Business Oversight.
3. Financial organization and practices of organizations subject to regulation by the Department of Business Oversight.
4. Federal rules and regulations governing the issue and sale of corporate securities.
5. Business law.
6. Administrative practices and procedures.
7. Principles and techniques of personnel management and supervision.
8. The Department's Equal Employment Opportunity Program objectives.
9. A manager's role in the Equal Employment Opportunity Program and the processes available to meet equal employment opportunity objectives.

## SCOPE (Continued)

### B. Ability to:

1. Administer procedures and program activities.
2. Gather, organize, summarize and interpret financial data.
3. Analyze situations accurately and adopt an effective course of action.
4. Prepare reports.
5. Establish and maintain cooperative relations with those contacted in the work.
6. Communicate effectively.
7. Devise procedures and program activities.
8. Plan, organize and direct the work of others.
9. Effectively contribute to the Department's equal employment opportunity objectives.

## ELIGIBLE LIST INFORMATION

A departmental promotional eligible list will be established for the Department of Business Oversight. The resulting list will be in effect for a minimum of 12 months unless the needs of the service and conditions of the list warrant a change in this period.

## VETERANS' PREFERENCE

Veterans' preference points are not granted in promotional examinations.

## GENERAL INFORMATION

**It is the candidate's** responsibility to contact the DBO Office of Human Resources at (916) 327-0837 or (916) 327-6696 three days prior to the written test date if he/she has not received his/her notice; or three weeks after the final filing date if there is no written test.

**If a candidate's notice of oral interview** or performance test fails to reach him/her three days prior to their scheduled appointment due to a verified postal error, he/she will be rescheduled upon written request.

**Applications are available** online at [www.jobs.ca.gov](http://www.jobs.ca.gov), local offices of the Employment Development Department, and the Department of Business Oversight, 1515 K Street, Suite 200, (916) 445-6351 or at [www.dbo.ca.gov](http://www.dbo.ca.gov).

**If you meet the requirements** stated on this bulletin, you may take this examination, which is competitive. Possession of the entrance requirement(s) does not assure a place on the eligible list. All candidates who pass the examination will be ranked according to their scores.

**The Department of Business Oversight** reserves the right to revise the examination plan to better meet the needs of the service, should the circumstances under which this examination was planned change. Such revisions will be in accordance with civil service laws and rules and all competitors will be notified.

**Promotional Examinations Only:** Competition is limited to employees who have a permanent civil service appointment with Department of Business Oversight or must be: 1) a current or former employee of the Legislature for two or more years as defined in Government Code Section 18990; or 2) a non-elected exempt employee of the Executive Branch for two or more consecutive years as defined in Government Code Section 18992; or 3) a person retired from the United States Military, honorably discharged from active military duty with a service-connected disability, or honorably discharged from active duty as defined in Government Code Section 18991. Applicants applying under Government Code Section 18991 must provide documentation of retirement or honorable discharge from the United States Military. Under certain circumstances other employees may be allowed to compete under provisions of Rules 234, 235, and 235.2. State Personnel Board Rules 233, 234, 235, 235.2 and 237 contain provisions regarding civil service status and eligibility for promotional examinations. These rules may be reviewed at departmental personnel offices, State Personnel Board offices, or at [www.spb.ca.gov](http://www.spb.ca.gov).

**Examination Locations:** If this examination requires a written test and/or qualifications appraisal interview, it will be given in such places in California as the number of candidates and conditions warrant. Exams are typically scheduled in Los Angeles, Sacramento, San Diego, and/or San Francisco. However, locations may be limited or extended as conditions warrant.

**General Qualifications:** Candidates must possess essential personal qualifications including integrity, initiative, dependability, good judgment, and ability to work cooperatively with others; and a state of health consistent with the ability to perform the assigned duties of the class. A medical examination may be required. In open examinations, investigation may be made of employment records and personal history and fingerprinting may be required.

**Eligible Lists:** Eligible lists established by competitive examination, regardless of date, must be used in the following order: 1) sub-divisional promotional; 2) departmental promotional; 3) multi-departmental promotional; 4) service-wide promotional; 5) departmental open; and 6) open eligible list. When there are two lists of the same kind, the older must be used first. Eligible lists will expire in one to four years unless otherwise stated on this bulletin.

**Veterans' Preference:** Effective January 1, 2014, in accordance with Government Codes 18973.1 and 18973.5, Veterans' Preference will be awarded as follows: 1) Any veteran, widow or widower of a veteran, or spouse of a 100 percent disabled veteran, who achieves a passing score in an entrance examination, shall be ranked in the top rank of the resulting eligibility list. Any veteran who has been dishonorably discharged or released is not eligible for Veterans' Preference. 2) An entrance examination is defined, under the law, as any open competitive examination. And 3) Veterans' Preference is not granted once a person achieves permanent civil service status. Veteran status is verified by the California Department of Human Resources (CalHR). Directions to apply for Veterans' Preference are on the Veterans' Preference Application (CALHR 1093), which is available at: <http://jobs.ca.gov/Job/VeteransInformation>, and at the Department of Veterans Affairs <https://www.calvet.ca.gov/VetServices/Pages/State-Employment.aspx>.

TDD is Telecommunications Device for the Deaf and is reachable only from a phone equipped with a TDD Device.

California Relay (Telephone) service for the deaf or hearing-impaired:

From TDD Phone: 1-800-735-2929

From Voice Phone: 1-800-735-2922