

# EXAMINATION ANNOUNCEMENT

SENIOR INSURANCE COMPLIANCE OFFICER  
(SPECIALIST), DEPARTMENT OF INSURANCE  
OPEN STATEWIDE  
SALARY RANGE \$5,345 - \$6,644



CALIFORNIA STATE DEPARTMENT OF

# Insurance

The State of California is an equal opportunity employer to all, regardless of age, ancestry, color, disability (mental and physical), exercising the right to family care and medical leave, gender, gender expression, gender identity, genetic information, marital status, medical condition, military or veteran status, national origin, political affiliation, race, religious creed, sex (includes pregnancy, childbirth, breastfeeding and related medical conditions), and sexual orientation.

## How to Apply

**FINAL FILING DATE: September 13, 2016**

Send [application \(form STD.678\)](#) to:  
California Department of Insurance  
Human Resources Management Division  
300 Capitol Mall, 13<sup>th</sup> Floor  
Sacramento, CA 95814  
Attention: Nitika Nitashni

***DO NOT SUBMIT APPLICATIONS (FORM STD. 678) TO THE CALIFORNIA DEPARTMENT OF HUMAN RESOURCES (CaHR)***

Application (form STD. 678) must be **POSTMARKED** no later than the final filing date. Electronic copies of the Application will not be accepted. Applications postmarked, personally delivered, or received via interoffice mail after the final filing date will not be accepted for any reason. If you have a disability and need special testing arrangements, mark the appropriate box on the application. You will be contacted to make specific arrangements.

## Requirements for Admittance to the Examination

All applicants must meet the educational and/or experience requirements for this examination by **September 13, 2016**.

### MINIMUM QUALIFICATIONS

#### Either I

**Experience:** One year of experience in the California state service performing the duties of an Associate Insurance Compliance Officer, Department of Insurance.

#### Or II

**Experience:** Four years of progressively responsible qualifying insurance experience\*. (Experience in the California state service applied toward this requirement must be at the level of responsibility provided in the promotional pattern); **and**

**Education:** Equivalent to graduation from college or equivalent degree approved by the Bureau for Private Postsecondary and Vocational Education under the provisions of California Education Code Division 10, Part 59, Chapter 3. (Additional qualifying experience may be substituted for the required education on a year-for-year basis.)

\***Definition of Experience** – Experience at an insurance company working as either:

- 1) An underwriter determining acceptability, coverage, appropriate rating plans, and any judgment based rate deviations or factors; or
- 2) A claims adjuster investigating, evaluating, negotiating, and settling claims with

	<p>respect to coverage, liability, and damages; or</p> <p>3) A fire or casualty insurance agent or broker handling multiple lines of insurance coverage and making determinations regarding coverage needs, risk information, and renewal account servicing; or</p> <p>4) An insurance consumer advocacy position working on consumer issues, complaints, legislation, or insurer compliance.</p>
<p><b>Position Description</b></p>	<p>Under general direction of a Supervising Insurance Compliance Officer, incumbents independently perform the most complex, sensitive, and responsible insurance regulatory activity; initiate and lead the most complex bureau projects including those to identify, research, and abolish trends in noncompliant activity by a single entity or those which represent an industry wide practice; independently, or as team leader, organize and coordinate the development of a final report, legal referral, or alternative discipline resolution agreement suitable as a legal document for use in a legal action; serve as technical advisor to all subordinate staff; and do other related work.</p> <p><b><i>Positions may exist in Los Angeles, Sacramento, and San Francisco.</i></b></p>
<p><b>Examination Information</b></p>	<p style="text-align: center;"><b>QUALIFICATIONS APPRAISAL INTERVIEW – WEIGHTED 100%</b></p> <p>This examination will consist of a qualification appraisal interview weighted 100%. In order to obtain a position on the eligible list, a minimum rating of 70% must be attained in the interview. Candidates should list all experience on the application (form STD 678) relevant to this examination. Competitors who do not appear for the interview will be disqualified from the examination.</p> <p><b>It is anticipated that interviews will be held in October.</b></p>
<p><b>Examination Scope</b></p>	<p>In addition to evaluating the competitor’s relative abilities as demonstrated by quality and breadth of experience, emphasis will be on measuring competitively, relative to job demands, each competitor’s:</p> <p><b>Knowledge of:</b></p> <ol style="list-style-type: none"> <li>1. California Insurance Code and laws and regulations relating to insurance and their interpretation.</li> <li>2. Basic functions and organizations of the California Department of Insurance.</li> <li>3. The insurance industry.</li> <li>4. General insurance principles.</li> <li>5. Analytical methods and techniques used for problem identification.</li> <li>6. Data gathering and decision making.</li> <li>7. Trends and terminology pertaining to insurance regulations.</li> <li>8. Practices, procedures, and terminology.</li> <li>9. General insurance and contract laws, related statutes, and court decisions.</li> <li>10. Insurance claims, practices, and procedures.</li> <li>11. Compliance and enforcement techniques.</li> <li>12. Project management processes.</li> <li>13. Methods of preparation of project reports and project reporting techniques.</li> <li>14. Research methods and techniques.</li> </ol> <p><b>Ability to:</b></p> <ol style="list-style-type: none"> <li>1. Interpret and apply provisions of the California Insurance Code, laws, rules, and regulations administered by the California Department of Insurance.</li> <li>2. Analyze situations accurately and take effective action.</li> </ol>

