

CLASS TITLE: SUPERVISOR OF EXAMINATIONS

Class Code: 02611600

Pay Grade: 37A

EO: B

CLASS DEFINITION:

GENERAL STATEMENT OF DUTIES: To plan, coordinate, supervise and review the overall work of the divisional staff of examiners engaged in conducting examinations as required by the state banking laws and regulations; to participate in the conduct of complex examinations; to supervise the auditing of financial statements and related reports filed with the Banking Division; and to do related work as required.

SUPERVISION RECEIVED: Works under the general direction of a superior with wide latitude for the exercise of independent judgment and initiative; work is reviewed for conformance with laws, rules, regulations, established policies and procedures.

SUPERVISION EXERCISED: Plans, coordinates, supervises and reviews the overall work of a staff of professional examiners and support personnel.

ILLUSTRATIVE EXAMPLES OF WORK PERFORMED

To plan, coordinate, supervise and review the overall the work of the divisional staff of examiners engaged in conducting examinations as required by the state banking laws and regulations; to participate in the conduct of complex fiscal examinations which require in-depth review and investigation.

To supervise the auditing of financial statements and related reports filed with the Banking Division.

To be responsible for supervising the division's licensee monitoring system.

To supervise the conduct of financial statement desk audits of financial institutions and other licensees.

To review the findings of field examinations as reported by staff examiners and to summarize such findings and provide recommendations for the correction of violations and improper practices.

When directed, to present examination findings to officials of financial institutions for the purpose of explaining violations of laws or regulations or for directing their attention to any improper valuations and/or insufficiencies in liabilities.

To be responsible for preparing the division's annual report, as well as other required reports related to regulatory activities.

To establish and implement policies and systems to effectively gather and process data relative to examinations and the monitoring of financial institutions.

To assist a superior in the division's operations and functions.

To ensure training is provided to staff in order to maximize human resources and work product output.

To do related work as required.

REQUIRED QUALIFICATIONS FOR APPOINTMENT:

KNOWLEDGES, SKILL, AND CAPACITIES: A thorough knowledge of the provisions of the state laws regulating state chartered financial institutions, R.I. bank holding companies, credit unions, lenders, loan brokers, small loan lenders, foreign exchange transaction businesses, sellers of checks, electronic money transmitters, check cashers and debt management; a thorough knowledge of the principles and methods used in the examination of books, records and affairs of such institutions to verify that their assets and liabilities are in accordance with state laws; the ability to conduct examinations and to prepare reports thereon covering their scope and finding; the ability to plan, organize, coordinate, supervise and review the overall work of the divisional staff of examiners; the ability to assess training needs for staff and provide such training in order to maximize efficiency and effectiveness of divisional operations; and related capacities and abilities.

EDUCATION AND EXPERIENCE:

Education: Such as may have been gained through: graduation from a four year college of recognized standing with a major in accounting and professional designation of Certified Public Accountant (CPA), Certified Fraud Examiner (CFE), or Certified Financial Examiner (CFE); and **Experience:** Such as may have been gained through: employment involving supervisory responsibility for the conduct of examinations relating to the banking industry; or employment in a supervisory capacity in accounting or auditing work in the financial institution field.

Or, any combination of education and experience that shall be substantially equivalent to the above education and experience.

Class Revised: March 10, 2013