

I. 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.

II. ROLE DESCRIPTIONS BY COMPETENCY LEVEL

Contributing	Journey	Advanced
<p>Positions at this level perform professional-level investigative and supervisory work. They serve as working supervisors where a component of the job is to function as lead investigator. Generally, managers at the contributing level oversee units where the jurisdiction, focus, or scope of investigations is more narrowly defined.</p>	<p>Positions at this level perform expert-level investigative work and professional-level supervisory/managerial work. Work requires full knowledge of laws, rules, regulations, and procedures applicable to area of work. Positions demonstrate sound judgment in making decisions and recommendations.</p>	<p>Positions at this level perform expert-level investigative work and professional-level managerial work. Positions are assigned to oversee a division of investigative units or a single investigative unit that is complex and broader in jurisdiction. Positions at this level are primarily involved in the direction and oversight of investigative work, rather than the performance of investigative work. Typically, positions at the advanced level spend very minimal time conducting investigations, only being assigned to the most complex, controversial, or sensitive cases.</p>

III. COMPETENCIES

Competency	Definition
Knowledge - Professional	Professional knowledge and ability to direct and 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. Knowledge of supervisory policies and practices. Knowledge of law enforcement practices and procedures.
Planning and Organizing / Program Administration	Ability to develop plans to accomplish work operations and objectives. Ability to arrange and assign work to use resources efficiently. Ability to establish acceptable levels of quality and quantity of work. Ability to direct, monitor, and review work. Ability to establish expectations and clear direction to meet goals and objectives. At the advanced level, ability to engage in strategic planning to develop plans, organizational structures, and systems to fulfill legislative or mission driven organizational goals.
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 take 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 special projects within prescribed timeframes.
Human Resource Management	Ability to recruit, select, develop, counsel, discipline, and evaluate performance of employees. Ability to retain a diverse workforce. Ability to administer and ensure compliance with human resources policies and procedures. Ability to provide appropriate training to ensure employees engage the necessary knowledge, skills, and abilities to successfully perform their duties. Ability to provide career development opportunities.
Communication	Ability to clearly communicate verbal and written information in order to effectively manage the investigative unit(s) and facilitate investigations. Ability to listen and understand messages from others. Ability to provide responses that are consistent with regulations, laws, and investigation procedures. Ability to draft investigative reports. Ability to interact with subordinates, 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.

III. COMPETENCIES, cont.

Competency	Definition
Change Management	Ability to plan and implement change initiatives. Ability to support innovation and creativity by encouraging staff to accept and resolve challenges. Ability to remain flexible to meet constantly changing and sometimes opposing demands.

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; designated personnel within agencies, boards, and commissions.

Subjects -- Includes health care providers, investment advisors and broker/dealers, 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.

IV. COMPETENCY STATEMENTS BY LEVEL

Knowledge – Professional

Professional knowledge and ability to direct and 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. Knowledge of supervisory policies and practices. Knowledge of law enforcement practices and procedures.

Contributing	Journey	Advanced
<p>Knowledge of federal and state laws, rules, and regulations applicable to area of work. Ability to review and analyze case compliant to determine merit.</p> <p>Knowledge of investigative and examination techniques, processes, and procedures sufficient to conduct casework and train others.</p> <p>Considerable knowledge of applicable judicial procedures in order to achieve program goals, consulting with legal department as needed.</p> <p>Considerable knowledge of generally accepted accounting principles, industry/business practices, and standard financial records and systems in order to conduct analysis and review others' analyses.</p> <p>Basic knowledge of supervisory practices including how to delegate and assign duties, how to deal effectively with difficult employees, and how to evaluate performance and to participate in disciplinary actions. Basic knowledge of state government's HR policies and procedures.</p>	<p>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 subject matter expert for subordinates and others.</p> <p>Advanced knowledge of investigative and examination techniques, processes, and procedures to conduct casework and provide expertise on subordinates' cases.</p> <p>Advanced knowledge of applicable judicial procedures in order to achieve program goals. May consult with legal department as needed.</p> <p>Advanced knowledge of accounting/financial systems and practices in the review/conduct of analyses. Keen ability to trace the flow of funds or other assets through intricate schemes and complicated attempts to disguise transactions.</p> <p>Considerable knowledge of supervisory practices including how to delegate and assign work, how to deal effectively with difficult employees, how to evaluate performance and participate in disciplinary actions. Working knowledge of state government's HR policies and procedures.</p>	<p>Knowledge of federal and state laws, rules, and regulations covering many types of financial/business crimes.</p> <p>Ability to develop or adapt new processes and procedures for the unit based upon changes in laws, regulations, or industry practices.</p> <p>Ability to work closely with prosecutors, recommending course of action to legal department based on specialized expertise.</p> <p>Advanced knowledge of accounting/financial systems and practices in order to review and provide counsel on only the most involved financial reconstructions/analyses.</p> <p>Full knowledge of supervisory practices including how to delegate and assign work, how to deal effectively with difficult employees, how to evaluate performance and participate in disciplinary actions. Ability to mentor new supervisors. Considerable knowledge of state government's HR policies and procedures.</p>

