STATE OF CALIFORNIA
Department of Business Oversight

EXAMINATION ANNOUNCEMENT
FINANCIAL INSTITUTIONS MANAGER
PROMOTIONAL EXAMINATION

DEPARTMENTAL PROMOTIONAL EXAMINATION

WHO SHOULD 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 18992; 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 S9P03 ON THE APPLICATION

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

Dates printed on mobile bar codes, such as Quick Response (QR) codes or equivalent mobile print technology are not considered postmark dates for the purposes of determining timely submission of an application.

FINAL FILING DATE: APRIL 25, 2019

SPECIAL TESTING ARRANGEMENTS
If you require special testing arrangements due to a verified disability or medical condition, mark the appropriate box in Part 2 of the Examination Application (STD. 678). You will be contacted about testing arrangements.

SALARY RANGE: $8,024 - $9,568

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, applicants 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
Experience: One year of experience in California state service performing professional examination duties of a class at a level of responsibility equivalent to that of a Senior Financial Institutions Examiner or Financial Institutions Supervisor.

Or II
Experience: Two years of experience in California state service performing professional auditing or examination duties of a class at a level of responsibility equivalent to that of a Financial Institutions Examiner, Range C.

Or III
Experience: Five years of increasingly responsible professional auditing or examination experience, including three years supervising a staff of accountants, auditors, or examiners. (Experience in California state service applied toward this requirement must include two years performing the duties in a class at a level of responsibility equivalent to that of a Financial Institutions Examiner, Range C.) and

Education: Equivalent to graduation from college with a specialization in accounting, business administration, economics, finance, or a related business/management specialization.

SPECIAL PERSONAL CHARACTERISTICS
Ability to qualify for a fidelity bond; willingness to travel and work away from the headquarters office; willingness to work in a variety of settings; capacity for assuming progressively greater responsibility; tact; and good interpersonal skills.

Demonstrated leadership and program planning ability; emotional maturity and stability; objective understanding of the mission of the Department.

POSITION DESCRIPTION
This is the managerial level of the series. The Financial Institutions Manager has significant responsibility for formulating or administering agency or Department policies and programs and to represent the Department as a prominent leader in regulatory matters. The incumbent defines the scope and direction of the program; directs and monitors a group of licensees; and plans, organizes, and directs the examination activities for a sector of the Department. The incumbent may have direct supervisory responsibility for assigned staff engaged in the performance of examinations and special projects.

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

TRAINING AND EXPERIENCE EVALUATION
WEIGHTED 100%

This examination will consist of a Training and Experience Evaluation 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 Evaluation. Qualifications Appraisal Panel (QAP) Interviews will not be conducted.

Applicants who meet the Requirements for Admittance to the Examination “minimum qualifications” will be emailed a Training and Experience Evaluation approximately four to five weeks after the final filing date. The Training and Experience Evaluation is designed to elicit a range of specific information regarding each applicant'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 Evaluation is mandatory. Applicants who do not return the completed Training and Experience Evaluation will be eliminated from the examination process.

SCOPE

A. Knowledge of:
1. General accounting and auditing principles and procedures.
2. Business law.
4. Information systems programs.
5. The English language with proficiency in reading, writing, and grammar.
6. Laws, policies, rules, and regulations administered by the Department of Business Oversight.
7. Financial operations and practices of organizations subject to regulation by the Department of Business Oversight.
8. Purposes, activities, and functions of the Department of Business Oversight.
10. Applicable Federal rules and regulations and operations of regulatory agencies that work closely with the Department.
11. Specialized accounting and auditing principles.
12. Financial examining practices obtained through on-the-job training and through prescribed training courses.
14. Complicated practices and procedures of the licensee.
15. Sophisticated data analysis.
17. Procedures, organization, and operations of the Department of Business Oversight.
18. How to evaluate reports generated by corresponding agencies, the industry, the institution, business firm, or service.
19. Other related agencies.
20. Provision of laws, rules, regulations, related legal opinions, and court decisions governing licensees and related departmental policies.
21. Techniques of good personnel management and principles of effective supervision, including individual development practices.
22. Supervisory responsibilities under the Ralph C. Dills Act.
23. A supervisor’s role in promoting equal opportunity in hiring, developing, and promoting employees and for maintaining a work environment that is free of discrimination and harassment.
24. Training methods and planning.
25. Budget process and procedures.
26. Department administrative practices and procedures.

B. Ability to (Continued):
6. Communicate effectively.
7. Evaluate and appraise information.
8. Analyze situations accurately and take effective action.
9. Use a variety of spreadsheets or word processing software packages.
10. Apply specialized financial examining practices and procedures.
11. Perform detailed portion of financial institution, business firm, or services examinations.
12. Analyze data and draw sound logical conclusions.
13. Apply specialized examination practices and procedures.
14. Analyze financial and operating statements, reports, and records relating to licensee operations.
15. Gather, organize, analyze, and summarize financial data and draw logical conclusions.
16. Prepare clear, concise, and accurate reports.
17. Discuss reports of examination and other financial data and hold meetings with executive officers and directors of financial institutions, business firms, and services.
18. Devise procedures and program activities.
19. Lead others in conducting examinations.
20. Plan, organize, direct, and evaluate the work of others.
21. Coordinate examinations with related agencies.
22. Conduct special studies and investigations relating to the practices of the licensee.
23. Appraise the most difficult and complex types of reports and information.
24. Analyze data and adopt the effective course of action.
25. Communicate effectively so instructions can be clearly understood.
26. Effectively apply the required technical knowledge.
27. Conduct in-service training programs.
28. Plan, organize, direct, and evaluate the work of employees.
29. Assess training needs of employees.
30. Develop staff.
31. Prepare individual development plans.
32. Respond to emergency situations.
33. Understand and fulfill supervisory responsibilities under the Ralph C. Dills Act.
34. Effectively promote equal opportunity in employment and maintain a work environment that is free of discrimination and harassment.
35. Make recommendations on personnel and equipment needs.
36. Provide budget data.
37. Individual performance appraisals.
38. Supervise, train, and motivate staff to achieve maximum effectiveness.
39. Apply effective principles of budget preparation and control, personnel management, business management, public administration, and regulatory administration.
40. Establish and maintain cooperative working relationships with officials and staff members, public agencies, and interested community and professional groups.
41. Establish procedures and plan program activities.
42. Direct and supervise the work of technical, professional, and clerical staff.

ELIGIBLE LIST INFORMATION

A departmental promotional eligible list will be established for the Department of Business Oversight. This list will be abolished 12 months after it is established 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.
It is the applicant's responsibility to contact the Department of Business Oversight (DBO) Human Resources Office, (916) 327-6696 or (916) 327-0837, three days prior to the written test date if he/she has not received his/her notice. For an examination without a written feature it is the applicant's responsibility to contact the DBO Human Resources Office three weeks after the final filing date if he/she has not received his/her notice. If an applicant'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 at the Department of Business Oversight, local offices of the Employment Development Department, and through your CalCareer account at www.calcareers.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. Your performance in the examination described in this bulletin will be rated against a predetermined job-related rating, and all applicants 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, if the circumstances under which this examination was planned change. Such revision will be in accordance with civil service laws and rules and all applicants 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.

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 applicants and conditions warrant. Examinations 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: Applicants 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: https://jobs.ca.gov/CalHRPublic/Landing/Jobs/VeteransInformation.aspx, 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