

## I. DESCRIPTION OF WORK

Positions in this banded class perform professional financial/analytical and law enforcement work in the detection, investigation, and punishment of fraudulent and non-fraudulent violations of applicable civil and/or criminal laws (such as those related to tax, Medicaid/insurance, securities, or other financial and business laws). Positions conduct and participate in a wide variety of case investigations involving complex financial analysis. Work requires knowledge of applicable state and federal laws and regulations. Positions in this class manage investigative assignments and/or projects; prepare written investigation reports, subpoenas, search warrants, and witness statements and/or affidavits; research public records; analyze facts and documents; interview and coordinate witnesses; communicate and consult with subjects, law enforcement and judicial personnel, federal and state agencies, and others; testify in judicial proceedings; maintain confidentiality and discretion in the course of conducting business; work individually and/or with others; and adapt to change and circumstances. Positions lead, participate in, or assist with collection and storage of evidence, arrests, execution of search warrants, undercover investigation, and other law enforcement operations pursuant to the case. Positions may require certification as sworn law enforcement agent.

## II. ROLE DESCRIPTIONS BY COMPETENCY LEVEL

Contributing	Journey	Advanced
Positions at this level perform entry-level work. Employees learn the laws, rules, regulations, and procedures applicable to area of work; work under close supervision; locate resources of accounting principles; learn communication and report writing skills; learn how to conduct investigations and gather information from financial industries and other relevant sources; report findings; and learn to make decisions based on facts.	Positions at this level perform professional level work requiring knowledge of laws, rules, regulations, and procedures applicable to area of work. Positions work independently while reporting to a supervisor on a regular basis; independently complete investigations; demonstrate sound judgment in making decisions and recommendations; present findings verbally and in written form; and train others as assigned. Positions at this level are assigned to more complex investigations than those at the Contributing level.	Positions at this level are assigned to the most complex, novel, or unique investigations. They serve as subject matter expert; work independently; and may serve as lead investigator. Positions at this level may have developed a specialty or recognized expertise for certain types of cases within the investigations program. Assigned cases are frequently more varied and broader in scope than those assigned at the Contributing and Journey levels.

**III. COMPETENCIES**

Competency	Definition
<b>Knowledge - Professional</b>	Professional knowledge and ability to conduct field investigations of financial or business crimes/violations. Ability to keep abreast of current developments and trends. Knowledge of applicable judicial procedures, laws, and regulations. Knowledge of investigative examination processes and procedures. Knowledge of financial or insurance industry practices and of generally accepted accounting principles. Knowledge and ability to use applicable information technology to meet work needs.
<b>Communication</b>	Ability to clearly communicate verbal and written information in order to facilitate investigations. Ability to listen and understand message from others. Ability to provide responses that are consistent with regulations, laws, and investigation procedures. Ability to draft investigative reports. Ability to interact with co-workers, supervisors, subjects, law enforcement personnel, attorneys, court personnel, and others. Ability to develop and maintain professional working relationships. Ability to testify in judicial proceedings.
<b>Investigation, Analysis, and Decision Making</b>	Ability to gather, organize, and analyze evidence/data in order to determine if applicable laws and regulations are violated. Ability to develop and execute an investigative plan. Ability to recognize and respond accordingly to unusual activity. Ability to recommend action based upon acquired knowledge and information while maintaining confidentiality. Ability to locate and compare relevant information/evidence from various sources. Ability to conduct investigations and/or complete assignments or projects within prescribed timeframes.

## Definitions:

*Court Personnel* -- Officials or staff including, but not limited to, clerks of court; trial administrators; judges; hearing officers; district attorneys and staff; court reporters; and designated personnel within agencies, boards, and commissions.

*Subjects* -- Includes health care providers, investment advisors and broker/dealers, examinees, tax payers, crime suspects, victims, witnesses, informants, related third parties, or others.

Note: Not all competencies apply to every position/employee; evaluate only those that apply. Competency statements are progressive. For positions with some supervision consider the highest level of professional work performed.

