



Insurance Council of Manitoba **COMPLIANCE OFFICER** (Full-time Position)

Resumes can be forwarded by email to hroffice@icm.mb.ca. No telephone or in-person inquiries please. Only candidates selected for an interview will be contacted. Qualified applicants are invited to submit their cover letter and resume **by end of day December 8, 2024**. Start date will be determined based on the candidate.

POSITION SUMMARY, REPORTING and SALARY

This full-time position is responsible for the intake and review of complaints (or potential compliance matters), to determine if an investigation is warranted, if the complaint falls within the ICM's jurisdiction, or if the complaint is unfounded.

Reporting: Direct Report of the Director, Compliance

Salary range: \$43,900.00 - \$59,400.00

Hours: Monday – Friday 8:30am – 4:30pm (1 hour lunch)

Location: 466 – 167 Lombard Avenue, Winnipeg, MB R3B 0T6

The Insurance Council of Manitoba welcomes applications from people with disabilities. Applicants may request reasonable accommodation related to the materials or activities used throughout the selection process.

SKILL REQUIREMENTS

- Strong analytical skills and attention to detail are crucial for this role
- Must be highly organized
- Self-motivated with excellent problem-solving skills
- Conveys good work ethic and attributes
- Extremely punctual and dependable
- Able to communicate clearly, concisely and professionally in writing and orally
- Able to calmly diffuse situations in a professional manner
- Ability to multi-task without derailing concentration on any specific task
- Good typing skills
- Stays on task and interacts positively with people
- Able to maintain strict confidentiality

RESPONSIBILITIES

Compliance Intake and Review

1. **Complaint Management:** Handle the intake of all compliance matters, ensuring each one is logged accurately and promptly.
2. **Initial Assessment:** Conduct preliminary reviews to categorize and prioritize compliance matters based on severity and urgency.
3. **Triage of Compliance Matters:** Efficiently triage all compliance matters, directing them to the appropriate department or personnel for potential further investigation. This includes complaints against licensees or former licensees.
4. **Documentation:** Maintain detailed records of all complaints and compliance issues, including actions taken and outcomes.
5. **Stakeholder Communication:** Prepare communication to the stakeholder(s), ensuring clear and transparent communication. This includes sending a Notice of Investigation (NOI) and other communications to the stakeholder.
6. **Create and Maintain Files:** Create and maintain compliance files (both electronic and/or paper), ensuring to keep up to date documentation in all files, and work with the Investigators on their “papering” of the files.
7. **Data Analysis:** Analyze complaint data to identify trends, potential risks, and areas for improvement. Update all statistics spreadsheets as hosted within the department.
8. **Reporting:** Prepare regular reports on complaint and compliance matter status, providing insights and recommendations to the Senior Investigator and the Director, Compliance.
9. **Confidentiality:** Maintain confidential client files according to Insurance Council of Manitoba policies.



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Compliance Oversight

1. **Regulatory Adherence:** Ensure all compliance practices comply with relevant laws and regulations. Monitor changes in legislation and provide recommended updates to policies to the Director, Compliance.
2. **Training and Education:** Participate in mandatory training programs to stay current with compliance requirements and best practices, ensuring your knowledge is always up to date.
3. **Policy Development Participation:** Participate in the creation of compliance policies and procedures, ensuring they are clear, comprehensive, and accessible.
4. **Ethics and Integrity:** Participate in a culture of integrity and ethical behavior throughout the organization.

Support the Compliance Department

1. **Project Completion:** Complete projects in a timely fashion at the direction of the Department Director.
2. **Follow-up on Files:** Perform follow-up activities resulting from compliance meetings, as well as other duties at the direction of the Department Director.
3. **Participation in advancement of system:** Provide ideas for system and process improvements to the Department Director.
4. **Participate in System Development meetings:** Participate in Norima meetings as required and give feedback by way of testing the system in specific compliance areas.

Stakeholder Management

1. **Stakeholder Engagement:** Liaise with regulatory authorities, industry bodies, and other stakeholders to communicate compliance standards and updates.
2. **Other Duties:** Perform other duties at the direction of the Department Director.

EDUCATION AND KNOWLEDGE REQUIREMENTS

- High School diploma and post-secondary education in a related field like Business Administration
- Minimum 3 years' experience in a professional office environment
- Proficient with a PC Computer system, and in MS Office; Excel, Word, and Outlook, such as creating and monitoring complex spreadsheets, utilizing formulas and functions, generating reports, and analyzing data to support compliance activities
- Ability to interpret and apply legislation and policies to differing situations
- A basic working knowledge of the Insurance Act and regulations is considered an asset
- Preference to persons who have worked in a regulatory environment involving consumer protection

SPECIAL REQUIREMENTS

- Must pass a criminal record check and be legally entitled to work in Canada

The Insurance Council of Manitoba offers a competitive benefits package, and a friendly, team-oriented work environment.