3. Use tact and good judgment in dealing with the public both on the telephone and in person.
4. Conduct interviews.
5. Learn to utilize microcomputer systems and standard software applications in the performance of work.
6. Communicate effectively.
7. Travel countrywide to examine insurer operations (field staff only).
8. Independently apply insurance statutes and court decisions to specific cases.
9. Gather, organize, and summarize data.
10. Reason logically and creatively.
11. Utilize a variety of analytical and research techniques and approaches to resolve complex insurance regulatory problems.
12. Develop and evaluate alternative solutions.
13. Analyze data and present ideas and information effectively.
14. Prepare reports.
15. Gain and maintain the confidence and cooperation of those contacted during the course of work.
16. Act in a lead capacity over lower-level staff and handle sensitive client contacts.
17. Prepare complete, concise, and clear insurance proposals and reports.
18. Apply negotiation and mediation techniques to resolve consumer complaint problems.
19. Take independent action with minimal supervision.
20. In a lead capacity, direct, train, and review the work of lower-level staff.
21. Liaison and negotiate between the California Department of Insurance, other State and local agencies, and private insurance organizations.
22. Plan, organize, and provide persuasive and skilled leadership in insurance project work.
23. Develop, review, and guide plans and projects for good results.

**Special  
Personal  
Characteristics**

Willingness to travel and work away from the office.

**Eligible List  
Information**

A departmental open eligible list will be established for the California Department of Insurance. The list will be abolished 12 months after it is established unless the needs of the service and conditions of the list warrant a change in this period.

**Career Credits** will not be granted in this examination.

Effective January 1, 2014 Veterans' Preference will be awarded to qualifying Veterans who are successful in the examination in the form of rank placement rather than points. All individuals awarded Veterans' Preference will be certified in Rank 1 of the eligibility list, regardless of score. All open exams/eligible lists will award Veterans' Preference, regardless of the classification.

## GENERAL INFORMATION

**The California Department of Insurance** reserves the right to revise the examination plan to better meet the needs of the service if the circumstances under which this examination was planned change. Such revision will be in accordance with civil service laws and rules and all competitors will be notified.

**For an examination** without a written feature, it is the candidate's responsibility to contact the California Department of Insurance, Human Resources Management Division, (916) 492-3254 three weeks after the final filing date if he/she has not received a progress notice.

**If a candidate's notice** of oral interview or performance test fails to reach him/her prior to the day of the interview due to a verified postal error, he/she will be rescheduled upon written request.

**Applications are available** at the California Department of Insurance offices, the State Personnel Board, local offices of the Employment Development Department, and on the internet at [www.jobs.ca.gov](http://www.jobs.ca.gov).

**If you meet the requirements** stated above, you may take this examination. Your performance in this examination will be rated against a predetermined rating criteria. All competitors who pass will be ranked according to their scores. Meeting the entry requirements does not assure success in the examination or placement on the employment list.

**Examination Locations:** When a written test is part of the examination, it will be given in such places in California as the number of candidates and conditions warrant. Ordinarily, oral interviews are scheduled in Sacramento, San Francisco, and Los Angeles. However, locations of interviews may be limited or extended as conditions warrant.

**Eligible Lists:** Eligible lists established by competitive examination, regardless of date, are used in the following order: 1) subdivisional promotional, 2) departmental promotional, 3) multi-departmental promotional, 4) servicewide promotional, 5) departmental open, and 6) open. When there are two lists of the same kind, the older must be used first. Eligible lists will expire in one to four years unless otherwise stated on this bulletin.

**General Qualifications:** Candidates must possess essential personal qualifications including integrity, initiative, dependability, good judgment, and ability to work cooperatively with others. Candidates must be in a state of health consistent with the ability to perform the assigned duties of the class. A medical examination may be required. In open examinations, investigation may be made of employment of records and personal history and fingerprinting may be required.

**Veterans' Preference:** The California Department of Human Resources has information on how to apply for Veterans' Preference on their website at <http://www.jobs.ca.gov/> and on the Application for Veterans' Preference form <http://jobs.ca.gov/PDF/SPB1093.pdf>. Additional information is also available at the Department of Veterans Affairs website at <http://www.cdva.ca.gov/>.

California Relay (Telephone) Service for the Deaf or Hearing impaired:  
From TDD phones: 1-800-735-2929, from voice phones: 1-800-735-2922

California Department of Insurance  
Human Resources Management Division  
300 Capitol Mall, 13<sup>th</sup> Floor  
Sacramento, CA 95814  
(916) 492-3300

Release Date: 08/29/16  
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It is an objective of the State of California to achieve a drug-free state work place. Any applicant for state employment will be expected to behave in accordance with this objective because the use of illegal drugs is inconsistent with the law of the state, the rules governing civil service and the special trust placed in public servants.

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