State of California | Department of Insurance

ESSENTIAL FUNCTIONS DUTY STATEMENT

HRM-025

Classification Title: Associate Insurance Compliance Officer, Dept of Insurance	**Branch/Division/Bureau:** Consumer Services & Market Conduct Branch / Consumer Services Division / Consumer Communications Bureau
Working Title: Associate Insurance Compliance Officer	**Office/Unit/Section/Geographic Location:** Los Angeles
Position Number (13 Digit): 413-373-8562-009	**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 assists consumers primarily via telephone communications (as well as via written communications, e-commerce and in-person interviews) by independently investigating, mediating, resolving, and/or responding to the more varied and sometimes complex consumer complaints and inquiries related to insurance coverages, rating and underwriting and claims handling practices involving various lines of insurance and including multiple coverages or situations. The incumbent investigates and identifies violations of insurance practices involving situations that typically require multiple contacts with the consumer, licensee, and/or other related entity. The incumbent 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 gathers, views, evaluates, and analyzes information received from consumers primarily via telephone communications (as well as via written communications, e-commerce and in-person interviews) to investigate, mediate, resolve, and/or respond to written complaints and inquiries related to insurance coverages, rating and underwriting and claims handling practice.

35% Responds to and facilitates resolution of 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 via telephone communications (as well as via written communications, e-commerce and in-person interviews).

15% Acts as a conciliator in 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 the consumer, licensee or other entity; directs licensee to resolve issue, complaint, and/or violation of law as appropriate; and recommend and/or take enforcement action as necessary.

10% 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; serve 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 resource to Bureau staff.

MARGINAL FUNCTIONS:

5% Represents the department at meetings with the public or industry and provides onsite assistance to the public during states of emergency and/or natural disasters. Reviews trend data, identify and research trends in noncompliance. Prepares 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:

- The incumbent must be able to work in a high-rise building, and occasionally at off-site locations.
- The incumbent must be able to move objects up to 40 lbs. during travel.
- The incumbent may telework in accordance with CDI's 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.

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