

**State of Michigan
Civil Service Commission**

Capitol Commons Center, P.O. Box 30002
Lansing, MI 48909

Position Code

1. DEPTALTE

POSITION DESCRIPTION

This position description serves as the official classification document of record for this position. Please complete the information as accurately as you can as the position description is used to determine the proper classification of the position.

2. Employee's Name (Last, First, M.I.)	8. Department/Agency DEPT OF INS AND FIN SERVICE
3. Employee Identification Number	9. Bureau (Institution, Board, or Commission) Office of Insurance Licensing, Investigations, and Audits
4. Civil Service Position Code Description DEPARTMENTAL ANALYST-E	10. Division Insurance Licensing
5. Working Title (What the agency calls the position) REGULATORY COMPLIANCE ANALYST	11. Section REGULATORY PROFESSIONAL SUPPORT UNIT
6. Name and Position Code Description of Direct Supervisor BOYNTON, ADRYNE C; DEPARTMENTAL MANAGER-3	12. Unit
7. Name and Position Code Description of Second Level Supervisor HUISKEN, JILL A; STATE ADMINISTRATIVE MANAGER-1	13. Work Location (City and Address)/Hours of Work 530 W ALLEGAN ST; LANSING, MI 48915 / 8:00 a.m.-5:00 p.m.; Monday-Friday

14. General Summary of Function/Purpose of Position

This position determines statutory compliance of active licensees. Researches, investigates, and analyzes insurers' agent appointment cancellations for cause utilizing NAIC, criminal background and industry organizations' data. Monitors enforcement of licensees and actions. Analyzes and reviews statutory compliance of licensees' and makes recommendations for necessary enforcement referral as it pertains to NAIC RIRS, FINRA administrative action reports, and Reporting of Actions. Serves as the liaison for OILIA managers and Director with the Office of General Counsel, and other states' insurance department regulators.

15. Please describe the assigned duties, percent of time spent performing each duty, and what is done to complete each duty.

List the duties from most important to least important. The total percentage of all duties performed must equal 100 percent.

Duty 1

General Summary:

Percentage: 50

Analyze and review statutory allegations of insurance licensees' misconduct as alleged by insurers through the departments agent appointment cancel for cause process.

Individual tasks related to the duty:

- - Review and evaluate initial documentation from the insurer to make recommendations on how to proceed with regulatory action. Prepare and send follow up correspondence to insurer and licensee.
 - Continue to research, analyze, and evaluate to make recommendations on appropriate course of administrative action pertaining to alleged Code violations.
 - Research and obtain criminal background information from national/state databases to support action being taken against licensee.
 - Make recommendations if further investigation is required by referral to the Investigations Unit or recommend immediate enforcement action to the Office of General Counsel (OGC).
 - Generate a referral memorandum which includes one or more recommended actions: Notice of Opportunity to Show Compliance, Cease and Desist Order, or Notice of Intent to Revoke.
 - Prepare and distribute pertinent correspondence to additional department offices or other interested parties as determined by the regulatory action.

Duty 2

General Summary:

Percentage: 45

Analyze and review statutory compliance of licensees' and recommend necessary enforcement referral as it pertains to NAIC RIRS, FINRA administrative action reports, and Reporting of Actions.

Individual tasks related to the duty:

- - Review daily NAIC insurance agent/agency licensing alerts and RIRS notifications pertaining to license inactivation, suspension, termination, or revocation. Analyze and investigate reporting of actions and self-reports to make recommendations if further action needs to be taken against the licensee/entity.
 - Review monthly FINRA administrative action reports. Analyze and investigate FINRA administrative action reports to determine if further action needs to be taken against the licensee/entity.
 - Interpret existing laws, policies and procedures as they relate to insurance.
 - Research and obtain criminal background information from national/state databases to support action being taken against licensee.
 - Draft a referral memorandum which includes one or more recommended actions: Notice of Opportunity to Show Compliance, Cease and Desist Order, or Notice of Intent to Revoke.
 - Prepare and distribute pertinent correspondence to other department offices or other interested parties as required.
 - Maintain and oversee any licensees' compliance corrective action plans as stated in the enforcement final order. Prepare notices recommending successful termination of probation or further enforcement action.
 - Analyze, develop and implement program policy and procedure operations. Draft and recommend programming improvements for department related electronic systems.

