



# Senior Financial Institutions Examiner

**Exam Code: 0PBBY**

**Department:** Department of Financial Protection and Innovation

**Exam Type:** Departmental, Promotional

**Final Filing Date:** Continuous

## CLASSIFICATION DETAILS

Senior Financial Institutions Examiner – \$7,503.00 - \$9,861.00 per month.

View [the Senior Financial Institutions Examiner classification specification](#)

## APPLICATION INSTRUCTIONS

Final Filing Date: Continuous

### Who Should Apply:

Applicants who meet the minimum qualifications as stated on this bulletin. As this is a promotional examination, your application will not be accepted unless you are currently a Department of Financial Protection and Innovation employee that meets the minimum qualifications or fall under: SPB rule 234; SPB rule 235; or Government Code 18990, 18991, or 18992.

Once you have taken this examination, you may not retake it for **twelve (12)** months.

### How To Apply:

The link to connect to the Training and Experience Evaluation is located farther down on this bulletin in the “Taking the Exam” section.

### Special Testing Arrangements:

If you require assistance or alternative testing arrangements due to a disability, please contact the testing department listed in the Contact Information section of this bulletin.

## MINIMUM QUALIFICATIONS

All applicants must meet the education and/or experience requirements as stated on this exam bulletin to be accepted into the examination. Part-time or full-time jobs,

regardless of whether paid or volunteer positions, and inside or outside California state service will count toward experience.

### **Senior Financial Institutions Examiner**

#### **Either I**

Experience: 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**

Experience: 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

## **POSITION DESCRIPTION**

### **Senior Financial Institutions Examiner**

This is the advanced 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 actions. 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.

## **EXAMINATION SCOPE**

This examination consists of the following components:

**Training and Experience Evaluation** – Weighted 100% of the final score.

The examination will consist solely of a **Training and Experience Evaluation**. To obtain a position on the eligible list, a minimum score of 70% must be received.

Applicants will receive their score upon completion of the Training and Experience Evaluation process.

In addition to evaluating applicants' relative knowledge, skills, and ability, as demonstrated by quality and breadth of education and/or experience, emphasis in each exam component will be measuring competitively, relative job demands, each applicant's:

**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 Financial Institutions
7. Financial operations and practices of organizations subject to regulation by the Department of Financial Institutions
8. Purposes, activities, and functions of the Department of Financial Institutions
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 Financial Institutions
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

**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
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 for the **Senior Financial Institutions Examiner** classification will be established for:

### **Department of Financial Protection and Innovation**

The names of **successful** competitors will be merged onto the eligible list in order of final score regardless of exam date. expires **twelve (12) months** after it is established. Applicants must then retake the examination to reestablish eligibility.

Veterans' Preference is not granted for promotional examinations.

## EXAMINATION INFORMATION

[Preview of the Senior Financial Institutions Examiner Training and Experience Evaluation](#)

## PREPARING FOR THE EXAMINATION

Here is a list of suggested resources to have available prior to taking the exam.

**Employment History:** Employment dates, job titles, organization names and addresses, names of supervisors or persons who can verify your job responsibilities, and phone numbers of persons listed above.

**Education:** School names and addresses, degrees earned, dates attended, courses taken (verifiable on a transcript), persons or office who can verify education, and phone numbers of persons or offices listed above.

**Training:** Class titles, certifications received, names of persons who can verify your training, and phone numbers of persons listed above.

## TAKING THE EXAMINATION

Take [the Senior Financial Institutions Examiner examination](#).

## TESTING DEPARTMENTS

Department of Financial Protection and Innovation

## CONTACT INFORMATION

If you have any **technical** questions concerning this examination bulletin, please contact:

California Department of Human Resources  
Attn: Examination Services  
1515 S Street  
Sacramento, CA 95811  
Phone: 1-866-844-8671  
California Relay Service: 1-800-735-2929 (TTY), 1-800-735-2922 (Voice)

If you have any administrative questions concerning this examination bulletin, including provision of reasonable accommodation for this testing process, please contact:

Department of Financial Protection and Innovation:

Email:

[careers@dfpi.ca.gov](mailto:careers@dfpi.ca.gov)

TTY is a Telecommunications Device for the Deaf, and is reachable only from phones equipped with a TTY Device.

## EQUAL OPPORTUNITY EMPLOYER

The State of California is an equal opportunity employer to all, regardless of age, ancestry, color, disability (mental and physical), exercising the right of 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 medical conditions), and sexual orientation.

## DRUG-FREE STATEMENT

It is an objective of the State of California to achieve a drug-free State work place. 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.

## GENERAL INFORMATION

Examination and/or Employment Application (STD 678) forms are available at the California Department of Human Resources, local offices of the Employment Development Department, and through your [CalCareer Account](#).

If you meet the requirements stated on this examination bulletin, you may take this examination, which is competitive. Possession of the entrance requirements 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 will be ranked according to their score.

The **Department of Financial Protection and Innovation** 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.

**General Qualifications:** Applicants must possess essential personal qualifications including integrity, initiative, dependability, good judgement, the 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) servicewide promotional, 5) departmental open, 6) open. 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 the bulletin.

High School Equivalence: Equivalence to completion of the 12<sup>th</sup> grade may be demonstrated in any one of the following ways: 1) passing the General Education Development (GED) Test; 2) completion of 12 semester units of college-level work; 3) certification from the State Department of Education, a local school board, or high school authorities that the competitor is considered to have education equivalent to graduation from high school; or 4) for clerical and accounting classes, substitution of business college work in place of high school on a year-for-year basis.