



STATE OF MONTANA JOB PROFILE AND EVALUATION

The job profile is a streamlined position description and may serve as the core document for all human resource functions such as recruitment, selection, performance management and career and succession planning. It was developed, initially, for use in classifying positions in Pay Plan 020.

If you are converting a position to Pay Plan 020 and the position has not changed simply cut and paste the information needed from the current position description. The position description contains sections that are no longer used to classify the position, such as: Working Conditions and Physical Demands; Management and Supervision of Others; Supervision Received; Scope and Effect; and Personal Contacts. These may still be important to the position and may be included in **Section IV – Other Important Job Information**.

When working with a new position, classification request or change to a position in Pay Plan 020, complete the information below to provide the required documentation for classification.

SECTION I – Identification

Working Title UCC Process Specialist	Job Code Number 168016	Job Code Title Compliance Tech
Pay Band 3	Position Number 66048 & 66060	<input type="checkbox"/> FLSA Exempt X <input type="checkbox"/> FLSA Non-Exempt
Department Secretary of State's Office		Division and Bureau Business Services Bureau
Section and Unit UCC Unit		Work Address and Phone Capitol Bldg 444-2034
Profile Produced By Kitty Ryan		Work Phone 444-5598

Work Unit Mission Statement or Functional Description - This section should include a complete statement of the mission or function as it relates to the work unit.

TO PROVIDE QUALITY CUSTOMER SERVICE. In an ongoing effort to provide services to the customer of the Secretary of State, the office strives to promote an environment that nurtures and enhances the entrepreneurial spirit of Montana. In achievement of this mission, the Secretary of State advances the principle that government should work for and with its customers. Always striving to improve, not impede the process.

Describe the Job's Overall Purpose:

The Process Specialists is an integral part of the UCC compliance unit and therefore is called upon to perform an examination of submitted Uniform Commercial Code Liens and perform verification procedures to accept or reject filings. The filing of these liens requires a 8 hour turnaround and the failure of the unit to timely provide these services could result in a multi-million dollar liability to the office as well as causing extreme problems for Montana agri-business communities. This position is supervised by the UCC Administrator 66033 and does not directly supervise other agency personnel.

Uniform Commercial Code Revised Article 9 Secured - Transactions, provides the rules governing transactions that couples a debt with a creditor's interest in a debtor's personal property to satisfy that debt. The creditor's interest is called a "security interest" To perfect that security interest the creditor must file a lien with the Secretary of State's office. Revised Article 9 relies on the public record because it provides the means for creditors to determine if there is any security interest that precedes theirs--a notice function.

SECTION II - Major Duties or Responsibilities	% of Time
<p>1. What are the major duties or responsibilities assigned to this position? Group duties in order of importance and estimate the percent of time needed to perform each duty. NOTE: Because you are identifying major duties usually 3-5, the quantity of time probably will not be less than 20%. If a duty is essential but not performed routinely you should list it. For example, lobbying during the legislative session may not take up a large percent of total work time, but can be an essential duty.</p> <p>A.Compliance</p> <p>1. Conduct completion of a comprehensive examination and review of liens</p> <ul style="list-style-type: none">a) Verify compliance with MCA and federal laws for content requirements.b) Verify compliance with MCA and federal time lines.c) Insure liens comply to protect creditors and debtors. <p>2. Correct errors - Lien requirements demand prompt processing, regulations necessitate a 8 hour turnaround for filing. Liens are the result of what can be a major financial transaction between a lender(s) and a borrower(s). The filing of a lien with this office and access to this information by appropriate parties significantly reduces the risk so creditors are not defrauded. Staff performing compliance examinations of these liens and the verification of system information must perform exacting procedures and assure timely remedies are taken when required.</p> <ul style="list-style-type: none">a) Provide instructions on proper completion of forms.c) Answer public questions regarding proper filing of liens. <p>3. Filing Types</p> <ul style="list-style-type: none">a) Agricultural liens	<p>70%</p>

- b) Consumer liens
- c) Federal Tax liens
- d) UCC liens
- e) Title 71 Statutory liens
- f) Transmitting Utility liens
- g) Child Support liens

4. Public Access System

The office enables registered users to retrieve specific lien information from a web based system. These users must maintain prepaid accounts, be established through the office and have training into how to use the system. The UCC unit is the primary component of this public access system.

a) Employee is responsible for working closely with registered users to help them understand the functionality of the web system. And to answer any questions they may have regarding the information appearing on the web system.

