

<b>Classification Title:</b> Senior Insurance Compliance Officer (Specialist)	<b>Branch/Division/Bureau:</b> Consumer Services & Market Conduct Branch/Consumer Services Division/Claims Services Bureau
<b>Working Title:</b> Senior Insurance Compliance Officer	<b>Office/Unit/Section/Geographic Location:</b> Los Angeles
<b>Position Number (13 Digit):</b> 413-372-8607-901	<b>Conflict of Interest Position:</b> <input type="checkbox"/> NO <input checked="" type="checkbox"/> YES
<b>Employee Name:</b>	<b>Effective Date:</b>

**BASIC FUNCTION:**

Under direction of a Supervising Insurance Compliance Officer, the Senior Insurance Compliance Officer (SICO) will act as team lead for Associate Insurance Compliance Officers (AICO) on all insurance regulatory activity and special projects including those to identify, research and abolish trends in non-compliant activity. Identify violations, and mediate consumer complaints, including those involving a lack of statutory clarity or involving multiple issues requiring mediation by all parties or formal legal action. The SICO will independently handle the most complex, sensitive and high-profile complaints. Train staff, participate in Department task groups, and represent the Department in public or industry meetings. Occasional travel may be required within and/or outside the state of California via private or public transportation (i.e., automobile, airplane, etc.). Travel may include overnight stay and overtime may be required.

During times of emergency, incumbents may be required to serve at a Local Assistance Centers (LAC) to assist the public during and after emergencies. This may require travel by vehicle, airplane or other means, and may require overnight stays and extended shifts.

This position is designated under the Conflict of Interest Code. The position is responsible for making or participating in governmental decisions that may potentially have a material effect on personal financial interests. The appointee is required to complete a Statement of Economic Interest (Form 700), which includes an Assuming Office filing within 30 days of appointment, annual filings, and a Leaving Office filing within 30 days of physical separation. Non-compliance with the Conflict of Interest Code requirements may result in the voiding of appointment, financial penalties, or enforcement actions.

**ESSENTIAL FUNCTIONS:**

35% Independently gathers, reviews, evaluates, and analyzes information received from consumers to investigate, mediate, resolve, and/or respond to written complaints and inquiries specific to claims handling practices; responds to and facilitates resolution of

**ESSENTIAL FUNCTIONS DUTY STATEMENT**HRM-025

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the most complex, sensitive and high profile complaints that include multiple coverages or lack of statutory clarity; and provides consumers and other appropriate parties with timely updates and information on all relevant issues involved in each complaint/inquiry while providing excellent, fair and responsive service. Conducts research in response to questions from consumers, other branches or agencies, or other third parties as directed by management.

- 30% Acts as a conciliator in the most complex disputes and misunderstandings in an attempt to reach an amicable resolution between licensees and complainants; investigates and identifies violations and work to resolve practices that are not compliant with current laws by independently evaluating and analyzing facts found relative to the inquiry or complaint which may require multiple contacts with consumer, licensee or other entity; directs licensee to resolve issue, complaint, and/or violation of law as appropriate; and recommends and/or takes enforcement action as necessary.
- 30% Documents all consumer inquiries and/or complaints by inputting pertinent information into the Department's online database system, updating information as necessary and processing work in an efficient manner; serves as a member of task forces, working groups, or projects that address technical issues or internal procedures involving sensitive issues; and serves as a technical and training resource to Bureau staff. Reviews trend data, identifies and researches trends in noncompliant activity, recommends or initiates appropriate enforcement action for higher-level enforcement actions or field examinations. Investigates illegal activities that are identified through the review of data trends that are forwarded to the Department from outside entities, establishes corrective plans with licensees to address non-compliant activity and monitors implementation of corrective actions. Prepares cases for review by Legal Division and management.

**MARGINAL FUNCTIONS:**

- 5% Performs Quality Control Audits on AICOs work product on a limited and occasional basis. Serves as a technical advisor to staff. Participates in Department working groups, committees, special projects, and task groups to propose and effectuate changes to regulation and legislation. Represents the Department at meetings with the public or industry. Develops new policies, procedures and guidelines and makes recommendations to management.

**WORK ENVIRONMENT OR PHYSICAL ABILITIES:**

- Ability to work in a high-rise office building, and occasionally at off-site locations.
- Ability to move objects up to 40 lbs. during travel.
- The incumbent may telework in accordance with CDIs telework policy. Teleworking employees may be required to report to their headquarters office location on designated telework days. Travel expenses are not reimbursed, however other authorized transit subsidies do exist for those who qualify.

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**I have read and understand the duties listed above and I can perform these duties with or without reasonable accommodation.** (If you believe reasonable accommodation is necessary, discuss your concerns with the hiring supervisor. If unsure of a need for reasonable accommodation, inform the hiring supervisor, who will discuss your concerns with the Health & Safety Analyst.)

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Employee Signature

Date

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Printed Name

**I have discussed the duties of this position with and have provided a copy of this duty statement to the employee named above.**

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Supervisor Signature

Date

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Printed Name