

Classification Title:	Branch/Division/Bureau:
Associate Management Auditor	Enforcement Branch Headquarters
Working Title:	Office/Unit/Section/Geographic Location:
Auditor - Forensic Services	EBHQ Investigative Support and Grants/EBHQ Audit Programs/Forensic Services Unit/Various
Position Number (13 Digit):	Conflict of Interest Position:
413-886-4159-002	☐ NO ☒ YES
Employee Name:	Effective Date:

BASIC FUNCTION:

Under the direct supervision of the Staff Management Auditor, Forensic Services Unit, or designee, the incumbent is an individual expert contributor as a member of Enforcement Branch interdisciplinary teams working on criminal and administrative insurance fraud Investigations. These interdisciplinary teams may consist of Forensic Services Unit SMAs, Associate Management Auditors (AMA) and Staff Services Management Auditors (SSMA), investigative staff and other law enforcement personnel by independently performing difficult and complex forensic audits of financial accounts and records of employers or department licensees under criminal and/or administrative investigations. Moderate travel (up to 25%) via private or public transportation (i.e., automobile, airplane, etc.) including overnight stay may be required.

This position is designated under the Conflict of Interest Code. The position is responsible for making or participating in governmental decisions that may potentially have a material effect on personal financial interests. The appointee is required to complete a Statement of Economic Interest (Form 700), which includes an Assuming Office filing within 30 days of appointment, annual filings, and a Leaving Office filing within 30 days of physical separation. Non-compliance with the Conflict of Interest Code requirements may result in the voiding of appointment, financial penalties, or enforcement actions.

ESSENTIAL FUNCTIONS

35% As part of an interdisciplinary team, independently conducts the most difficult, specialized, and complex forensic audits of single or multiple entities for Employer Misrepresentation Workers' Compensation Insurance Fraud (i.e. Premium Fraud). In addition to the Workers' Compensation Insurance Fraud, the AMA may be involved in audits concerning automobile insurance fraud, health and disability fraud, and property and casualty fraud, and audits of department licensees who are under investigation. These audits require the incumbent to perform the following duties:

Identifies, evaluates, and analyzes financial, business, and insurance records of single or multiple entities. Applies appropriate laws, rules, regulations, investigative techniques, and procedures to interpret data and draw sound conclusions when identifying fraud, such as underreporting of wages or misclassification. Reconstructs financial records to determine suspected fraudulent activity. Testifies in hearings and

ESSENTIAL FUNCTIONS DUTY STATEMENTHRM-025

court trials as an expert witness in a criminal and administrative hearings. Provides authoritative expertise with regard to accounting and financial practices within the insurance industry.

- 25%** Utilizing Microsoft applications (i.e. Word, Excel, Power Point, Access), the incumbent: prepares detailed audit reports of employer records, develops detailed written reports, memorandums, spreadsheets, graphs, charts, and briefing documents in support of audit findings, develops and organizes complete and accurate audit work papers documenting findings to be included in the Report of Investigation, gathers information and drafts official documents to be filed with governmental agencies, and prepares spreadsheets, charts, and documents for court proceedings.
- 20%** The incumbent: prepares payroll comparison reports or other financial analytical work used to establish probable cause for a search warrant(s), responds to the scene of a search warrant and identifies critical documents as evidentiary material, and assists, as needed, in conducting interviews of: witnesses, suspects, law enforcement informants, citizen witnesses, financial institution employees, insurance company employees, victims of department licensee misconduct or criminal acts, and others that provide financial documentation to the investigation.
- 15%** To assist other law enforcement and prosecuting personnel, the incumbent: provides financial expertise to departmental and local law enforcement agencies, and advises prosecuting attorneys and investigators of technical matters.

MARGINAL FUNCTIONS

- 5%** Incumbent performs administrative tasks/functions including, but not limited to: prepares internal reports and correspondence, participates and facilitates discussion during staff meetings as needed, and attends ongoing continued professional education training.