Duty 3

General Summary:

Percentage: 5

Other duties as assigned

Individual tasks related to the duty:

- Attend meetings, conferences and seminars in assigned area of responsibility.
- Perform related special assignments from supervisor as requested.

16. Describe the types of decisions made independently in this position and tell who or what is affected by those decisions.

Establish priorities to accomplish goals and directives.

17. Describe the types of decisions that require the supervisor's review.

When priorities and directives overlap into other areas and clarification of policy issues are needed

18. What kind of physical effort is used to perform this job? What environmental conditions in this position physically exposed to on the job? Indicate the amount of time and intensity of each activity and condition. Refer to instructions.

Position duties and tasks are performed in a traditional office environment which includes considerable sitting, occasional standing, limited lifting, microcomputer usage and normal office routines.

19. List the names and position code descriptions of each classified employee whom this position immediately supervises or oversees on a full-time, on-going basis.

Additional Subordinates

20. This position's responsibilities for the above-listed employees includes the following (check as many as apply):

- | | | | |
|---|------------------------------------|---|-----------------------------------|
| N | Complete and sign service ratings. | N | Assign work. |
| N | Provide formal written counseling. | N | Approve work. |
| N | Approve leave requests. | N | Review work. |
| N | Approve time and attendance. | N | Provide guidance on work methods. |
| N | Orally reprimand. | N | Train employees in the work. |

22. Do you agree with the responses for items 1 through 20? If not, which items do you disagree with and why?

Yes.

23. What are the essential functions of this position?

Research data on the PDB and I-SITE databases. Review statistical and financial reports to determine producer and agency performance to assure compliance with established standards for quality are consistent. Recommend if further investigation is required through the Investigations Unit, or recommendation for immediate enforcement action is needed through the Office of General Council. Schedule and prioritize duties according to statutory priorities or as communicated by the regulatory professional support manager. Interpret existing laws, policies and procedures as they relate to insurance market analysis/conduct standards. Attend meetings and conferences as appropriate.

24. Indicate specifically how the position's duties and responsibilities have changed since the position was last reviewed.

N/A

25. What is the function of the work area and how does this position fit into that function?

This unit is responsible for determining if licensees remain in compliance with Michigan's statutory requirements to maintain licensure. This essential position serves to independently analyze compliance through company submissions of cancellation for cause of appointments, and reports of potential code violations through individual self-reports, NAIC RIRS, and FINRA administrative action reports.

26. What are the minimum education and experience qualifications needed to perform the essential functions of this position.

EDUCATION:

Possession of a Bachelor's degree in any major

EXPERIENCE:

No specific type or amount is required.

KNOWLEDGE, SKILLS, AND ABILITIES:

- Ability to interpret laws, rules and regulations relative to the insurance industry.
- Knowledge of the principles and practices of research and analysis.
- Ability to organize and coordinate the work of others.
- Ability to set priorities and assign work to other professionals.
- Ability to communicate both verbally and in writing effectively.

CERTIFICATES, LICENSES, REGISTRATIONS:

None

NOTE: Civil Service approval does not constitute agreement with or acceptance of the desired qualifications of this position.

I certify that the information presented in this position description provides a complete and accurate depiction of the duties and responsibilities assigned to this position.

Supervisor

Date

TO BE FILLED OUT BY APPOINTING AUTHORITY

Indicate any exceptions or additions to the statements of employee or supervisors.

N/A

I certify that the entries on these pages are accurate and complete.

DIANE GRIGGS

12/6/2019

Appointing Authority

Date

I certify that the information presented in this position description provides a complete and accurate depiction of the duties and responsibilities assigned to this position.

Employee

Date