

New York State Department of Civil Service
Division of Classification & Compensation

	Occ. Code 0308700
Assistant Director Financial Services Licensing Services, M-1	0308700
Director Financial Services Licensing Services, M-3	0308800

Brief Description of Class Series

The Assistant Director and Director Financial Services Licensing Services oversee and monitor an array of professional license examinations. They provide outreach, education, technical assistance and advice to individuals seeking to obtain professional licensure. Specifically, incumbents plan, direct and implement policy and procedure for applying Articles 11, 21, 64 and 68 of the Insurance Law as well as provisions of other applicable laws. These positions, in conjunction with the Office of General Counsel, supervise the issue of licenses to insurers authorized to do business in New York State and maintain the official records for those companies. These positions also oversee a program that reviews applications from organizations seeking continuing education program authorizations for agents, brokers and other producers of insurance products.

These positions are classified only in the Department of Financial Services.

Distinguishing Characteristics

Assistant Director Financial Services Licensing Services: one position class; manager; oversees staff in the Licensing Services Bureau.

Director Financial Services Licensing Services: one position class; directs activities of the Licensing Services Bureau.

Illustrative Tasks

Assistant Director Financial Services Licensing Services

Assists the Director in reviewing and making recommendations to Superintendent on legislative proposals relating to licensing programs.

- Participates with the legislative Counsel and the Director in responding to inquiries from legislators regarding bills involving licensing issues.

- Provides information on basis for department's support for bills as well as the department's positions on objections or questions raised by other interested parties.
- Advises and consults with representatives of industry groups in the development of proposed legislation to meeting industry and department needs as well as the needs of the public.
- Works with the legislative Counsel as well as other bureaus in formulating legislative proposals and establishes qualifications and standards for classes and licenses.

Assists the Director in the development of appropriate policies in accordance with New York State Law for reciprocity of licensing with other states in order to accomplish the shared regulatory goal of ensuring the competence of those serving the insuring public in each state's jurisdiction.

- Develops or supervises the development of appropriate cooperative arrangements with other states for reciprocity that do not impinge upon the licensees for non-resident licensing by other states.
- Serves as liaison with other states' regulatory agencies in drafting and executing reciprocal agreements and formal certifications for New York Department licensees for non-resident licensing by other states.
- Assists the Director in reviewing and analyzing proposed legislation related to reciprocity, recommending appropriate action to the Superintendent.

Develops or assists in development of qualifying examinations for licensing of agents, brokers, adjusters and other classes of licensees.

- Develops or assists in the development of pre-licensing education standards to be completed by certain classes of licensees, creating guidelines for methods and content for pre-licensing education courses to be used by those schools applying for approval to offer department sanctioned courses to applicants intending to qualify for licensing examinations.
- Drafts criteria and bid specifications for the outside vendor(s) performing such functions as administering and scoring qualifying examinations and notifying applicants of examination results.
- Supervises staff developing examination content to determine that those applying for licenses issued by the department are competent.

Participates with the Director in the oversight of the administration of the Department's continuing education program mandated by legislation.

Oversees or assists in overseeing other departments as their operations relate to licensing, continuing education and discipline.

Director Financial Services Licensing Services

Oversees the Licensing Services Bureau's activities, and manages the activities of staff.

- Develops a calendar of the Bureau's work-related activities, realigning available staff of all units to meet deadlines and goals.
- Oversees training and development needed by staff.
- Develops budget for licensing services operation.
- Establishes internal leave policies in accordance with State attendance rules and department policies.
- Reviews and rates subordinate's work performance and prepares performance evaluations.

Writes articles for departmental publications regarding licensing issues.

Makes presentations before industry groups regarding current licensing issues such as New York State licensing requirements, reciprocity with other state's insurance licensing requirements, qualifications issues, regulations and new laws related to licensing in New York and continuing education as it will apply to New York licensees.

Minimum Qualifications

Assistant Director Financial Services Licensing Services

Promotion: one year of services as an Associate License Examination Specialist.

Director Financial Services Licensing Services

Promotion: one year of service as an Assistant Director Financial Services Licensing Services.

Note: Classification Standards illustrate the nature, extent, and scope of duties and responsibilities of the classes they describe. Standards cannot and do not include all of the work that might be appropriately performed by a class. The minimum qualifications above are those which were required for appointment at the time the Classification Standard was

written. Please contact the Division of Staffing Services for current information on minimum requirements for appointment or examination

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