
CALIFORNIA DEPARTMENT OF INSURANCE

NOTICE OF EXTENDED FINAL FILING DATE

EXAMINATION TITLE: **SUPERVISING INSURANCE COMPLIANCE
OFFICER**

FINAL FILING DATE: **APRIL 26, 2019**

LOCATION: **SACRAMENTO, SAN FRANCISCO,
LOS ANGELES, OAKLAND**

ATTENTION: The final filing date for the examination listed above has been extended from April 12, 2019 to April 26, 2019.

California Department of Insurance
Human Resources Management Division
300 Capitol Mall, 13th Floor
Sacramento, CA 95814
Attn: Alys Stockdale-Hollis
Alys.Stockdale-Hollis@insurance.ca.gov
(916) 492-3355



SUPERVISING INSURANCE COMPLIANCE OFFICER, DOI

EXAM CODE: 9IN01
EXAM TYPE: DEPARTMENTAL OPEN
LOCATIONS: ALAMEDA, LOS ANGELES, SACRAMENTO, & SAN FRANCISCO
SALARY INFORMATION: \$6,247 - \$7,770
CLASS/SCHEM CODE: 8560/VJ30
RELEASE DATE: 03/28/2019
FINAL FILING DATE: 04/12/2019

EQUAL EMPLOYMENT & DRUG FREE STATEMENTS

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.

It is the 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.

POSITION DESCRIPTION

This is the first supervisory level of this series. Under general direction of a Bureau Chief, Insurance Compliance, Department of Insurance, incumbents plan, organize, and direct the activity of all staff engaged in insurance regulatory and related work; assist in establishing Bureau policy and procedures; examine, analyze, and evaluate the facts obtained and the provisions of applicable insurance contracts; determine which cases should be referred to attorneys for disciplinary proceedings or forwarded for executive review; act as the final conciliator in the most complex disputes and misunderstandings in an attempt to reach an amicable settlement between insurer and insured; oversee multiple job sites in the examination process; review complaint file documentation or market conduct examination reports to verify that proposed resolutions to violations or examination criticisms are effective and achieve compliance; enforce consistency of operations within the Bureau; lead and participate in enforcement actions; prepare written annual performance evaluations for direct report staff; participate in the recruitment and hiring process; develop individual training plans for staff development and provide training; responsible for the most complex and sensitive projects as assigned by the



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Bureau Chief, Insurance Compliance, Department of Insurance; represent the Bureau at meetings and industry functions as directed by the Bureau Chief; and do other related work.

Positions may be located in Los Angeles, Oakland, Sacramento, and San Francisco.

WHO CAN APPLY

Persons who meet the minimum qualifications of the classification, as stated on this examination bulletin. All applicants must meet the education and/or experience requirements by the application date. All applications/resumes must include "to" and "from" employment dates (month/day/year), time-base, and applicable classification titles.

MINIMUM QUALIFICATIONS

Either Pattern I

Experience: One year of experience in the California state service performing the duties of a Senior Insurance Compliance Officer (Specialist), Department of Insurance.

Or Pattern II

Experience: Two years of experience in the California state service performing the duties of an Associate Insurance Compliance Officer, Department of Insurance.

Or Pattern III

Experience: Five years of progressively responsible qualifying insurance industry experience including two years in a supervisory capacity responsible for three or more claims adjusters or underwriters. (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.)

EXAMINATION INFORMATION

TRAINING AND EXPERIENCE – WEIGHTED 100%

The Training and Experience Assessment is designed to elicit a range of specific information regarding each candidate's knowledge, skill, abilities, and potential to effectively perform the duties relative to the classification.

Instructions on how to complete the Training and Experience Assessment will be mailed out to each candidate who meets the minimum qualifications. Written notifications will be mailed within two weeks after the final filing date. In order to obtain a position on the eligible list, candidates must receive a minimum rating of 70% on the examination.



ELIGIBLE LIST INFORMATION

An open eligible list will be established for the California Department of Insurance. The names of successful competitors will be merged on the list in order of final scores, regardless of date. Competitors' eligibility will expire **12 MONTHS** after it is established.

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.

SPECIAL TESTING ARRANGEMENTS

If you are an individual with a disability and need reasonable accommodation to participate in this examination, please mark the box in question #2 on the "examination application." You will be notified in writing to determine what assistance can be provided.

