Washington State Model\* Supervisory Plan

The Consumer Loan Act requires each licensed manager to prepare and maintain a written supervisory plan for the employees they supervise. At a minimum, the plan must include the following:

* The number of employees supervised and their physical location.
* How the supervisor will adequately supervise the employees if an employee is not in the same location as the supervisor.
* The type and volume of work performed by the supervised employees.

Supervisory plans must be maintained as part of the business books and records.

# Licensed Manager:

**Work Location of Manager:**

**Number of Employees Supervised:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Name** | **Type of Work (MLO, Processing, or****Underwriting)** | **Work Location** | **Volume of Work** |
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**How the manager will adequately supervise the employees if they are not in the same location as the manager:**

**Description of the type of work performed by employees in each category of work:**

|  |  |
| --- | --- |
| **Type of Work** | **Work Duties** |
| MLO |  |
| Processing |  |
| Underwriting |  |

\* This model form may be used to satisfy WAC 208-620-301(4) but other forms are acceptable as long as they meet the minimum requirements of the rule.

Washington Department of Financial Institutions Model Supervisory Plan Revised 03/13/2025