

LAWFUL GAMBLING COMPLIANCE REGULATOR 1
KIND OF WORK

Entry-level professional compliance appraisal, evaluation, and technical assistance for gambling licensees.

NATURE AND PURPOSE

Under immediate supervision, conducts reviews of licensed gambling operations in charitable, fraternal, religious, and service organizations, and provides technical assistance through interpretation of law, rule, and policy for gaming operators in order to regulate lawful gambling to prevent commercialization, ensure integrity of gambling operations, and provide for the use of net profits only for lawful purposes (performs related work as required).

This position differs from the Lawful Gambling Compliance Regulator 2 in that it has limited independence and has limited participation in public speaking or continuing education presentations, or developing manuals, and/or providing assistance to less experienced employees.

EXAMPLES OF WORK

(A position may not include all the work examples given, nor does the list include all that may be assigned.)

Performs preliminary review of organization and staff license or permit application and supporting documents, license and tax files, gambling documents, and other materials on file in order to prepare for on-site compliance appraisal and determine whether expenditures reported by the licensed organizations are allowable for lawful purposes.

Analyzes and evaluates organization record keeping and internal control systems, organizational chart, policies, procedures, administrative controls, and financial records in order to determine compliance with statutes, rules, and Lawful Gambling Board policies.

Prepares compliance reports, including findings, facts, and recommendations for sanctions, citations, and changes in organizations' gambling operations for review by a Lawful Gambling Compliance Regulator 3 in order to ensure compliance with law, rules, and policies.

Prepares any necessary evidentiary documentation, as required, to support Lawful Gambling Control Board involvement in civil, criminal, or administrative hearing proceedings to ensure that the state's cases can be successfully prosecuted.

Assesses requests for information and provides accurate verbal and written technical assistance so that clients are informed regarding statutes, rules, and policy.

Assists in public speaking and education presentations and independently makes short presentations to small audiences.

KNOWLEDGE, SKILLS AND ABILITIES REQUIRED

Knowledge of:

Lawful Gambling laws, rules, policies, and procedures sufficient to provide clear and consistent information to clientele.

Lawful Gambling industry sufficient to recognize improper and potentially illegal activities on the part of gambling managers and organizations.

Accounting systems sufficient to determine organization internal controls and compliance with lawful purpose expenditure plan and tax regulations.

Skills in:

Analytical thinking sufficient to determine whether gambling operations are in compliance with state laws.

Ability to:

Establish and maintain effective relationships with the public, clientele, and staff.

Communicate effectively, verbally and in writing sufficient to provide accurate individual technical assistance to gambling licensees.

Prepare reports and correspondence on a computer.

Est.:

7/90 T.C.: 7/96

Rev.:

6/13 Former Title(s): Lawful Gambling Specialist