KNOWLEDGE, SKILLS, & ABILITIES

In addition to evaluating the competitor's relative abilities as demonstrated by quality and breadth of experience, emphasis will also be on measuring competitively, relative to job demands, each competitor's:

Knowledge of:

1. California Insurance Code and laws and regulations relating to insurance and their interpretation.
2. Basic functions and organizations of the Department of Insurance.
3. The insurance industry.
4. General insurance principles.
5. Analytical methods and techniques used for problem identification.
6. Data gathering and decision making.
7. Trends and terminology pertaining to insurance regulations.
8. Practices, procedures, and terminology.
9. General insurance and contract law and related statutes and court decisions.
10. Insurance claims practices and procedures.
11. Compliance and enforcement techniques.
12. Project management processes.
13. Methods of preparation of project reports and project reporting techniques.
14. Research methods and techniques.
15. Principles, practices, and trends of public and business administration.
16. Administrative and court decisions affecting the regulations of the insurance industry.

Ability to:

1. Interpret and apply provisions of the California Insurance Code, laws, rules, and regulations administered by the Department of Insurance.
2. Analyze situations accurately and take effective action.
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. Prepare complete, concise, and clear insurance proposals and reports.
17. Act in a lead capacity over lower-level staff and handle sensitive client contacts.
18. Apply negotiation and mediation techniques to resolve consumer complaints.
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 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.
24. Effectively apply compliance procedures and/or the provisions of the relevant laws, legal opinions, court decisions, and departmental policies.
25. Oversee the implementation of projects.
26. Represent the Department of Insurance before other governmental, public, and private agencies.
27. Coordinate program operations with that of other divisions and organizations.

SPECIAL PERSONAL CHARACTERISTICS

Willingness to travel and work away from the office.

FILING INSTRUCTIONS

To apply for this examination, please complete and return the following:

- [Standard State Employment Application \(Form STD 678\)](#)
- [Conditions of Employment \(Form 631\)](#)
- Copy of school transcripts or degree (if applicable to meeting minimum qualifications)

**Send completed application package to:
California Department of Insurance
Human Resources Management Division
300 Capitol Mall, 13th Floor
Sacramento, CA 95814
Attention: Alys Stockdale-Hollis**

***FAILURE TO SUBMIT ANY OF THE REQUIRED DOCUMENTATION LISTED ABOVE MAY RESULT IN
DISQUALIFICATION FROM THIS EXAMINATION***

Do not submit applications to the California Department of Human Resources (CalHR.) 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.



Dates printed on Mobile Bar Codes, such as Quick Response (QR) Codes provided by the United States Postal Service (USPS) are not considered “postmarks” and as such are not acceptable proof of date of submission of an application.

CONTACT INFORMATION

Any questions regarding the minimum qualifications, applying for the examination, being scheduled for the examination, reasonable accommodations, the examination components, scoring, etc., may be directed to the contact information below:

EXAM ANALYST: Alysa Stockdale-Hollis
PHONE NUMBER: 916-492-3355
EMAIL ADDRESS: Alysa.Stockdale-Hollis@Insurance.ca.gov

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, California Department of Human Resources, local offices of the Employment Development Department, and on the internet at <https://www.calcareers.ca.gov/>.

If you meet the requirements stated on the reverse, you may take this examination. Your performance in this examination will be rated against 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.

Veterans Preference: Pursuant to Government Code Section 18973.1, effective January 1, 2014, as follows: 1. Any veteran, widow or widower of a veteran, or spouse of a 100 percent disabled veteran, who achieves a passing score in an entrance examination, shall be ranked in the top rank of the resulting eligibility list. Any veteran who has been dishonorably discharged or released is not eligible for veteran's preference. 2. An entrance examination is defined, under the law, as any open competitive examination. 3. Veterans Preference is not granted once a person achieves permanent civil service status. The California Department of Human Resources has information on how to apply for Veterans' Preference on their website at <https://jobs.ca.gov/CalHRPublic/Landing/Jobs/VeteransInformation.aspx> and on the Application for Veterans' Preference form <http://calhr.ca.gov/Documents/CalHR-1093.pdf>. Additional information is also available at the Department of Veterans Affairs website at <https://www.calvet.ca.gov/>.

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.

California Department of Insurance
Human Resources Management Division
Selections & Recruitment Unit
300 Capitol Mall, 13th Floor
Sacramento, CA 95814
916-492-3254

If hearing impaired, call the California Relay Service.

1-800-735-2929 (From TDD Phone)
1-800-735-2922 (From Voice Phone)

TDD is Telecommunications Device for the Deaf and is reachable only from telephones equipped with a TDD device.