

ESSENTIAL FUNCTIONS DUTY STATEMENT

HRM-025

Classification Title: Associate Insurance Compliance Officer	Branch/Division/Bureau: Consumer Services & Market Conduct Branch / Consumer Services Division / Claims Services Bureau
Working Title: Associate Insurance Compliance Officer	Office/Unit/Section/Geographic Location: Los Angeles
Position Number (13 Digit): 413-372-8562-087	Conflict of Interest Position: ☐ NO ☒ YES
Employee Name:	Effective Date:

BASIC FUNCTION:

Under direction of a Supervising Insurance Compliance Officer, the Associate Insurance Compliance Officer independently investigates, mediates, resolves, and/or responds to the more varied and complex consumer complaints and inquiries specific to claims handling practices involving various lines of insurance and multiple coverages or situations; investigates and identifies violations of insurance practices involving situations that typically require multiple contacts with the consumer, licensee, and/or other related entity. Mediates and acts as conciliator and directs the licensee/entity to resolve the identified issue, complaint, or violation; recommends and/or takes enforcement action as appropriate.

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 gather, review, evaluate, and analyze 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

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the more complex and varied inquiries and complaints that include multiple coverages or situations; 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.

- 30% Acts as a conciliator in complex disputes and misunderstandings in an attempt to reach an amicable resolution between licensees and complainants; investigates and identify 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 the consumer, licensee, or other entity; direct licensee to resolve issue, complaint, and/or violation of law as appropriate; and recommend and/or take 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, processing work in an efficient manner; serve as a member of task forces, working groups, or projects that address technical issues or internal procedures involving sensitive issues; and serve as a technical resource to Bureau staff.

MARGINAL FUNCTIONS:

- 5% Represents the Department at meetings with the public or industry and provide on-site assistance to the public during states of emergency and/or natural disasters. Review trend data, identify and research trends in noncompliance. Prepare cases for review by Legal Division and Management. Provide analysis on legislative issues, participate in special projects and assist with training.

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 with or without reasonable accommodation.
- 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.)

Employee Signature

Date

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.

Supervisor Signature

Date

Printed Name