

## LAWFUL GAMBLING COMPLIANCE REGULATOR 2

### KIND OF WORK

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

### NATURE AND PURPOSE

Under general supervision, independently conducts on- and off-site reviews of licensed gambling operations in charitable, fraternal, religious, and service organizations, and provides technical assistance through interpretation of law, rule, and policy and through public speaking engagements and participation in seminars and training 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 class is distinguished from the Lawful Gambling Compliance Regulator 1 in its increased independence, greater participation in public speaking and continuing education seminars, assists in development of manuals, and provision of assistance to less experienced employees. It is distinguished from the Lawful Gambling Compliance Regulator 3 in that it does not have a major responsibility for assisting the supervisor to provide project coordination, oversight of a specialty area, mentoring of other employees, or development of training materials, manuals, and review standards.

### EXAMPLES OF WORK

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

Independently conducts complex on and off-site compliance appraisals and evaluations of gambling licensees and their premises to determine compliance with lawful gambling statutes and rules. . This is done by examining and evaluating license and permit applications and other materials; analyzing the organization's entire gambling operation; reviewing financial records and inventory data; auditing game records; inspecting premises, and reviewing the conduct of games. Partners with and relies on advice from Lawful Gambling Compliance Regulator 3's for highly complex situations.

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. Partners with and relies on advice from Lawful Gambling Compliance Regulator 3s for highly complex situations.

Prepares and issues compliance reports, including findings, facts, and required corrective actions. Refers violations for possible sanctions to ensure compliance with law, rules, and policies.

Assists supervisory staff in the preparation and drafting of any necessary evidentiary documentation for Compliance Officer review, 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 and consults with LGCR 3 staff to respond to complex requests. This is done by consulting with clientele on issues; assessing and researching complex requests; advising clientele regarding compliance with statutes and rules and writing/responding to written requests for information from clients.

Researches and seeks confirmation from LGCR 3 staff on Minnesota Statutes, Lawful Gambling rules, court decisions, past policies and procedures, Attorney General's opinions, correspondence and other working documents pertaining to lawful gambling in order to make recommendations for inclusion into manuals and presentations to educate and train license holders and the public.

Educates the industry regarding lawful gambling statutes and rules so that they are better able to meet their legal obligations. This is done by assisting the supervisor in determining training needs; developing curriculum, documents, supporting data, technical and video materials; assisting with the development of evaluation forms; making presentations to groups; developing examinations; writing correspondence manuals; mentoring newly licensed organizations.

Verifies the validity and accuracy of special requests so the Compliance Officer can review and recommend appropriate action to the Board.. Communicates with the organization and other professionals; conducts on-site inspections, and documents findings to ensure Board action was appropriate or refers back to the Compliance Officer for action. , .

### KNOWLEDGE, SKILLS AND ABILITIES REQUIRED

Knowledge of:

Lawful Gambling laws, rules, policies, and procedures sufficient to provide clear and consistent information to clientele and consistent, unbiased judgment in determining compliance.

Lawful Gambling industry sufficient to recognize improper and potentially illegal activities on the part of gambling managers and organizations and work with LGCR3 to resolve.

Accounting systems sufficient to analyze and evaluate a variety of financial records, accounting systems and audits to determine organization internal controls and compliance with lawful purpose expenditure plan and tax regulations.

Computer hardware and word processing, spreadsheet, database, and presentation software sufficient to access and produce information needed to perform job duties.

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. Prepare reports and correspondence on a computer.

Communicate effectively, verbally and in writing sufficient to develop and present training materials, speak to moderate-sized audiences, and provide accurate information in manuals and reports.

Operate audio-visual equipment sufficient to utilize them correctly and effectively in presentations.

Est.: 7/96  
Rev.: 3/97, 6/13

T.C.:  
Former Title(s):