B. Orders

20%

Customers may submit in writing a request for lien information against a specific borrower. The unit must precisely reflect the information on the system. Then verify the results printed by the system before during a nightly batch job. If the material is correct the order is mailed to the requesting party. The liens reflected in the order provides the creditor with the necessary information for basing their loan decision. Therefore, it is critical the information in the order be accurate.

C. Farm Bill

2%

The Federal Food Security Act of 1985 gives buyers of farm products, commission merchants and selling agents the opportunity to register for a listing of security interests in farm products. Failure to register makes the buyer liable for payment of the security interest. In order to get clear title, buyers of farm products must register with our office for the farm products they buy for every county and crop year from which they purchase farm products.

The Secretary of State's office compiles the information and produces a Master List on the 15th of every month. It is the responsibility of the employee to check the accuracy of the Master list and mail the List to our 200 plus registered buyers no later then the 20th of each month.

D. Verification of Documents

8%

Every filed UCC document receives and acknowledgement letter. It is the responsibility of the employee to check the system generated acknowledgement letter against the actual document to insure 1) the information is displayed correctly and 2) the customer receives their letter acknowledging the filing of their lien or amendment.

Give specific examples of the types of problems solved, decisions made or procedures followed when performing the most frequent duties.

Revised Article 9 is not simple. There are substantial exceptions to the perfection rules. The UCC unit plays an important role in understanding these exceptions. The handling of liens determines whether a creditor will have a perfected lien against a debtor's property. It is the employee's responsibility to assist the creditor's in perfecting their liens. The employee is also responsible for working closely with borrowers (debtors) in helping them understand security interests recorded with our office. We provide them with the information necessary to determine the creditor holding the security interest and the property subject to the security interest.

An example, a debtor contacted our office complaining that the creditor's name appeared on their check in addition to their name. After an extensive and complicated search of our records it was determined the collateral the debtor had sold was not subject to a security interest. The employee contacted the creditor who had issued the check. Upon advice from our office, the creditor reissued a check to the debtor for the products sold.

2. What do you consider the most complicated part of the job?

There is considerable stress in complying with numerous deadlines, customer requests, interruptions and wide fluctuations in work volumes. Due to the importance of these liens the employee is required to have no more than a 3% error ratio in addition to meeting the 8 hour turn around time required by law.

3. What guidelines, manuals or written established procedures are available to the incumbent?

The Montana Code Annotated Title 30, Chapter 9.
The Montana Code Annotated Title 71.
The USDA Federal Food Security Act Manual.
Training manual created and provided by the supervisor of the unit.
On-line system help menu for accessing and using the UCC system.

4. Which of the duties and/or specific tasks listed under 1. (above) are considered “essential functions” that must be performed by this position (with or without accommodations)?

The following duties are considered essential functions because they require specialized expertise and skill and are the primary reasons the job exists:

Duty A: Compliance
Duty B: Orders
Duty C: Verification of Documents

PHYSICAL

- Light lifting (less than 25 lbs.)
- Carry light items (papers, books, small parts)
- Remaining seated for extended periods of time, with occasional walking; standing; bending
- Operating a personal computer
- Communicate in writing, in person, and over the phone

MENTAL

- Deal with the public on a regular basis
- Ability to multi-task
- Demands for accuracy in all aspects of work
- Ability to meet inflexible deadlines
- Computing arithmetic operations
- Comparing data
- Compiling information
- Analyzing, Synthesizing
- Coordinating
- Instructing

5. If this position supervises other positions, complete the following information.

The number of employees supervised is 0.

List the complexity level of the subordinates .

Please list the Position Number for those supervised .

Is this position responsible for:

- Hiring Firing Performance Management Promotions
 Supervision Discipline Pay Level Other:

6. Please attach an Organizational Chart (optional).

SECTION III - Minimum Qualifications - List the minimum requirements for **first day** of work.

Please list the main knowledge and skill areas required for the job:

Employee must be proficient on a computer, including typing no fewer than 40 wpm, and have considerable knowledge and experience working with window based applications, including web-based applications.

Employee must have ability to be trained in operating and maintaining office equipment.

Employee is responsible for retrieving and prepping boxes containing UCC documents and correspondence for record retention. Boxes weigh as much as 25 lbs.

