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Government of Guam
Department of Administration
Human Resources Division
Job Announcement



Christine W. Baletto
Director

OPEN COMPETITIVE EXAMINATION

To establish a list for the position of
REGULATORY EXAMINER II

Announcement Number: DOA 32-17

Open: November 9, 2016

Close: December 5, 2016

Pay Grade:

OPEN: M-01; \$40,762 P/A – M-07; \$50,953 P/A

PROMOTION: M-01; \$40,762 P/A – M-18; \$71,844 P/A

The Government of Guam may offer competitive benefit packages, which includes retirement (Defined Contribution Plan 401 and 457), health insurance plans, cafeteria plan, an Employee Assistance Program, annual and sick leave, paid holidays and life insurance. For additional information regarding the Government of Guam Retirement, please visit www.ggrf.com. For other inquires please visit Department of Administration website www.hr.doa.guam.gov

Who Can Apply

Open to all government of Guam employees and the public.

Qualification Requirements

Three (3) years of specialized experience in either banking, insurance, securities or real estate regulatory examination and compliance work and graduation from a recognized college or university with a Bachelor's degree in accounting, finance, economics or banking.

Any equivalent combination of experience and training which provides the minimum knowledge, abilities and skills.

Nature of work

This is complex professional auditing work in the examination of records of banks, saving and loan, insurance companies, or security brokers, other financial institutions and real estate companies and other regulations. Employees in this class perform the full range of complex professional auditing duties, including independent work in specialized areas of the profession. Employees often serve as team or group leaders over less experienced professional staff.

Illustrative Examples of Work

Conducts examinations of books and records of financial institutions for compliance with the uniform consumer credit code and other regulations governing the administration of consumer credit transactions. Conducts examinations of savings and Loan Associations for compliance with the Savings and Loan Association Act and other governing regulations. Conducts examinations of banks for compliance with the Banking Law of Guam and other governing regulations; may conduct examinations jointly with the federal examiners. Administers regulation of insurance rates and tariffs; analyzes and evaluates request for rate and tariff changes; consults with insurer representatives to clarify and mediate conflicting views; monitors compliance with insurance laws and regulations; schedules formal and informal hearings and recommends disciplinary action for infractions; reviews insurance policy contracts and associated forms and makes recommendations for approval or disapproval; investigates insurance complaints; works with insurance companies in expediting claim payments. Examines petitions for the licensing of corporate insurers and individual insurance applicants and recommends action; formulates standards and guides for insurance qualifying examinations; reviews content of examinations to assure their competitive nature and validity, and prepares revision as warranted; reviews insurance advertisements for compliance with regulations. Serves as advisory member of Government of Guam insurance committee. Conducts examinations of books and records of all broker-dealers of securities to assure compliance with the Uniform Securities Act. Reviews all applications for registration of securities and for licensing of broker-dealers, investment advisors and agents and recommends for approval or disapproval of such applications; investigates complaints concerning alleged violations of the Uniform Securities Act. Scrutinizes public offerings of stocks that are speculative in nature and that do not require the prior approval of the Securities Exchange Commission; makes certain that such offerings are not intended to defraud the investors and general public. Coordinates with securities regulatory agencies in various states in promulgating current rules and regulations for the implementation of the Uniform Securities Act. Inspects brokerage offices to determine compliance with real estate laws; evaluates real estate closings for correctness; audits trust accounts for proper accounting of monies held; counsels salesmen and brokers concerning established and preferred business methods; investigates complaints concerning real estate matters; prepares reports recommending action on reported violations; gathers evidence for possible legal action against persons accused of illegal real estate practices. Reviews contents of examinations to assure their competitive nature and validity and makes revision where warranted. Discusses findings of an examination with the management of the institution pointing out any discrepancies found and recommending methods of improvements. Prepares reports of examinations; develops conclusions and recommendations with respect to the condition and methods of operation of the institution examined and its compliance with governing laws and regulations. Performs related duties as required.

Knowledge, Abilities & Skills

Knowledge of principles and practices of accounting and auditing, particularly those applicable to banks and other financial institutions, insurance companies, security dealers, or real estate companies. Knowledge of pertinent laws, rules and related guidelines governing the operation of banks and other financial institutions, insurance companies, security dealers or real estate companies. Ability to analyze financial and other records for irregularities. Ability to prepare audit reports and to develop sound criticisms and recommendations. Ability to work effectively with the public and employees. Ability to communicate effectively, orally and in writing. Ability to maintain records and prepare reports.

