

**STATE OF WISCONSIN**  
**CLASSIFICATION SPECIFICATION**

**FINANCIAL EXAMINER SUPERVISOR**

**I. INTRODUCTION**

A. Purpose of This Classification Specification

This classification specification is the basic authority [under Wis. Admin. Code ER 2.04] for making classification decisions relative to present and future professional financial examiner supervisor positions located within the Department of Financial Institutions (Division of Banking or Office of Credit Unions). This classification specification will not specifically identify every eventuality or combination of duties and responsibilities of positions that currently exist, or those that result from changing program emphasis in the future. Rather, it is designed to serve as a framework for classification decision-making in this occupational area.

Classification decisions must be based on the “best fit” of the duties within the existing classification structure. The “best fit” is determined by the majority (i.e., more than 50%) of the work assigned to and performed by the position when compared to the class concepts and definition of this specification or through other methods of position analysis. Position analysis defines the nature and character of the work through the use of any or all of the following: definition statements; listing of areas of specialization; representative examples of work performed; allocation patterns of representative positions; job evaluation guide charts, standards or factors; statements of inclusion and exclusion; licensure or certification requirements; and other such information necessary to facilitate the assignment of positions to the appropriate classification.

B. Inclusions

This classification encompasses professional supervisory positions located within the Department of Financial Institutions (Division of Banking or Office of Credit Unions). Positions allocated to this classification supervise financial examiners involved in: 1) the examination and evaluation of data relative to the financial condition of state and/or federally insured banks and credit unions to insure compliance with existing administrative rules and state and/or federal regulations; 2) the regulation of mortgage bankers, mortgage brokers, or mortgage loan originators; or 3) the regulation of loan companies, payday lenders, sales finance companies, insurance premium finance companies, adjustment service companies, collection agencies, community currency exchanges, and/or seller of checks. The work includes assigning, reviewing and assessing the work of the supervised staff. Positions must meet the statutory definition of supervisor as defined in Wis. Stats. 111.81(19).

C. Exclusions

Excluded from this classification are the following types of positions:

1. Positions which do not meet the statutory definition of supervisor as defined in Wis. Stats. 111.81(19) and administered/interpreted by the Wisconsin Employment Relations Commission.
2. Positions which supervise Insurance Examiners or Securities Examiners.
3. Positions which supervise positions performing paraprofessional and/or clerical work in support of Financial Examiners.

4. All other positions which are more appropriately identified by other classification specifications.

D. Entrance Into This Classification

Employees enter this classification through a competitive process.

## II. DEFINITIONS

### FINANCIAL EXAMINER SUPERVISOR

This is professional supervisory work found at the Department of Financial Institutions (Division of Banking or Office of Credit Unions). Positions allocated to this classification supervise Financial Examiners who analyze and evaluate the financial records of state and/or federally insured banks and credit unions in order to determine their financial condition and/or adherence to state or federal law and administrative code; OR, are involved in the regulation of mortgage bankers, mortgage brokers and/or mortgage loan originators; OR are involved in the regulation of loan companies, payday lenders, sales finance companies, insurance premium finance companies, adjustment service companies, collection agencies, community currency exchanges, and/or seller of checks. These positions are located in a district or central office with responsibility for coordinating the work flow, reviewing individual performance, and participating in the actual conduct of the various reviews. The work is performed under the general supervision of a Bureau Director or higher level administrative position.

## III. QUALIFICATIONS

The qualifications required for these positions will be determined at the time of recruitment. Such determinations will be made based on an analysis of the goals and worker activities performed and by an identification of the education, training, work, or other life experience which would provide reasonable assurance that the knowledge and skills required upon appointment have been acquired.

## IV. ADMINISTRATIVE INFORMATION

This classification was created effective April 5, 1992 as part of the Fiscal Survey as announced in Bulletin CC-321. The classification was modified effective February 10, 2013 and announced in bulletin OSER-0320-MRS/SC to add mortgage and loan programs/companies that are examined by the Financial Examiners supervised by these positions at the Department of Financial Institutions, formerly the Office of the Commissioners of Banking and Credit Unions.

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