Professional Knowledge, cont.

Contributing	Journey	Advanced
Ability to obtain and maintain General Law Enforcement Certification <i>(if required)</i> .	Ability to obtain and maintain Intermediate Law Enforcement Certification, Special Agent and related law enforcement training/certifications <i>(if required)</i> .	Ability to obtain and maintain Advanced Law Enforcement certification and related, more specialized law enforcement training/certifications <i>(if required)</i> .

Planning and Organizing / Program Administration

Ability to develop plans to accomplish work operations and objectives. Ability to arrange and assign work to use resources efficiently. Ability to establish acceptable levels of quality and quantity of work. Ability to direct, monitor, and review work. Ability to establish expectations and clear direction to meet goals and objectives. At the advanced level, ability to engage in strategic planning to develop plans, organizational structures, and systems to fulfill legislative or mission driven organizational goals.

Contributing	Journey	Advanced
<p>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.</p> <p>Ability to plan and accomplish work unit goals utilizing experience and judgment. Ability to measure accomplishments against objectives.</p> <p>Ability to provide technical case management and active oversight to unit. Ability to assign investigative priorities, monitor investigative progress, and provide support and counsel to employees.</p> <p>Ability to identify and address quality of work and performance improvement issues.</p>	<p>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.</p> <p>Ability to plan and implement the delivery and improvement of services, staffing, and resources of the work unit. Ability to set and change deadlines and schedules. Ability to participate in long-range planning.</p> <p>Ability to provide technical case management and active oversight for an investigative unit with varied and unique case assignments. Ability to resolve unexpected problems associated with investigations.</p> <p>Ability to identify and address quality and performance issues affecting the unit as a whole.</p>	<p>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.</p> <p>Ability to direct higher-level planning, organizing, and staffing. Ability to establish goals and objectives of the overall investigative program. Ability to initiate special projects. Ability to contribute to organizational strategic planning. Ability to define strategies that contribute to the organizational mission.</p> <p>Ability to provide technical case management on only the most complex or controversial cases. Ability to provide strategic direction to program-wide case management.</p> <p>Ability to anticipate and plan for quality control and future skill needs based on trends in the operational environment.</p>

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 take 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 special projects within prescribed timeframes.

Contributing	Journey	Advanced
<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. Ability to assist subordinate investigators with investigation and analyses. Ability to ensure the accuracy and validity of analyses completed in the unit.</p> <p>Ability to oversee and conduct evidence collection, interviews, and related case research.</p> <p>Ability to determine if applicable laws and regulations are violated. Ability to determine cases that warrant further pursuit or prosecution. Ability to direct enforcement and/or corrective actions in conjunction with attorneys and others to prosecute violators. Ability to serve as a resource for others in resolving non-standard cases.</p> <p>Ability to review and approve findings. Ability to draw consistently sound and accurate conclusions. Ability to ensure written reports from the unit stand up to judicial scrutiny. Ability to serve as a primary witness in judicial proceedings.</p>	<p>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.</p> <p>Ability to exercise ingenuity and advanced skills in extracting information from witnesses, tracing and reconstructing financial transactions, and obtaining intelligence/evidence related to case.</p> <p>Ability to use specialized expertise to determine action in unusual and complex situations. Ability to identify emerging trends in violations/schemes and recommend new/revised policies to counter the trend.</p> <p>Ability to serve as subject matter expert and expert witness. Ability to review and approve investigative findings/conclusions that are highly technical, containing extensive and complicated financial analysis. Ability to make recommendations regarding prosecution potential of cases.</p>	<p>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.</p> <p>Ability to revise or adapt established procedures for the collection or reconstruction of evidence/intelligence. Ability to seek new methods. Ability to direct or conduct evidence collection/intelligence in unprecedented situations.</p> <p>Ability to implement policies/procedures related to new/revised legislation. Ability to determine violations in emerging areas (new legislation, new jurisdiction, etc).</p> <p>Ability to identify trends in cases and judicial outcomes. Ability to lead new investigative initiatives and realign resources accordingly.</p>

Investigation, Analysis, and Decision Making, cont.

