

# Standards Complaint Intake and Resolution Officer and Panel Clerk

Full time position (12 Month Contract)

## POSITION OVERVIEW

The Standards Complaint Intake and Resolution Officer and Panel Clerk is responsible for the identification, receipt, and initial review of complaints against FP Canada™ certificants and gathering, processing, and analyzing evidence for possible breaches of the FP Canada Standards Council™ *Standards of Professional Responsibility*. The Standards Complaint Intake and Resolution Officer and Panel Clerk is expected to: independently manage a caseload of complaints, resolve and close complaint files where further investigation of the conduct is not required, recommend which matters ought to be escalated to investigation, and prepare escalation memos where appropriate. The Standards Complaint Intake and Resolution Officer and Panel Clerk also acts as the liaison with Standard Council's committees and panels including the Conduct Review Panel.

The ideal candidate will be self-directed, motivated, and able to make decisions and initiate appropriate actions. This role reports to the Manager, Complaint Intake.

## Key Responsibilities

In this role, you will:

### REVIEW COMPLAINTS AND VIOLATIONS UNDER STANDARDS OF PROFESSIONAL RESPONSIBILITY (60%)

- Responsible for the initial review of complaints and potential violations under the Standards of Professional Responsibility. This encompasses:
- Monitoring news feeds from various regulatory bodies to assess whether allegations or findings involve a potential breach of the Standards of Professional Responsibility by FP Canada certificants;
- Reviewing and triaging FP Canada certificant declarations on annual renewal forms or ad hoc reporting;
- Being responsible for the timely, accurate and efficient review of complaints, including identifying conduct issues, and collecting information/ documentation to close or refer files;
- Preparing a full range of documentation in relation to complaints including correspondence with complainants and certificants, Instructions to Investigate, Director Reports, closing letters and memoranda, presentations, and other correspondence.

### **ACT AS PANEL LIAISON AND CLERK (15%)**

- Act as liaison and coordinates all meetings of the Conduct Review Panel, including supporting the drafting of agendas and other meeting materials, preparation and distribution of materials, taking meeting minutes, attending to post-meeting matters and providing support to the Panel members relating to travel arrangements, meeting attendance and other tasks as required.
- Act as a liaison for other volunteer Panels (as needed) which may include the Standards Panel, and Hearing and Appeal Panels. As liaison you will, be responsible for coordinating Panel activities, scheduling matters, preparing, and delivering materials, taking minutes, and conducting necessary follow-up.
- Summarizes and maintains a historical document on Guidance and Advice decisions made by the Conduct Review Panel. Ensures Guidance and Advice decisions on FP Canada's website are current and up to date.

### **CONDUCT TRADEMARK VIOLATIONS (5-10%)**

- Responsible for conducting trademark violation checks based on reporting and identifying and researching potential misuse of FP Canada trademarks and preparing correspondence and follow up with any breaches to ensure violations are effectively dealt with.

### **MANAGE RECORDS, DASHBOARD AND STATISTICS (10-15%)**

- Maintain records and statistics of Standards and Enforcement activities, including inquiries, complaints, investigations, case decisions, hearings/appeals, and trademark infringements.
- Manage and maintain the Standards and Enforcement database and dashboard and produce the monthly stats with respect to complaints, investigations, and hearings matters. This includes the production of appropriate reports as needed.

### **PROVIDE COMMUNICATION AND CROSS-FUNCTIONAL TEAM SUPPORT (10%)**

- Act as the point of contact for inquiries from internal and external stakeholders regarding the Standards and Enforcement process.
- Act as administrative support for Enforcement team and undertake other tasks as assigned by the Vice President Standards, Certification and Enforcement; the Director of Professional Conduct and Enforcement; and/or the Manager, Complaint Intake to support the achievement of FP Canada's strategic priorities.
- Contribute to overall department efficiency and output, supporting, as required, other enforcement activities and team members, with an action-oriented and continuous improvement focus.

## **Required Qualifications**

The ideal candidate will have the following skills and experience:

- Paralegal or Law clerk diploma or comparable education;
- Five (5) years of administrative experience with at least two (2) years gained in a regulatory environment or with a professional oversight body, providing intake, complaint handling and resolution service;
- Experience dealing with the public or in customer service;
- Knowledge of financial services sector is an asset.

## Competencies

The ideal candidate will have the following skills and experience:

- Strong writing and analytical skills to reason through complex spoken and written information;
- Exceptionally organized, with strong prioritizing, and coordinating skills;
- Ability to analyze and synthesize complaints, identify relevant individual and potential systemic issues, assess jurisdiction, and identify avenues of potential recourse;
- Ability to manage a high-volume caseload, prioritize issues and tasks and meet deadlines;
- Strong computer skills (Word, Excel, PowerPoint, Internet researching, Power BI Reporting);
- Able to deal professionally and calmly with members of the public at all times; and
- Ability to work independently as well as collaboratively with the organization.

## ABOUT FP CANADA

Established in 1995, FP Canada is a national not-for-profit education, certification and professional oversight organization working in the public interest. FP Canada is dedicated to championing better financial wellness for all Canadians by leading the advancement of professional financial planning in Canada. Learn more at [FPCanada.ca](https://www.fpcanada.ca).

## WORKING WITH FP CANADA

We're [FP Canada](https://www.fpcanada.ca), a team of passionate and progressive professionals. FP Canada employs over 55 people, and our office is located in downtown Toronto. This is a full-time 12-month contract position working 5 days per week, during core business hours, with some flexibility required. We offer a hybrid-work model, requiring at a minimum, two days a week (40%) on average, of employees' time be spent in the office.

We are committed to wellness and a healthy work environment for our employees. You will earn a highly competitive annual salary, generous paid vacation, and personal time, and you will enjoy our comprehensive employee benefits, professional development opportunities, flexible work arrangements and regular social events.

We are service-oriented, principled, and driven to make a societal impact, and we strive for and demand excellence, integrity, and respect from each other as well as our external stakeholders. We value collaboration and flexibility, and together have created a collegial and positive work environment.

## Our Commitment to Inclusion and Diversity

FP Canada values inclusion and diversity, and different perspectives and experiences; and we are committed to working towards an inclusive and diverse organization, reflective of Canada's population. We encourage candidates who identify in traditionally underrepresented communities (women, racialized persons, indigenous persons, LGBTQ2S+ and persons with disabilities) to apply.

## Our Commitment to Accessibility

FP Canada is committed to ensuring equal access and participation for people with disabilities in accordance with the *Ontario Human Rights Code (OHRC)* and the *Accessibility for Ontarians with Disabilities Act (AODA)*. FP Canada will provide accommodation on request throughout the recruitment, selection and/or assessment process for applicants with disabilities. If you require accommodation, please inform our Human Resources Department at [careers@fpcanada.ca](mailto:careers@fpcanada.ca).

## HOW TO APPLY

To apply, please submit your application to [careers@fpcanada.ca](mailto:careers@fpcanada.ca) and note the position title in the subject line. Applications will be accepted until Tuesday May 14, 2024.

We wish to thank all applicants for their interest and advise that only those selected for an interview will be contacted.