REGULATORY EXAMINER II

Minimum Educational Requirements

All new employees (meaning not a current government of Guam employee to include reemployment/re-appointment eligibles), shall be required to have a high school diploma or equivalent as allowed by Public Law 29-113 when applying for a position, with the exception of those positions listed on the list approved by the DOA Human Resource Manager.

Documentation Requirements

Applicants claiming educational accomplishments are required to submit official or verified copies of transcripts or diplomas. The diploma, degree, or credits required must come from an educational institution that is accredited or recognized by either its government or a government recognized accrediting agency. This applies to all new employment after October 1, 2008 pursuant to Public Law 29-113. If you wish to claim for any preference points, please read the employment application General Instruction page for additional information. If you have any questions, please contact the Recruitment Branch at 475-1141/1128/1174

Suitability Determination Form

Your employment application will not be deemed completed unless the Suitability Determination Form is completely filled out, signed and dated. If it is not complete or missing from your application, your application for this position will be rejected. Please pay particular attention to question #2. If you answer "yes", you must attach your police clearance that is no older than one (1) month from the date of submitting you application. In addition, please resubmit an updated Suitability form if anything occurred that warrants updating your responses on your Suitability Form after you have submitted your application.

Prohibition Pursuant to P.L. 28-98

No person convicted of a sex offense under the provision of chapter 25 of Title 9 GCA, or an offense as defined in Article 2 of Chapter 28, Title 9 GCA in Guam, or an offense in any jurisdiction which includes, at a minimum, all of the elements of said offenses, or who is listed on the Sex Offender Registry shall work in any agency or instrumentality of the government of Guam

Examination Requirements

A written test is not required. Applicants will be rated on a scale between 70.00 and 100.00 percent on the basis of their training, education and experience in relation to the requirements of the position.

Interviewing Procedures

A personal interview or interview by telephone (if off-island) will be held by the appointing authority or his designee for all eligibles referred via certification.

Employment Medical Examination

All applicants accepting employment must undergo a medical examination and be declared by the physician as capable of performing the duties of the position being hired for.

Work Eligibility

When offered a position, you will be required to provide proof of identity and eligibility for employment in the United States as condition of employment.

Drug Screening

Applicants selected for and offered employment with the Government of Guam shall undergo and pass a mandatory drug test before being employed. This also applies to employees selected for Test Designated Positions (TDP), failure to submit or pass such drug test shall be grounds for rescinding the offer of appointment.

Police & Court Clearances Requirements

If selected for this position, your selection will be conditional pending submission of a recent police and court clearance, and taking and passing a drug test (see Drug Screening section of the announcement). The hiring department will mail a letter to you explaining these requirements. You will have five (5) business days from the postmarked date of your letter to submit police and court clearances that are no older than one (1) month from the date of you letter. The cost of the clearances is your responsibility. If you have already submitted clearances with your employment application, you will not be required to resubmit as long as they meet the date criteria above. If you do not have any conviction or conditions that would warrant rescinding the job offer, and pass the drug test you will be notified of your start date.

Where to Apply

Submit job applications at the Department of Administration, Human Resources Division 2nd floor, ITC building, Tamuning, between the hours of 8:00 a.m. – 5:00 p.m., Monday through Friday. Individuals with disabilities who require special accommodation should contact this office prior to any scheduled examinations or interviews.

For More Information

Call or visit us at the Department of Administration, Human Resources Division at (671)475-1141/1128 or the Department of Labor, One Stop Career Center at (671) 475-6400. In addition, job announcements and job application forms are accessible to Department of Administration's website at www.hr.doa.guam.gov. Also, job applications can be downloaded from www.govguamdocs.com/doa/index_doa.htm or email to doajobs@doa.guam.gov


For: SHANE G. L. NGATA
PERSONNEL SERVICES ADMINISTRATOR
HUMAN RESOURCES DIVISION

WE ARE AN EQUAL EMPLOYMENT OPPORTUNITY EMPLOYER. WE DO NOT DISCRIMINATE ON THE BASIS OF RACE, RELIGION, COLOR, SEX, AGE, DISABILITY, EXCEPT FOR POSITIONS REQUIRING BONA FIDE OCCUPATIONAL QUALIFICATION.