WORK ENVIRONMENT OR PHYSICAL ABILITIES

- Must be able to work in a law enforcement environment that includes the presence of firearms
- Must be able to work in a high-rise building
- Frequent sitting is required
- Eligible for telework in accordance with CDIs Telework policy. Teleworking employees may be required to report to their headquarters office location on designated telework days. Travel expenses are not reimbursed, however other authorized transit subsidies do exist for those who qualify.

I have read and understand the duties listed above and I can perform these duties with or without reasonable accommodation. (If you believe reasonable accommodation is necessary, discuss your concerns with the hiring supervisor. If unsure of a need for reasonable accommodation, inform the hiring supervisor, who will discuss your concerns with the Health & Safety Analyst.)

Employee Signature

Date

ESSENTIAL FUNCTIONS DUTY STATEMENT

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Printed Name

I have discussed the duties of this position with and have provided a copy of this duty statement to the employee named above.

Supervisor Signature

Date

Printed Name

ESSENTIAL FUNCTIONS DUTY STATEMENT

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Classification Title:	Branch/Division/Bureau:
Staff Services Management Auditor	Enforcement Branch Headquarters
Working Title:	Office/Unit/Section/Geographic Location:
Auditor - Forensic Services	EBHQ Investigative Support and Grants/EBHQ Audit Programs/Forensic Services Unit/Various
Position Number (13 Digit):	Conflict of Interest Position:
413-xxx-5841-xxx	☐ NO ☒ YES
Employee Name:	Effective Date:

BASIC FUNCTION:

Under the direction of the Staff Management Auditor (SMA), Forensic Services Unit, the incumbent receives on the job training in planning, conducting, and reporting forensic audit results as a member of Enforcement Branch interdisciplinary teams working on criminal and administrative insurance fraud investigations. These interdisciplinary teams may consist of Forensic Services Unit SMAs, Associate Management Auditors (AMA), Staff Services Management Auditors (SSMA), investigative staff and other law enforcement personnel. This position requires the ability to work independently with close supervision and receive on-the-job training related to performing forensic audits of financial accounts and records of employers or department licensees who are under criminal and/or administrative investigations. Moderate travel (up to 25%) via private or public transportation (i.e., automobile, airplane, etc.) including overnight stay may be required.

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ESSENTIAL FUNCTIONS

40% Under the audit team lead, work as part of an interdisciplinary team, conducting assigned portions of forensic audits of single or multiple entities suspected of committing Workers' Compensation Premium Insurance Fraud. In addition to Workers' Compensation Insurance Fraud, the SSMA may be involved in audits concerning automobile insurance fraud, health and disability fraud, property and casualty fraud, and audits of department licensees who are under investigation.

These audits require the incumbent to perform the following duties under the close supervision or direction of a SMA: identifies, evaluates, and analyzes financial, business, and insurance records of single or multiple entities; applies appropriate laws, rules, regulations, investigative techniques, and procedures to interpret data and draw

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sound conclusions when identifying fraud, such as underreporting of wages or misclassification; and reconstructs financial records to determine suspected fraudulent activity.

- 35%** Under the close supervision or direction of a SMA, utilizing Microsoft applications (i.e. Word, Excel, Power Point, Access), the incumbent: prepares audit reports, memorandums, spreadsheets, graphs, charts, and briefing documents in support of audit findings, develops and organizes complete and accurate audit work papers documenting report findings, assts with gathering information.
- 20%** Under the close supervision or direction of a SMA, the incumbent: prepares payroll comparison reports and other financial analytical reports used to establish probable cause for a search warrant, participates in search warrants to receive training on identifying critical documents that may be used as evidentiary material, and attends interviews to receive training on conducting interviews of witnesses, suspects, law enforcement informants, citizen witnesses, financial institution employees, insurance company employees, victims of department licensee misconduct or criminal acts, and others that provide financial documentation to the investigation.

MARGINAL FUNCTIONS

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Employee Signature

Date

Printed Name

ESSENTIAL FUNCTIONS DUTY STATEMENT

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I have discussed the duties of this position with and have provided a copy of this duty statement to the employee named above.

Supervisor Signature

Date

Printed Name