



## **CAREER OPPORTUNITY WITH THE INSURANCE COUNCIL OF MANITOBA**

### **Investigator, Compliance Department**

The Insurance Council of Manitoba (ICM) is the regulatory body responsible for the licensing and discipline of insurance agents, brokers and adjusters in the Province of Manitoba. ICM is currently seeking a highly motivated and qualified individual to be an Investigator in Winnipeg, Manitoba.

#### **POSITION SUMMARY**

This position is responsible for conducting investigations and compliance processes in accordance with compliance policies and procedures, ensuring investigation governance and accountability, creating awareness for ICM, and keeping current on industry practices, legislation, and insurance regulations.

#### **KEY RESPONSIBILITIES**

##### **1. Investigation and Compliance Process**

- a) **Inquiry Process** - Address inquiries from the public and industry with respect to the complaint process, regulatory requirements and Council policies under The Insurance Act of Manitoba, Regulations, Rules, and/or Codes of Conduct.
- b) **Open/assess complaints and gather information** - Receive complaints and assess possible regulatory violations. Make inquiries of stakeholders and obtain information. Responsible for reviewing and monitoring the individual investigation procedure from opening to closing and maintaining confidential client files in accordance with Insurance Council of Manitoba policies.
- c) **Interviews and Investigation** - Conduct interviews, gather all relevant statements and documents as required; review and analyze evidence gathered. Prepare an investigation report outlining potential violations including evidence and present the report and evidence to Council for review.
- d) **Council Meetings** – Prepare for and attend Council meetings as required to present investigation reports, information and evidence.
- e) **Discipline** – Arising from Council decisions, prepare disposition letters including unsubstantiated letters and letters of caution to the complainant and complainee. Also responsible for preparing intended decisions, and decision letters for review by Director, Compliance. Ensure intended decisions and decisions are completed accurately and in accordance with regulatory requirements. Prepare any final decisions for publication in accordance with privacy requirements for review by the Director, Compliance.
- f) **Hearings, Appeals** - Arrange and attend hearings as required. Correspond with legal counsel, court reporter and complainee for hearings before Council. Prepare materials for appeals, and attend and testify as required. Attend and testify at court proceedings as required.
- g) **Inspections/Audits** – Conduct inspections and/or audits of insurance agencies or offices at the direction of Director, Compliance and in accordance with Compliance Department procedures. Prepare and deliver findings and recommendations resulting from inspections/audits to the Director, Compliance.
- h) **Manage the Process** - Review, monitor and make recommendations to continuously improve investigation procedures or compliance processes.

## 2. Investigation Governance

- a) **Authority Compliance** - Responsible for ensuring all actions taken are within ICM's legislated and delegated authority and in accordance with Council policies and Compliance Department procedures. Responsible for reporting workflow and activities to the Director, Compliance.
- b) **Council Governance** - Engage with industry councils are required relating to investigations as outlined above. Prepare minutes of Council meetings as directed. Provide information and material to the Director, Compliance for Council meeting agenda preparation.
- c) **Stakeholder Liaison** - Liaise with identified stakeholders, including other jurisdictions, related government offices, related regulatory bodies and law enforcement.
- d) **Knowledge Management** - Maintain accurate records and statistics on all investigations, using ICM systems and record-keeping processes, and adhering to privacy (e.g. FIPPA) requirements.

## 3. ICM Communications and Awareness

- a) **Consumers** - Direct consumers where to obtain other information and resources.
- b) **Industry** - Speak at industry meetings and/or outside organizations as required.
- c) **Education** - Write articles on compliance matters as required.
- d) **Regulatory Requirements** - Act as a resource to the Executive Director, Director, Compliance, Council and ICM staff on regulatory compliance matters.

## 4. Personal Development

- a) **Knowledge** - Remain current on industry practices, legislation, and regulation through media and industry publications, education and professional development.

### EDUCATION AND KNOWLEDGE REQUIREMENTS:

1. Post-secondary diploma or degree in a relevant discipline. Insurance professional designation preferred.
2. Strong experience and sound working knowledge of and/or education in the insurance industry.
3. Must have thorough knowledge of insurance products and industry practices/procedures.
4. Must have strong working knowledge of the Insurance Act of Manitoba, related Regulations, Rules and Council policies
5. Experience with PC Computer system with custom designed software, Microsoft office in a windows XP network environment, and experience in Microsoft office (Power Point, Word, and Excel).

**For more information or to submit your resume, please contact Matt Erhard at Summit Search Group at (204) 926-8896 or visit [www.summitsearchgroup.com](http://www.summitsearchgroup.com). All applications will be reviewed through the search process with Summit Search Group.**