

Iowa Department of Administrative Services – Human Resources Enterprise
Job Classification Description

Financial Services Examiner Supervisor

Definition

Supervises/manages the examination process for state-chartered financial institutions; performs related work as required.

The work examples and competencies listed below are for illustrative purposes only and not intended to be the primary basis for position classification decisions.

Work Examples

Supervises and evaluates the work of subordinates; recommends personnel actions related to selection, disciplinary procedures, performance, leaves, grievances, work schedules, and assignments; administers personnel policies and procedures.

Communicates the vision, mission, goals, and objectives to all personnel either within an assigned region or statewide.

Promotes an environment that encourages effective working relationships with co-workers, supervisors, personnel of other regulatory agencies, and financial institution officers and employees.

Provides guidance to examiners on policies, procedures, regulations, laws, examination techniques, and other matters requiring technical and administrative aspects of their work.

Responsible for the quality of the examination reports prepared by examiners on the team.

Meets with financial institutions officers and/or board members to discuss examination findings as required.

Maintains positive working relationships with federal bank/credit union authorities and will contact these authorities as needed.

Maintains long-term schedule(s) including information concerning examination frequency, time required to conduct examinations, and resource capacity; maintains short-term schedule(s) including the scheduling of examinations based on plans produced by Examiner-in-Charge.

Assists in resolving staffing level issues when trends in staffing are identified. Assists other supervisors in resolving any temporary staffing surpluses or shortages that may occur.

Assists in monitoring risk conditions within assigned portfolio and assignment of risk ratings in cooperation with appropriate Financial Services Analyst or Examiner.

Assists Examiner-in-Charge in examination pre-planning activities including identifying risk conditions to be addressed during the examination; reviews examination plans produced by Examiner-in-Charge to ensure the planned examination procedures are adequate to address known risk conditions and identify unknown risks.

Reviews examination reports to ensure reports are complete, concise, consistent, accurate, and that ratings and recommendations are appropriate.

Assists in the application process as necessary.

Competencies Required

Knowledge:

- Law and Government – Laws, legal codes, court procedures, precedents, government regulations, executive orders, agency rules, and the democratic political process.
- English Language – The structure and content of the English language, including the meaning and spelling of words, rules of composition, and grammar.
- Economics and Accounting – Economic and accounting principles and practices, financial markets, banking, and analyzing and reporting financial data.
- Accounting and Auditing – Professional accounting and auditing theory, methods, standards, and procedures.
- Clerical Procedures – Word processing, managing files and records, designing forms, and other office procedures and terminology.
- Administrative – Administrative and office procedures and systems such as word processing, managing files and records, stenography and transcription, designing forms, and workplace terminology.
- Personnel and Human Resources – Principles and procedures for personnel recruitment, selection, training, compensation and benefits, labor relations and negotiation, and personnel information systems.

Abilities:

- Law and Government – Understand and adhere to applicable laws, legal codes, administrative rules, and regulations.
- Written Expression – Communicate information and ideas in writing so others will understand.
- Written Comprehension – Read and understand information and ideas presented in writing.
- Oral Expression – Communicate information and ideas in speaking so others will understand.
- Speech Clarity – Speak clearly so others can understand.
- Speech Recognition – Identify and understand the speech of another person.
- Deductive Reasoning – Apply general rules to specific problems to produce answers that make sense.
- Inductive Reasoning – Combine pieces of information to form general rules or conclusions.
- Information Ordering – Arrange things or actions in a certain order or pattern according to a specific rule or set of rules (e.g., patterns of numbers, letters, words, pictures, mathematical operations).
- Problem Sensitivity – Tell when something is wrong or is likely to go wrong. It does not involve solving the problem, only recognizing there is a problem.

Skills:

- Active Listening – Giving full attention to what other people are saying, taking time to understand the points being made, asking questions as appropriate, and not interrupting at inappropriate times.

- Critical Thinking – Using logic and reasoning to identify the strengths and weaknesses of alternative solutions, conclusions or approaches to problems.
- Reading Comprehension – Understanding written sentences and paragraphs in work related documents.
- Speaking – Talking to others to convey information effectively.
- Writing – Communicating effectively in writing as appropriate for the needs of the audience.
- Negotiation – Bringing others together and trying to reconcile differences.
- Active Learning – Understanding the implications of new information for both current and future problem-solving and decision-making.
- Judgment and Decision Making – Considering the relative costs and benefits of potential actions to choose the most appropriate one.
- Service Orientation – Actively looking for ways to help people.
- Complex Problem Solving – Identifying complex problems and reviewing related information to develop and evaluate options and implement solutions.
- Social Perceptiveness – Being aware of others’ reactions and understanding why they react as they do.
- Monitoring – Monitoring/Assessing performance of yourself, other individuals, or organizations to make improvements or take corrective action.
- Time Management – Managing one's own time and the time of others.

Minimum Qualification Requirements

Applicants must meet at least one of the following minimum requirements to qualify for positions in this job classification:

- 1) Graduation from an accredited four-year college or university with a degree in accounting, banking, business, real estate, administration, economics, finance, or a related field, and experience equal to seven years of full-time work in accounting, auditing, banking, budgeting, assessment or computation of taxes, examining financial institutions, financial regulatory compliance, or closely-related financial functions (e.g., treasurer, comptroller, accountant, auditor, budget analyst, etc.).
- 2) A total of eleven years of education (as described in number one) and/or full-time experience, where one year of full-time experience in accounting, auditing, banking, budgeting, assessment or computation of taxes, examining financial institutions, financial regulatory compliance, or closely-related financial functions (e.g., treasurer, comptroller, accountant, auditor, budget analyst, etc.) equals thirty semester hours of education.
- 3) All of the following (a, b, and c):
 - a. Five years of full-time work experience accounting, auditing, banking, budgeting, assessment or computation of taxes, examining financial institutions, financial regulatory compliance, or closely-related financial functions (e.g., treasurer, comptroller, accountant, auditor, budget analyst, etc.); and
 - b. A total of four years of education and/or full-time experience (as described in part a), where thirty semester hours of accredited college or university coursework in any field equals one year of full-time experience; and

- c. A total of two years of graduate-level education and/or full-time experience (as described in part a), where twenty-four semester hours of accredited graduate college or university coursework in accounting, banking, business administration or finance equals one year of full-time experience.
- 4) Possession of a Certified Public Accountant (CPA) certificate, and experience equal to six years of full-time work in auditing, accounting, banking, or examining financial institutions.
- 5) Graduation from an accredited law school, and experience equal to four years of full-time work in accounting, auditing, banking, budgeting, assessment or computation of taxes, examining financial institutions, financial regulatory compliance, or closely-related financial functions (e.g., treasurer, comptroller, accountant, auditor, budget analyst, etc.).

Notes

Travel, including overnight travel, may be required for positions in this class. Employees must arrange transportation to and from assigned work areas.

Effective date: 07/24 KC