



STATE OF CALIFORNIA  
Department of Business Oversight



EXAMINATION ANNOUNCEMENT  
SENIOR FINANCIAL INSTITUTIONS EXAMINER  
PROMOTIONAL EXAMINATION

EDMUND G. BROWN JR., Governor

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, 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 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 6CP01 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: MARCH 8, 2016**

**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.

**WRITTEN TEST**

Applicants will be scheduled for the location nearest their residence unless otherwise indicated on the application. Applicants will be notified of the written test in their area. It is anticipated that the exam will be held in April/May 2016.

**SALARY RANGE: \$5,814 - \$7,642**

**REQUIREMENTS FOR ADMITTANCE TO THE EXAMINATION**

**Note: All applicants must meet the education and/or experience requirements for this examination by the written test 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 California state service performing the duties of a class at a level of responsibility equivalent to that of a Financial Institutions Examiner, Range C.

**Or II**

Four years of increasingly responsible experience in professional auditing or examination of financial institutions, business firms, or services. (Experience in California state service applied toward this requirement must include two years performing the duties of 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.

NOTE: Applications must contain the following information on degrees completed including: title; semester or quarter credits earned; name of institution; completion date and degree. You may attach additional pages if necessary. A copy of your college transcripts may also be included. The transcripts can be either official or unofficial.

**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.

**POSITION DESCRIPTION**

The Senior Financial Institutions Examiner is the advance journey or expert level of the series. The incumbents initiate, develop, or decide plans of action and evaluate and analyze work that is assigned. The status of work or the development of the problem is generally more difficult and there is greater responsibility for decisions and action. Well-developed analytical skills are required at this level.

The Senior Financial Institutions Examiner acts as lead person in the most complex examinations or is responsible for investigations where plans or actions must be initiated, developed, or decided upon to a great extent by the incumbent. This level may lead or be assigned special projects by management that require a high degree of self-direction and independent decision making.

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

## EXAMINATION INFORMATION

This examination will consist of a written test, multiple choice, weighted 100%. In order to obtain a position on the eligible list, a minimum score of 70% must be attained in the written exam. **COMPETITORS WHO DO NOT APPEAR FOR THE WRITTEN EXAM WILL BE DISQUALIFIED.** Please allow approximately 2 hours for the completion of the written test.

## SCOPE

### Written Test

#### A. Knowledge of:

1. General accounting and auditing principles and procedures.
2. Business law.
3. Statistics.
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.
9. Regulatory terminology.
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.
13. Technical report writing.
14. Complicated practices and procedures of the licensee.
15. Sophisticated data analysis.
16. Public speaking.
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.

#### B. Ability to:

1. Work arithmetical computations.
2. Gather, organize, summarize, and interpret financial data.
3. Analyze data and draw sound conclusions.
4. Prepare reports.
5. Establish and maintain cooperative relations with those contacted in the work.

## SCOPE

### Written Test (Cont'd)

#### B. Ability to (Cont'd):

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 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, and direct 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 an 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.

## 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 s/he 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: <https://jobs.ca.gov/Public/Jobs/Veterans.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