



SENIOR INSURANCE COMPLIANCE OFFICER (SPECIALIST), DEPARTMENT OF INSURANCE

EXAM CODE: 2IN01
EXAM TYPE: OPEN EXAMINATION
COUNTY/CITY LOCATIONS: ALAMEDA, LOS ANGELES, SACRAMENTO
SALARY INFORMATION: \$6,411 - \$7,970
CLASS/SCHEM CODE: 8607/VJ36
RELEASE DATE: 02/02/2022
FINAL FILING DATE: CONTINUOUS FILING

EQUAL EMPLOYMENT OPPORTUNITY / 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 advanced journey and team/project leader level of the series. Under general direction of a Supervising Insurance Compliance Officer, Department of Insurance, incumbents independently perform the most complex, sensitive, and responsible insurance regulatory activity; investigate, identify violations, and mediate resolution of consumer complaints including inquiries wherein there is a lack of statutory clarity or involving multiple issues where resolution requires compromise by all parties in the dispute or formal legal action; 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 industrywide practice; investigate illegal activities that are identified through the review of data trends that are brought to the attention of the Department from outside entities; establish corrective plans with regulated entities to address noncompliant activity and monitor implementation of all corrective actions; lead examinations of those insurance organizations with the highest premium volume or claims activity or those with high levels of consumer complaints in an insurance product line or those which write a variety of coverages through multiple administrators; 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 legal action; train staff at all lower levels; monitor consumer calls/inquiries and written case files, in a lead capacity, and serve as technical advisor to all subordinate staff; participate in Department task groups to propose and effectuate changes to regulation and/or legislation; represent the Bureau and the Department when customized examination procedures are required in the examination of financially troubled insurance organizations, those that dominate a particular product line, those that have been publicly accused of an egregious insurance practice, or where the Department is investigating allegations of a particular illegal activity; have the



authority to represent the Bureau in negotiations and settlements with licensees; represent the Department in public or industry meetings; input claimant information directly into Department online database system; and do other related work.

APPLICATION FILING INSTRUCTIONS

Final Filing Date:

Applications will be accepted on a **continuous basis**.

Who Should Apply:

Persons who meet the minimum qualifications as stated on this announcement may apply to take this examination. Applications must include: specific "to" and "from" dates (month/day/year), specific hours worked and civil service class title(s), for all work experience. Resumes will not be accepted in lieu of a State Application (STD 678).

How to Apply:

EMAILED APPLICATIONS ARE PREFERRED. Submit your completed [EXAMINATION/EMPLOYMENT APPLICATION \(STD 678\)](#) along with any required educational documentation (if applicable) via email at CDIExaminations@insurance.ca.gov Application must include **Exam Code/Title: 2IN01 SENIOR INSURANCE COMPLIANCE OFFICER (SPECIALIST), DOI** and your current email address.

Applications may also be delivered in person or by mail. Incomplete applications will not be accepted. Once your application has been verified as meeting the requirements for admittance to the examination, you will receive the Training and Experience Assessment test link and instructions by email only. Please be sure to include your current email address on your application.

The Examination/Employment Application (STD. 678) is available through your [CalCareer Account](#) or the internet at <https://jobs.ca.gov/pdf/STD678.pdf>.

EMAIL SUBMISSION:

SUBJECT LINE: 2IN01 SENIOR INSURANCE COMPLIANCE OFFICER (SPECIALIST), DOI
EMAIL ADDRESS: CDIExaminations@insurance.ca.gov

Submitted no later than 11:59 p.m. Pacific Time by the cut-off date specified on this examination announcement.

FILE-IN-PERSON / MAILING ADDRESS:

DEPARTMENT OF INSURANCE
HUMAN RESOURCES MANAGEMENT DIVISION
ATTN: EXAMINATION UNIT
300 CAPITOL MALL, 13th FLOOR
SACRAMENTO, CA 95814

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

Applications will be accepted on a continuous basis. Do not submit applications to the California Department of Human Resources (CalHR.). If you are personally delivering your application, you must do so between the hours of 8:00 a.m. and 5:00 p.m., Monday through Friday, excluding holidays to the same street address as listed above.

Completed applications and all required documents must be date stamped or postmarked in order to be considered for the monthly cut-off date. If an application is received after the cut-off date with a late or missing postmark, it will be included in the next monthly cut-off date for processing. It is the applicant's responsibility to submit their application on time and to ensure the envelope is postmarked if applying by way of U.S. mail or contains proof of timely deposit with a parcel delivery or courier service. Dates printed on Mobile Bar Codes, such as the Quick Response (QR) Codes available



at the United States Postal Service (USPS), are not considered postmark dates for the purpose of determining timely filing of an application.

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.)

EXAMINATION INFORMATION

TRAINING AND EXPERIENCE ASSESSMENT – WEIGHTED 100%

The examination consists solely of a Training and Experience Assessment. To obtain eligibility, a minimum score of 70% must be received. Instructions on how to complete the Training and Experience Assessment will be sent via email to each candidate who meet minimum qualifications.

The testing office will accept examination packets on a continuous basis. Applications will be reviewed to ensure the minimum requirements for participation in this exam are met. Possession of the entrance requirements does not assure a place on the eligible list. Examiners will receive their exam results 1-2 weeks after the test deadline to their CalCareer email addresses. Names of successful competitors will be merged into the eligible list in order of final scores, regardless of test date. Once list eligibility has been obtained, **you may not retake this examination for twelve (12) months from the Accession/Eligibility Date.**

Continuous testing cut-off dates will be the last business day of each month and all applicants must meet the minimum qualifications as of the cut-off date.

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 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.



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 via email 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

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. 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 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.

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 at CDIExaminations@insurance.ca.gov three weeks after the cut-off 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, Oakland, 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
Classifications & Examinations Unit
300 Capitol Mall, 13th Floor
Sacramento, CA 95814
CDIExaminations@insurance.ca.gov

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.