**IV. COMPETENCY STATEMENTS BY LEVEL**

**Knowledge – Professional**

Professional knowledge and ability to conduct field investigations of financial or business crimes/violations. Ability to keep abreast of current developments and trends. Knowledge of applicable judicial procedures, laws, and regulations. Knowledge of investigative examination processes and procedures. Knowledge of financial or insurance industry practices and of generally accepted accounting principles. Knowledge and ability to use applicable information technology to meet work needs.

Contributing	Journey	Advanced
<p>Ability to learn federal and state laws, rules, and regulations during case assignments in order to achieve assigned goals within the immediate work unit. Ability to recommend apparent violations to supervisor.</p> <p>Ability to learn investigation and/or examination processes and procedures during case assignments.</p> <p>Ability to learn applicable judicial procedures in order to achieve work unit goals.</p> <p>Knowledge of generally accepted accounting principles and standard financial records and systems in order to conduct analysis.</p> <p>Ability to obtain and maintain General Law Enforcement Certification, if required.</p>	<p>Knowledge of federal and state laws, rules, and regulations. Ability to accurately cite applicable law and violations within the report of investigation in order to achieve program goals.</p> <p>Knowledge of investigative and examination techniques, processes, and procedures used during case assignments.</p> <p>Knowledge of applicable judicial procedures in order to achieve program goals. Ability to consult with legal department as needed.</p> <p>Knowledge of industry and business practices to investigations. Ability to follow the flow of funds through transactions.</p> <p>Ability to obtain and maintain Intermediate Law Enforcement Certification, Special Agent and related law enforcement training/certifications, if required.</p>	<p>Ability to recognize complex legal issues, conferring with supervisor and legal department as needed. Ability to seek resources needed to stay current in area of practice. May require knowledge and ability to serve as subject matter expert.</p> <p>Ability to develop or adapt new processes and procedures based upon changes in laws, regulations, or industry practices.</p> <p>Ability to recommend course of action to legal department based upon applicable judicial procedures.</p> <p>Advanced knowledge of accounting/financial systems and practices in order to trace the flow of funds or other assets through intricate schemes and complicated attempts to disguise transactions.</p> <p>Ability to obtain and maintain Advanced Law Enforcement certification and related more specialized law enforcement training/certifications, if required.</p>

**Communication**

Ability to clearly communicate verbal and written information in order to facilitate investigations. Ability to listen and understand message from others. Ability to provide responses that are consistent with regulations, laws, and investigation procedures. Ability to draft investigative reports. Ability to interact with co-workers, supervisors, subjects, law enforcement personnel, attorneys, court personnel, and others. Ability to develop and maintain professional working relationships. Ability to testify in judicial proceedings.

Contributing	Journey	Advanced
<p>Ability to learn to prepare for and conduct interviews during an investigation in order to achieve work unit goals.</p> <p>Ability to develop writing skills and learn documentation standards and requirements. Ability to prepare and organize written reports under close supervision.</p> <p>Basic knowledge of working relationships with co-workers, supervisors, suspects, witnesses, victims, informants, and the general public.</p> <p>Ability to learn to prepare for testimony in judicial proceedings; Ability to observe judicial proceedings.</p>	<p>Ability to prepare for and conduct interviews and follow-up examinations during investigations in order to achieve program goals.</p> <p>Ability to prepare and organize written reports, including, but not limited to, investigative reports, subpoenas, search or arrest warrants, witness statements/affidavits, deficiency letters, and evidence exhibits. Ability to provide appropriate and clear documentation to support conclusions.</p> <p>Ability to develop contacts with industry representatives, co-workers, probation officers, federal agents, attorneys, court personnel, and others.</p> <p>Ability to prepare for and testify in judicial proceedings such as trials, hearings, and grand juries.</p>	<p>Ability to prepare for and conduct interviews in more complex or unique cases. Ability to present findings in such situations. Ability to seek appropriate guidance when needed.</p> <p>Ability to document more complex or unique issues and effectively articulate written conclusions.</p> <p>Ability to develop and maintain professional working relationships in complex and/or difficult situations.</p> <p>May require the ability to serve as an expert witness in judicial proceedings in order to give an opinion under oath. Ability to assist others with preparing for and testifying in judicial proceedings.</p>

**Definitions:**

Complex or unique: Creative or illegal activities; scams; significant interest to the State; multiple parties, claims and defenses; issues of first impression and jurisdiction.