Contributing	Journey	Advanced
<p>Ability to ensure appropriate custody and preservation of evidence procedures are followed. Ability to oversee or participate in the delivery of subpoenas, execution of searches and arrests, and undercover operations. Ability to interact with other law enforcement agencies in pursuit of criminal activity.</p>	<p>Ability to lead complex law enforcement operations (such as searches and arrests) that involve intensive planning, multiple jurisdictions, or multiple suspects/organizations.</p>	<p>Ability to direct and assume ultimate accountability for law enforcement operations of the program. Ability to make final decisions regarding operational actions.</p>

Human Resource Management

Ability to recruit, select, develop, counsel, discipline, and evaluate performance of employees. Ability to retain a diverse workforce. Ability to administer and ensure compliance with human resources policies and procedures. Ability to provide appropriate training to ensure employees engage the necessary knowledge, skills, and abilities to successfully perform their duties. Ability to provide career development opportunities.

Contributing	Journey	Advanced
<p>Ability to manage and direct the work of a unit of financial investigators.</p> <p>Ability to participate in recruitment and selection process for vacancies.</p> <p>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.</p>	<p>Ability to review case workloads to ensure staff allocation levels are appropriate.</p> <p>Ability to make final recruitment and selection decisions, adhering to State and departmental recruitment and selection procedures.</p> <p>Ability to stay abreast of any performance issues and use proactive intervention methods/techniques to coach staff. Ability to facilitate career development of staff.</p>	<p>Ability to participate in the strategic planning process with regard to workforce development issues and trends.</p> <p>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.</p> <p>Ability to mentor, coach and manage the total competencies of staff in multiple organizational units. Skill in seeking sources and opportunities for employee training and growth.</p>

Communication

Ability to clearly communicate verbal and written information in order to effectively manage the investigative unit(s) and facilitate investigations. Ability to listen and understand messages from others. Ability to provide responses that are consistent with regulations, laws, and investigation procedures. Ability to draft investigative reports. Ability to interact with subordinates, 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 prepare for and conduct interviews and follow-up examinations during investigations.</p> <p>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.</p> <p>Ability to develop and maintain professional working relationships with subordinates, co-workers, supervisors, suspects, witnesses, victims, informants, and the general public. 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. May require 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>	<p>Ability to prepare for and conduct interviews in more complex or unique cases. Ability to present findings in such situations.</p> <p>Ability to document and report more complex or unique issues and effectively articulates written conclusions. Ability to review, critique, and approve written reports.</p> <p>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.</p> <p>Ability to serve as an expert witness in judicial proceedings in order to give an opinion under oath in a variety of types of cases. Ability to interpret and explain complex financial analyses for judicial proceedings.</p>	<p>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.</p> <p>May require the ability to establish or adapt documentation standards and requirements.</p> <p>Ability to develop and maintain professional working relationships in complex and/or difficult situations in order to achieve organizational goals.</p> <p>Ability to testify in judicial proceedings for the most sensitive or controversial cases.</p>

Communication, cont.

Contributing	Journey	Advanced
Ability to communicate with investigative unit on operations. Ability to update existing communications. Ability to disseminate information on changes in policies, procedures, protocols. Ability to make presentations in the professional/public arena regarding the work of the unit.	Ability to communicate moderately complex investigative/programmatic information outside of the work unit, such as on joint federal-state task forces.	Ability to communicate major and/or complex situations and actions, internal and external to the organization.

Definitions:

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

Change Management

Ability to plan and implement change initiatives. Ability to support innovation and creativity by encouraging staff to accept and resolve challenges. Ability to remain flexible to meet constantly changing and sometimes opposing demands.

Contributing	Journey	Advanced
Basic knowledge of change management strategies and principles. Ability to communicate and implement new policies and procedures.	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.	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.

V. MINIMUM TRAINING & 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.

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.