



# ASSOCIATE INSURANCE COMPLIANCE OFFICER, DEPARTMENT OF INSURANCE

**EXAM CODE:** 5IN99  
**EXAM TYPE:** OPEN EXAMINATION  
**LOCATIONS:** ALAMEDA, LOS ANGELES, SACRAMENTO, OAKLAND  
**SALARY INFORMATION:** \$5,406 - \$6,771  
**CLASS/SCHEM CODE:** 8562/VJ40  
**RELEASE DATE:** 1/01/2019  
**FINAL FILING DATE:** CONTINUOUS FILING

## 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

Incumbents independently perform the more complex, varied, and responsible insurance regulatory activity; investigate, identify violations, and mediate resolution of consumer complaints including inquiries by parties to the insurance contract or other interested parties or claimants involving situations that include multiple coverages or situations where there is a question of coverage or liability and typically requiring multiple contacts to achieve resolution; act as a conciliator in disputes and misunderstandings in an attempt to reach an amicable settlement between insurer and insured; report and analyze facts found in such inquiries and disputes and make recommendations; conduct examinations of the application and interpretation of policy forms, transactions, and claims practices of insurers, managing general agents, third-party administrators, or other related insurance entities either alone, as team leader, or as a full team member (sharing equal responsibility); direct the regulated insurance organization to resolve both individual and general issues, complaints, or violations of insurance laws; provide consumers with information on all relevant issues involved in each transaction; work as a team member on task forces, working groups, or projects that address technical issues or internal procedures; input claimant information directly into the Department's online database system; represent the Department at meetings with the public or industry; 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. Once you have taken and passed this examination, **you may not retake it for twelve (12) months**.

### **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](mailto:CDIExaminations@insurance.ca.gov) Please include **Exam Code/Title: 5IN99 ASSOCIATE INSURANCE COMPLIANCE OFFICER, DOI** in the subject line of your email.

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

Once your application has been verified as meeting the requirements for admittance to the examination, you will be **emailed** the Training and Experience Assessment instructions. Please be sure to include your current email address on your application.

Applications may also be delivered in person or by mail. Incomplete applications will not be accepted. Applications must include: "to" and "from" dates (month/day/year), hours worked, civil service class title(s), for all work experience, and the exam code and title 5IN99 Associate Insurance Compliance Officer, DOI. Resumes will not be accepted in lieu of a State Application (STD 678).

### **EMAIL SUBMISSION:**

**SUBJECT LINE:** 5IN99 ASSOCIATE INSURANCE COMPLIANCE OFFICER, DOI

**EMAIL ADDRESS:** [CDIExaminations@insurance.ca.gov](mailto: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 received or postmarked by the cut-off date in order to be considered for the current month. If an application is received after the cut-off date with a late or missing postmark, the application is considered late and will be included in the next 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 Pattern I

Experience: One year of experience in the California state service performing the duties of an Insurance Compliance Officer, California Department of Insurance, Range C. (Promotional candidates who are within six months of satisfying the experience requirement for this class will be admitted to this examination, but must fully meet the experience requirement before being eligible for appointment.)

### Or Pattern II

Experience: Three years of **\*\*qualifying insurance industry experience**. (Experience in 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.)

#### **\*\*Qualifying insurance industry experience:**

Experience at an insurance company working as either:

- (1) An underwriter determining acceptability, coverage, appropriate rating plans, and any judgment based rate deviations or factors; or
- (2) A claims adjuster investigating, evaluating, negotiating, and settling claims with respect to coverage, liability, and damages; or
- (3) A fire or casualty insurance agent or broker handling multiple lines of insurance coverage and making determinations regarding coverage needs, risk information, and renewal account servicing; or
- (4) An insurance consumer advocacy position working on consumer issues, complaints, legislation, or insurer compliance.

## EXAMINATION INFORMATION

### **TRAINING AND EXPERIENCE – 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. Applicants will receive their score results 4-6 weeks after each cut-off date by US Postal mail. Names of successful competitors will be merged into the list in order of final scores, regardless of test date. Once you have taken and passed the examination, you may not retest for **12 MONTHS** from the established list 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 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 California 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, contract law and related statutes, and court decisions.
10. Insurance claims practices and procedures.

### 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.
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.

## SPECIAL PERSONAL CHARACTERISTICS

Willingness to travel and work away from the headquarters office as needed.



## 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](mailto: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](mailto: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.