



DC Government Career Opportunities

Job Title: Manager, Consumer Services
Requisition Number: JO-1707-9359
Grade: 14
Salary Range: \$99,659.00 - \$139,522.00
Promotion Potential: No
Agency: Insurance, Securities and Bank
Location: 810 1st St NE
Area of Consideration: Open to the Public
Opening/Closing Date: 7/12/2017 - 8/11/2017

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Job Summary

Introduction

This position is located in the Department of Insurance, Securities and Banking, Office of the Deputy Commissioner for Market Compliance, Office of the Director of Compliance Analysis, Consumer Services Branch. The position's primary purpose is to receive and process all consumer complaints and inquiries. The incumbent monitors marketplace activities of financial services entities doing business in the District and responds to requests from consumers for assistance in resolving disputes regarding payment of claims, charges, unfair trade practices, allegations of fraud, misconduct or other violations of insurance, securities and banking laws and regulations.

Position Controls

The incumbent works under the general direction of the Director of Compliance Analysis. Assignments are generated by insurance, securities and banking legislative requirements, program objectives resulting changes in the laws, Department operational requirements and goals developed by the incumbent in line with Department regulatory objectives. The incumbent is delegated wide latitude for the exercise of independent judgment in planning and implementing consumer services programs. Decisions affecting major policy matters are subject to supervisory concurrence. Completed assignments are considered technically sound and are accepted without significant change. Work is evaluated in terms of the effectiveness with which the incumbent provides leadership and in the accomplishment of program goals and objectives.

Guidelines of the position include administrative and procedural issuances of the District of Columbia Government, the Department of Insurance, Securities and Banking directives, policies and procedural issuances and regulating material provided by the National Association of Insurance Commissioners, decisions of the courts, the Securities and Exchange Commission, FDIC and other state and federal authorities for financial services and products. The incumbent exercises considerable judgment and ingenuity in interpreting, applying and adapting existing guides, and resourcefulness in developing new or innovative approaches for resolution of problems.

Major Duties and Responsibilities

The incumbent serves as Manager of Consumer Services Branch. In this capacity, he/she is responsible for planning, implementing and coordinating activities related to provisions for consumer advocacy services in the administration of insurance, securities and banking laws and regulations by supervising the DISB consumer complaint process and resolving complaints. The incumbent supervises the work of a staff engaged in the following activities:

Receiving and responding to public inquiries. Handling complaints/disputes regarding payment of insurance claims, allegations of violations of insurance, securities and banking laws. Conducting research to develop answers to specific questions and problems; resolving problems through individual counseling or refer consumers to appropriate agency for further assistance; and providing counseling to consumers on financial products and service needs.

Receiving and investigating complaints regarding insurance companies and producers, investment advisers and broker-dealers, District-chartered banks and non-depository financial institutions doing business in the District of Columbia Conducting

investigations by acquiring documentation, records and other evidence from the complainant and other involved parties. Reviewing and analyzing factual data to determine complaint validity. In instances where appropriate such as policy cancellations or non-renewals, advising individuals of their appeal rights. Acting as liaison between complainant and respondent investment adviser or broker-dealer, bank or non-depository financial institution or insurance company or producer to resolve misunderstandings regarding products and services. Performing various activities related to investigations such as updating of files and the complaint tracking database, compiling reports and drafting correspondence.

Receiving and fulfilling public requests for publications; maintain databases of information from counseling contact reports as needed.

Assisting in the overall operation of the senior counseling program, scheduling meetings, speaking engagements and training classes for volunteer counselors; and answering questions and providing information to volunteer counselors.

Performing research to determine solutions to problems affecting clients to determine the nature and magnitude of problems or complaints; and reviewing particular financial products, practices and services on behalf of clients.

The incumbent develops the Branch's annual and long term operating plans. Develops and implements operating procedures for the effective accomplishment of planned objectives. Monitors and evaluates the operations of the Branch for efficiency, effectiveness and compliance with policies and procedures of the Department. Analyzes existing work methods and management techniques to determine if they provide maximum efficiency and effectiveness in accomplishing the Branch's mission and goal; revising as necessary.

The incumbent modifies and/or formulates procedures and practices regarding the handling of consumer complaints. Devises procedures to better coordinate activities of Branch personnel within the Department Analyzes recommendations received from the technical staff relative to needed changes in policy, practices and the insurance laws. Develops appropriate reports from these recommendations for consideration by the Director of Compliance Analysis and other Department managers.

The incumbent actively participates in top priority or sensitive investigations. Assists and advises the Enforcement and Investigations Division of alleged or possible illegal activity of insurance companies/producers, investment advisers and broker-dealers District-chartered banks and non-depository financial institutions doing business in the District of Columbia. The incumbent assigns and reviews the work of the subordinate staff, rates employee performance in accordance with established standards; interviews and selects new employees; approves leave; investigates and resolves complaints/differences between employees; gives or provides for training and develops quantitative and qualitative measures for evaluating the performance of subordinate employees.

The incumbent may be required to testify at administrative hearings or in court proceedings to support recommendations for adverse action against licensees.

The incumbent reviews recommendations on claims filed by injured persons seeking compensation for injuries sustained in motor vehicle accidents where there is no identifiable insurance coverage for their losses pursuant to D.C. Code § 31-2408. Oversees the processing of claims and the investigation process. Evaluates the compensation claims of victims injured in automobile accidents in the District of Columbia. Determines which claims are eligible for subrogation and prepares cases for appropriate legal action. Compiles statistical information and annual reports on the operations of the Uninsured Motorist Fund.

The incumbent maintains the database and monitors transmission of closed complaint data to the SBS, which is a nationwide database used for researching and analyzing consumer complaints filed with state insurance departments. Insurance departments submit complaint data to the NAIC SBS database enabling regulators to review this information for market conduct examinations and market analysis purposes.

Performs other related duties as assigned.

OTHER SIGNIFICANT FACTORS

Mastery financial market transactions and the implications of risk finance operations within and across industry sectors.

Mastery of market convergence, and familiarity with products and services typically provided by insurance, securities and banking firms.

Ability to identify current and emerging trends in financial operations, which could create market transaction problems, and define regulatory remedies to reduce or eliminate market dislocations. Ability to develop and conduct market segment studies aimed at determining key drivers for new financial products and services.

Mastery of and skill in applying the investigative and enforcement techniques. Mastery of and skill in problem solving negotiation strategies, and project management to conduct in-depth research and analysis; and mastery of management skill and experience in planning, organizing, and direct team study work, and negotiating effectively with management to accept and implement recommendations.

Demonstrated skills and experience in providing leadership in managerial capacity and in providing leadership in a team-based environment; and the ability to set appropriate work standards and to hold people accountable for their performance.

Superior oral and written communication skills to develop and present oral and written reports on complex technical problems and issues related to DISB; and to negotiate, build partnerships, and provide authoritative advice on rules, regulations, and/or

other related issues. Ability to build consensus among key stakeholders on change initiatives.

Degree in public relations or public administration or allied field and five (5) years' experience in the consumer relations or consumer protection area sufficient to demonstrate that the applicant possess the knowledge, skills, and abilities required to perform work in the position is desirable.

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