**Investigation, Analysis, and Decision Making**

Ability to gather, organize, and analyze evidence/data in order to determine if applicable laws and regulations are violated. Ability to develop and execute an investigative plan. Ability to recognize and respond accordingly to unusual activity. Ability to recommend action based upon acquired knowledge and information while maintaining confidentiality. Ability to locate and compare relevant information/evidence from various sources. Ability to conduct investigations and/or complete assignments or projects within prescribed timeframes.

Contributing	Journey	Advanced
<p>Ability to learn established procedures to collect, review, and document information in order to achieve work unit goals; learns to analyze information.</p> <p>Ability to participate in evidence collection, interviews, and related case research.</p> <p>Ability to recognize and identify common infractions/violations that have established precedents and limited impact. Ability to learn to recognize unusual activity for further investigation.</p> <p>Ability to learn to draw conclusions and prepare written findings; presents findings supported by facts.</p> <p>Ability to follow appropriate custody and preservation of evidence procedures. Ability to assist other law enforcement personnel as needed.</p> <p>Ability to review examinee/violator responses and compliance actions. Ability to make recommendations as to the satisfactory compliance or need for further action.</p>	<p>Ability to gather, organize, and analyze financial and related information. Ability to develop and execute an investigative plan (course of action to conduct investigation). Ability to consult with legal department and others.</p> <p>Ability to develop questions and intelligence to obtain evidence. Ability to conduct key interviews with subjects and other witnesses as deemed necessary.</p> <p>Ability to determine if applicable laws and regulations are violated. Ability to make recommendations for enforcement and/or corrective actions. Ability to work in conjunction with attorneys and others to prosecute violators. Ability to monitor compliance with probation and restitution.</p> <p>Ability to develop consistently sound and accurate conclusions. Ability to present findings. Ability to prepare written reports that stand up to judicial scrutiny. Ability to serve as a primary witness in judicial proceedings.</p> <p>Ability to support and interact with other law enforcement agencies in pursuit of criminal activity. May require the ability to deliver subpoenas, execute searches, and conduct arrests. May require the ability to participate in undercover operations.</p> <p>Ability to determine compliance with administrative orders, probation and restitution. Ability to conduct follow-up examinations.</p>	<p>Ability to develop and execute an investigative plan to conduct more complex investigations due to varied violations of applicable laws/ regulations, multiple victims, safety and soundness, and/or significant public impact. May require the ability to lead work teams for large or more complex investigations.</p> <p>Ability to exercise ingenuity and advanced skill in extracting information from witnesses, tracing and reconstructing financial transactions, and obtaining intelligence/evidence related to case.</p> <p>Ability to independently determine findings in unprecedented, complex cases. Ability to serve as a resource for others in resolving non-standard cases. Ability to determine action in unusual and complex situations using specialized expertise.</p> <p>Ability to serve as subject matter expert and expert witness.</p> <p>Ability to conduct complex law enforcement operations (such as searches and arrests) that involve intensive planning, multiple jurisdictions, or multiple suspects/ organizations.</p> <p>Ability to work proactively with probation officers to monitor compliance with court sentences, probation, and restitution.</p>

## **V. MINIMUM TRAINING & EXPERIENCE**

Bachelor's degree, preferably in accounting, finance, business administration, or criminal justice, with 18 credit hours of accounting coursework; or two years of experience auditing or investigating white-collar, financial crimes; or equivalent combination of training and experience. A combination of working knowledge of accounting and financial laws and a background in law enforcement or investigations is preferred. All degrees must be received from appropriately accredited institutions. May require certification as a Law Enforcement Officer or Special Agent in accordance with the provisions of the North Carolina Criminal Justice Training and Standards Commission or the ability to achieve certification within one year of employment.

Note: This is a generalized representation of positions in this class and is not intended to identify essential work functions per ADA. Examples of competencies are primarily those of the majority of positions in this class, but may not be applicable to all positions.