

DIRECTOR OF OPERATIONS REGULATION**Nature of Work**

Under administrative direction, this is administrative and supervisory work in the Division of Banking. Responsible for the supervision and quality control of depository institutions' operations regulation (e.g. proof, information security, physical security, transfers, etc.) and performs advanced level administrative and supervisory duties directing the information technology operations of the Division where operations, policy, work processes, and regulatory requirements of the section are complex, varied, and dynamic. Performs bank compliance examinations, application programming, systems design, and management and staff development and support. Coordinates the activities of various Division personnel to promote the effectiveness of examinations. Work requires substantial depth of understanding and interpretation of the principles, practices, and regulations of financial institutions operations. The scope of responsibility includes planning the operations and procedures of the unit; directing the work of employees; developing employees; evaluating unit operations; developing budget needs; researching new procedures and improvements; interpreting statutes, regulations, and policies. Oversees the development of policies, procedures and/or administrative directives, directs the development of training programs and technical research materials affecting examination issues and procedures and oversees implementation of programs. Intra-state and/or inter-state travel is required. Performs related work as required.

Examples of Work

Manages subordinates to confirm that policy and timeframes are satisfied in compliance of operations for financial institutions.

Conducts examinations/investigations to assess the security of proposed financial institutions; assesses, on an aggregate basis, the condition, integrity and soundness of West Virginia depository financial institutions per state and federal regulations; advises Commissioner of Banking on operation issues.

Develops and executes examination policies and procedures. Oversees the information technology unit; organizes, assigns, directs and reviews the work of professional and/or technical personnel; conducts performance appraisals and makes recommendations for promotions, terminations, demotions and merit increases.

Defines and directs compliance with quality control standards and state and federal regulations; reviews examination reports for quality control purposes.

DIRECTOR OF OPERATIONS REGULATION (CONT'D)**Examples of Work (cont'd)**

- Conducts meetings with the staff, management, and Board of Directors of supervised financial institutions to present and discuss regulatory concerns and recommendations for improvement.
- Consults with and assists the Commissioner in the establishment of agency goals and subsequent planning, directing, implementing, monitoring and evaluating achievement of goals.
- Recommends the selection and assignment of staff to superiors; conducts interviews and background evaluations for prospective employees.
- Determines need for training and staff development and provides training or searches out training opportunities.
- Analyzes agency operations and determines feasibility and/or cost.
- Analyzes and establishes information technology unit procedures and work standards; sets standards for equipment purchasing, maintenance and troubleshooting.
- Advises staff and coordinates the resolution of hardware and software problems.
- Represents the Division as needed at meetings with other federal and state government agencies, financial institution executives, and other federal and state regulators.
- Confers with supervisors and examination personnel on a regular basis to assess training needs and current examination issues.
- Prepares written correspondence and reports as necessary.

Knowledge, Skills and Abilities

- Knowledge of applicable state and federal laws governing compliance functions at depository financial institutions.
- Knowledge of the theory, principles, practices, and regulations of financial institutions operations.
- Knowledge of security measures, best practices and their application to financial institutions.
- Knowledge of common Network Operating Systems, Email systems and Network services employed by state chartered banks.
- Skill in conducting security investigations to assess the security of proposed financial institutions.
- Ability to exercise judgment in collecting data and in writing narrative interpretations.
- Ability to plan and supervise the work of others engaged in compliance regulation of financial institutions and the Division's systems.

DIRECTOR OF OPERATIONS REGULATION (CONT'D)**Knowledge, Skills and Abilities (cont'd)**

Ability to apply state and federal laws to the operations of financial institutions and to judge compliance with said laws.

Ability to prepare comprehensive written reports and to present such reports orally.

Ability to establish and maintain effective working relationships with associates, financial institutions employees and officials.

Minimum Qualifications

Training: Bachelor's degree from an accredited four-year college or university which included successful completion of nine semester hours in Information Systems, Information Technology or Computer Science. In addition, employees must have a current security accreditation, such as the Certified Information Systems Security Professional (CISSP) from International Information Systems Security Certification Consortium, Inc. (ISC2); **or** the Certified Information Security Manager (CISM) **or** the Certified Information Security Auditor (CISA) from the Information Systems Audit and Control Association (ISACA) or another industry recognized accreditation.

Substitution: Full-time or part-time equivalent experience as a state or federal information systems compliance institution examiner, professional compliance auditor or operations and regulatory compliance manager in a financial institution and successful completion of nine semester hours in Information Systems, Information Technology, or Computer Science from an accredited four-year college or university, may substitute for the required training on a year-for-year basis.

Experience: Eight years of full-time or equivalent part-time paid experience in information technology regulation and/or in information technology operations management.

Special Requirement: (1) Must be bondable. (2) Must have availability of a vehicle for continuous use on the job.

Established: 1/19/06

Effective: 3/1/06