

Financial Investigations Manager

DESCRIPTION OF WORK: Positions in this banded class perform supervisory/managerial, professional financial/analytical, and law enforcement work in the oversight of a unit charged with 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). Unit activities include the investigation and detection of financial schemes/violations, field investigation of suspects, search, seizure, and custody/control of evidence, arrest, pretrial case preparation, prosecution of criminal and civil cases in both federal and state courts, post-trial sanctioning, and administration or follow-up on fines, penalties, and restitution. Positions in this class direct and conduct a wide variety of case investigations involving complex financial analysis. Work requires knowledge of applicable state and federal laws and regulations. Positions make investigative assignments; review written investigation reports; analyze facts and documents; oversee and conduct interviews of witnesses; and testify in judicial proceedings. Positions direct and participate in the collection and storage of evidence, arrests, execution of search warrants, undercover investigation, and other law enforcement operations pursuant to cases. Positions maintain confidentiality and discretion in the course of conducting business; work individually and/or with others; and adapt to change and circumstances. Positions may require certification as sworn law enforcement agents.

EXAMPLES OF COMPETENCIES:

CONTRIBUTING

Knowledge-Professional: Knowledge of federal and state laws, rules, and regulations applicable to area of work. Ability to review and analyze case compliant to determine merit. Knowledge of investigative and examination techniques, processes, and procedures sufficient to conduct casework and train others. Considerable knowledge of applicable judicial procedures in order to achieve program goals, consulting with legal department as needed.

Program Administration: Ability to manage resources (budgetary/ fiscal, personnel, time, technology, and equipment) and personnel in order to complete investigative workload. Ability to plan and assign work tasks. Ability to monitor work progress. Ability to make case assignments based on knowledge of staff availability, skills, and resources. Ability to plan and accomplish work unit goals utilizing experience and judgment. Ability to measure accomplishments against objectives. Ability to provide technical case management and active oversight to unit.

Human Resource Management: Ability to manage and direct the work of a unit of financial investigators. Ability to participate in recruitment and selection process for vacancies. Ability to establish employee work expectations and review performance based on the work plan. Knowledge of and ability to apply performance management policies and procedures. Ability to develop plans for employees to gain necessary knowledge, skills, and abilities to successfully perform their duties.

Investigation, Analysis, and Decision Making: Gathers, organizes, and analyzes financial and related information; develops and executes an investigative plan (course of action to conduct investigation); consults with legal department and others; and assists subordinate investigators with investigation and analyses. Ensures the accuracy and validity of analyses completed in the unit. Oversees and conducts evidence collection, interviews, and related case research. Determines if applicable laws and regulations are violated; determines cases that warrant further pursuit or prosecution; directs enforcement and/or corrective actions in conjunction with attorneys and others to prosecute violators. Serves as a resource for others in resolving non-standard cases.

Communication: Ability to prepare for and conduct interviews and follow-up examinations during investigations. Ability to prepare and organize written reports, including, but not limited to, investigative reports, subpoenas, search or arrest warrants, witness statements/affidavits, and evidence exhibits. Ability to provide appropriate and clear documentation to support conclusions. Ability to train and guide staff in providing appropriate documentation to support conclusions.

Change Management: Basic knowledge of change management strategies and principles. Ability to communicate and implement new policies and procedures.

JOURNEY

Knowledge-Professional: Knowledge of federal and state laws, rules, and regulations applicable to a broad area of financial/business crime. Ability to recognize complex legal issues, conferring with legal department as needed. Ability to seek resources needed to keep self and unit current in area of practice. Ability to serve as

Investigation, Analysis, and Decision Making: Ability to direct, develop, and execute investigative plans to conduct investigations that are characterized by varied violations of applicable laws/ regulations, multiple victims, safety and soundness, and/or significant public impact. Ability to exercise ingenuity

subject matter expert for subordinates and others. Advanced knowledge of investigative and examination techniques, processes, and procedures to conduct casework and provide expertise on subordinates' cases.

Planning and Organizing/Program Administration:

Ability to manage resources (budgetary/ fiscal, personnel, time, technology, and equipment) and personnel in a unit characterized by a larger and more varied caseload. Ability to assign and reassign investigative cases effectively to meet the operational goals and objectives while providing for employee training and growth.

Human Resource Management: Ability to review case workloads to ensure staff allocation levels are appropriate. Ability to make final recruitment and selection decisions, adhering to State and departmental recruitment and selection procedures.

Ability to stay abreast of any performance issues and use proactive intervention methods/techniques to coach staff. Ability to facilitate career development of staff.

ADVANCED

Knowledge-Professional: Knowledge of federal and state laws, rules, and regulations covering many types of financial/business crimes. Ability to develop or adapt new processes and procedures for the unit based upon changes in laws, regulations, or industry practices. Ability to work closely with prosecutors, recommending course of action to legal department based on specialized expertise. Advanced knowledge of accounting/financial systems and practices in order to review and provide counsel on only the most involved financial reconstructions/analyses.

Planning and Organizing/Program Administration:

Ability to oversee and manage resources (budgetary/ fiscal, personnel, time, technology, and equipment) and personnel among multiple investigative units, across multiple/varied programs, and/or in a single unit with the largest and most complex/varied investigative caseload. May require the ability to coordinate through subordinates. Ability to direct higher-level planning, organizing, and staffing.

Human Resource Management: Ability to participate in the strategic planning process with regard to workforce development issues and trends. Ability to identify knowledge and skills needed of the work unit(s) and actively promote the retention of skills or future recruitment needs of the unit or section.

MINIMUM TRAINING AND EXPERIENCE:

Bachelor's degree preferably in accounting, finance, business administration, or criminal justice with 18 credit hours of accounting coursework, and three years of progressive experience, of which one is supervisory; or five years of professional experience in auditing, accounting, investigation, or law enforcement, of which one is in the investigation of white-collar, financial crimes; or equivalent combination of training and experience. Some positions 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. All degrees must be received from appropriately accredited institutions.

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

and advanced skills in extracting information from witnesses, tracing and reconstructing financial transactions, and obtaining intelligence/evidence related to case. Ability to use specialized expertise to determine action in unusual and complex situations.

Communication: Ability to prepare for and conduct interviews in more complex or unique cases. Ability to present findings in such situations. Ability to document and report more complex or unique issues and effectively articulates written conclusions. Ability to review, critique, and approve written reports. Ability to develop contacts and relationships with varied "players" in order to achieve unit/program goals. Ability to coordinate and facilitate case-related conferences with prosecuting attorneys and others.

Change Management: Ability to lead a transition from old to new programs at the unit level. Ability to participate in the development and implement administrative rules and policies.

Investigation, Analysis, and Decision Making:

Ability to revise or adapt established procedures for the organization and analysis of financial data. Ability to identify the need for and secure resources (technology, staffing, new administrative policies, statutory relief) necessary to complete investigations in a changing environment. Ability to revise or adapt established procedures for the collection or reconstruction of evidence/intelligence. Ability to seek new methods.

Communication: Ability to serve as an expert in interview/interrogation techniques, providing counsel to investigators or subordinate supervisors in dealing only with the most hostile or evasive subjects. May require the ability to establish or adapt documentation standards and requirements. Ability to develop and maintain professional working relationships in complex and/or difficult situations in order to achieve organizational goals. Ability to testify in judicial proceedings for the most sensitive or controversial cases.

Change Management: Ability to lead the development and implementation of vision and mission statements. Ability to lead and direct the development and implementation of goals and objectives.