

### LAWFUL GAMBLING COMPLIANCE REGULATOR 3

#### KIND OF WORK

Advanced professional compliance appraisal, evaluation, and technical assistance for gambling licensees.

#### NATURE AND PURPOSE

Under limited supervision, conducts and coordinates highly complex 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 provides for the use of net profits only for lawful purposes (performs related work as required). It regularly provides mentoring, training and assistance to less experienced employees, assists the supervisor in the development of standards, tools, and manuals.

This class differs from the Lawful Gambling Compliance Regulator 2 in that it has additional on-going responsibilities for assisting the supervisor in providing direction in implementing, maintaining, and monitoring procedures, programs, and directives. It independently conducts and coordinates all varieties of complex on- and off-site compliance appraisals and evaluations, with the ability to deal appropriately with unique and precedent-setting situations.

#### EXAMPLES OF WORK

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

Assists the supervisor with the provision of direction in implementing, maintaining, and monitoring procedures, programs and directives of the Executive Director. This is done by coordinating and training staff; reviewing compliance reports and correspondence prepared by others and recommending changes and corrections; developing standards for compliance review criteria; developing tools used to determine compliance; coordinating and assisting other compliance staff to conduct complex reviews; maintaining compliance, information technology or licensing programs in the supervisor's absence.

Assists the supervisor in managing and coordinating the administration of agency's information systems. Manages agency's regulatory/licensing database including special report writing, data integrity, and assists staff in troubleshooting database issues. Troubleshoots, repairs and provides training to agency staff on software and hardware issues.

Monitors, analyzes, and compiles electronic data from electronic game manufacturers, linked bingo providers, and licensed organizations. Identifies noncompliant reports and activities and initiates corrective actions.

Consults and advises director, compliance officer, compliance supervisor, and other agency staff on operation and reporting of electronic games. Develops and maintains tracking system of electronic game results. Responds to media requests for electronic game information.

Coordinates and conducts highly 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 the games. Educates the industry through public speaking or written correspondence 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; coordinating staff assignments for conducting gambling managers' seminars and testing occasions, continuing education classes, public speaking engagements, and making presentations to groups; developing examinations; writing correspondence manuals; mentoring newly licensed organizations.

Responds, or advises peers and subordinate staff in responding, to unusual requests for information or technical assistance and the more complex/sensitive situations (rulemaking, citations, raffles, use of funds by charities) so that information is provided accurately, tactfully, and consistently.

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

Prepares and issues compliance reports, including findings, facts, and recommendations for sanctions, citations, and issues corrective action requirements in organizations' gambling operations, ensuring consistency in applying laws, 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. This is done by consulting with clientele on issues; assessing and researching complex requests; advising clientele regarding compliance with statutes and rules; writing correspondence that could be precedent setting.

Researches 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 incorporate this information into manuals and presentations to educate and train license holders and the public.

Verifies the validity and accuracy of requests requiring Board approval to make appropriate recommendations and provide insight on the organization to the Compliance Officer. This is done by evaluating the request, communicating with the organization and other professionals; conducting on-site inspections, resolving conflicting information, documenting findings, and making recommendation to the Compliance Officer Development training curricula, content and teaching continuing education classes and multiple portions of the two-day Gambling Managers seminar and/or coordinate/schedule staff public speaking and teaching assignments.

## KNOWLEDGE, SKILLS AND ABILITIES REQUIRED

### Knowledge of:

Laws, rules, policies, or procedures sufficient to clearly provide consistent expert-level information and technical assistance to clientele and other staff.

Lawful Gambling Indus try sufficient to recognize, identify and attempt to resolve improper and potentially illegal activities on the part of gambling managers and organizations and be able to take proper action.

Accounting systems sufficient to analyze and evaluate large or complex organization having 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:

Recognize and address staff training needs sufficient to provide assistance and direction to less experienced staff.

Provide direction and review work of subordinate staff sufficient to coordinate the work of an office or a project.

Establish and maintain effective relationships with the public, clientele, and staff. Communicate effectively verbally and in writing sufficient to develop and present training materials, speak to large groups for an extended period, and provide accurate information in manuals and reports.

Interpret statute and rules and make decisions based on complex reviews.

Prepare final reports on complex reviews and correspondence on a computer.

Provide or propose legislation and comments on proposed statues and rules.

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):