Employee should have familiarity with how to find read and interpret state and federal statutes, rules and regulations.

Employee should have the ability to communicate relevant and often complex information to customers.

Employee should have ability to prioritize work and focus on details.

Employee must be able to perform complex procedures and compliance reviews in a very condensed time frame. To perform these duties the employee must be detailed oriented, possess a proficiency and desire to resolve issues on their own.

Employee must have ability to relate daily work to finished product to foresee problems and develop solutions.

What behaviors are required to perform the duties? **NOTE:** Identifying behaviors used for recruitment and selection and other HR functions are part of building a competency model (see **Creating Competency Models** in Guide). A position description will provide helpful information if a model has not been developed. Often “abilities” from the current PD can be stated as desired and observable behaviors. For example, “the ability to communicate clearly in writing” can be restated “writes clearly and concisely”.

- **Verbal Communication:** Keeps appropriate individuals informed. Listens to others respectfully, understands or seeks clarification, and responds appropriately demonstrating tact and diplomacy. Expresses thoughts and ideas clearly.
- **Written Communication:** Writes clearly, logically and effectively using proper style, tone, grammar, spelling and punctuation.
- **Flexible at Work:** Responds positively to changes in direction, priorities, responsibilities, personnel or assignments. Works effectively in a variety of situations and with a variety of individuals or groups.
- **Working with Others:** Relates to others in an open and accepting manner; is approachable. Offers and accepts opinions constructively. Adjusts to how individuals and the work unit will

react. Treats others with respect. Constructively resolves disagreements. Is open to others' ideas and gives credit and recognition to others.

- **Responsive to Work Needs:** Willing to perform different jobs, cross train, or assist wherever needed. Is aware of co-worker workload and responds accordingly.
- **Takes Action:** Takes effective and appropriate action to perform job duties without being reminded. Willingly accepts more responsibility or more work.
- **Forward Looking:** Suggests improvements and new ideas, technologies, and approaches. Willingly applies new and evolving ideas, methods, designs and technologies to work.
- **Efficiency and Focus:** Uses time effectively and prioritizes tasks. Is aware of workload and makes appropriate adjustments to meet deadlines and complete tasks. Handles interruptions or distractions and stays on task. Achieves goals.
- **Accuracy:** Ensures accuracy of work and makes corrections in a timely manner. Is conscientious and monitors own quality of work.
- **Attendance:** Arrives on time for work and demonstrates good attendance record.
- **Organizational Awareness:** Understands and follows the rules, policies and laws that govern work. Identifies key decision-makers; understands and respects the balance of authority. Acts in an ethical manner.

Education and experience: Please check the one box that indicates the **minimum** educational requirements for this job, as it relates to a new employee on the **first day** of work (not the educational background of the person now in the position):

- | | |
|---|---|
| <input type="checkbox"/> No education required | <input type="checkbox"/> 2 year job-related college or vocational training |
| <input type="checkbox"/> High school diploma or equivalent | <input type="checkbox"/> College degree (Bachelor's) |
| <input checked="" type="checkbox"/> 1 year job-related college or vocational training | <input type="checkbox"/> Post-graduate degree or equivalent (e.g. Master's, JD) |

There may be a variety of fields of study that are acceptable. A Human Resource Specialist may have a Bachelor's in Human Resources, Business Administration, Public Administration or another related field. Please specify the acceptable fields of study:

Other education, training (software), certification (CPA), or licensing (pilot, psychologist) required (please specify):

Please check the one box that indicates the minimum amount of job-related work experience needed as a new employee on the first day of work (not the experience of the person now in the position):

No prior work experience required

3 to 4 years job-related work experience

1 to 2 years of job-related work experience

5 or more years of job-related work experience

Specific experience (optional):

This agency will accept alternative methods of obtaining necessary qualifications.

For recruiting purposes please list examples of acceptable alternative methods of obtaining those qualifications. **These examples should appear on a vacancy announcement.**

SECTION IV – Other Important Job Information

List any other important information associated with this position, such as working conditions, supervision provided or received, scope and effect and personal contact.

Work is performed in a normal office environment, and the position requires the ability to communicate effectively in person, in writing, and over the phone. Work hours vary in complying with numerous deadlines, customer requests, interruptions and wide fluctuations in work volumes, and deadlines require the employee to be able to work under pressure for long periods of time.