

STATE OF OHIO (DAS)
CLASSIFICATION
SPECIFICATION

<u>CLASSIFICATION SERIES</u> Charitable Law Compliance Inspector Series	<u>SERIES NUMBER</u> 6326AG
<u>MAJOR AGENCIES</u> Attorney General Only	<u>EFFECTIVE</u> 6/29/2014

SERIES PURPOSE

The purpose of the Charitable Law Compliance Inspector series is to review & process charitable & professional solicitor registrations, bingo license applications & supplemental documents, to conduct preliminary research, determine completeness, eligibility &/or applicability of charitable statutes & regulations, to receive, prepare & input related complaints, & to conduct financial review & observation of licensed bingo & charitable organizations in order to ensure compliance with & combat noncompliance in charitable areas.

At the Compliance Examiner 1 level, incumbents review & process charitable & professional solicitor registrations & corresponding documents, annual reports, & fees; review & approve or recommend rejection of licensure of renewal bingo applications & corresponding documents.

At the Compliance Examiner 2 level, incumbents analyze financial information to identify potential fraud & refer to investigative teams, mentor lower level Compliance Examiners & review & process more complex charitable & professional solicitor registrations & corresponding documents, annual reports, & fees; review & approve or recommend rejection of licensure of initial & renewal bingo applications & corresponding documents.

At the Intake Officer level, incumbents receive, prepare & input complaints about charitable trusts & solicitations; professional solicitors; licensed bingo organizations, manufacturers & distributors; etc. from telephone inquiries, through the database, or other electronic paper forms & collect preliminary data concerning the organization or individuals named in the complaint.

At the Inspector level, incumbents conduct overt reviews of the financial books & records of licensed bingo organizations & charitable organizations, organizations seeking to obtain a bingo license, organizations playing bingo without a license, organizations that are or may be subject to registration requirements with this office; bingo supply manufacturers & distributors; & conduct observations of bingo games in the State of Ohio.

<u>JOB TITLE</u>	<u>JOB CODE</u>	<u>PAY GRADE</u>	<u>EFFECTIVE</u>
Compliance Examiner 1	63261AG	27	6/29/2014

CLASS CONCEPT

The entry level performance level class works under direct supervision & requires knowledge of applicable regulations & laws governing charitable organizations, professional solicitors & charitable bingo licensees &/or applicable legal section & office practices & procedures to ensure compliance, completeness & acceptability of submitted &/or requested charitable materials.

<u>JOB TITLE</u>	<u>JOB CODE</u>	<u>PAY GRADE</u>	<u>EFFECTIVE</u>
Compliance Examiner 2	63262AG	28	6/29/2014

CLASS CONCEPT

The full performance level class works under general supervision & requires thorough knowledge of applicable regulations & laws governing charitable organizations, professional solicitors & charitable bingo licensees &/or applicable legal section in order to analyze annual reports submitted by organizations to Ohio Attorney General & the Internal Revenue Service to identify potential areas of fraud & mentors lower level class.

<u>JOB TITLE</u>	<u>JOB CODE</u>	<u>PAY GRADE</u>	<u>EFFECTIVE</u>
Charitable Activities Intake Officer	63263AG	29	6/29/2014

CLASS CONCEPT:

The full performance level class works under general supervision & requires considerable knowledge of applicable regulations & laws governing charitable organizations &/or applicable tax/corporation legal sections & public relations in order to receive, prepare & input incoming complaints against charitable trusts & solicitations, professional solicitors,

licensed bingo organizations, manufacturers & distributors, etc. from telephone inquiries, through the database, or other electronic or paper forms & collect preliminary data concerning the organization or individual named in the complaint.

<u>JOB TITLE</u>	<u>JOB CODE</u>	<u>PAY GRADE</u>	<u>EFFECTIVE</u>
Charitable Activities Compliance Inspector	63264AG	29	6/29/2014

CLASS CONCEPT

The full performance level class works under general supervision & requires considerable knowledge of laws regulating charitable bingo games, solicitations & trusts, investigating, accounting & auditing principles/techniques, in order to review accounting books & records of licensed charitable bingo organizations, solicitations & trusts to determine content, analyze & verify accuracy of financial data, prepare concise reports of findings disclosing any discrepancies or non-compliance & forward results to legal staff for necessary action.

JOB TITLE	JOB CODE	B. U.	EFFECTIVE	PAY GRADE
Compliance Examiner 1	63261AG	45	6/29/2014	27

JOB DUTIES IN ORDER OF IMPORTANCE (These duties are illustrative only. Incumbents may perform some or all of these duties or other job-related duties as assigned.)

Fields inquiries & provides information & assistance & collects data concerning charitable status & formation of charitable organizations, solicitors, & bingo licensees & merging & dissolving of charitable organizations; assists organizations with online account creation & troubleshooting user website issues; researches & resolves routine &/or complex charitable, professional solicitor, & bingo licensing issues; counsels public on Charitable Trust, Charitable Organization &/or Charitable Bingo legislation; processes registration forms, annual/financial reports, solicitation notices, & renewal bingo applications from charitable organizations & professional solicitors (e.g., checks registration forms, solicitation notices, and supplemental documents to ensure proper completion; reviews annual/financial reports for mathematical accuracy; checks renewal bingo applications & required supplemental documents for proper completion & accuracy & recommends licensing or rejection of the application; codes information; forwards reports to investigator, accountant or attorney for further action; assists in preparation for trial &/or hearing as necessary); makes a recommendation if renewal bingo license applicants should be approved; & assists in the mailing of temporary bingo permits charitable bingo licenses. Reviews existing documents to determine if charitable registration is required, pursues noncompliant organizations/professional solicitors or incomplete bingo applicants via phone calls, mass mailings, emails & targeted correspondence; compiles the statutorily required annual professional solicitor report. Collects & analyzes preliminary data concerning allegations of potential fraud &/or abuse; recommends organizations for investigation. Analyzes & develops information on questionable organizations & provides narrative to investigative teams. Refers matters for enforcement action.

Prepares & delivers education presentations & conducts training seminars to associations, foundations, & others in the nonprofit community. Assembles bingo, trust & solicitation packets for distribution to public. Assembles & maintains section's files (e.g., trust, solicitation & bingo files); maintains current listing of all registered charitable organizations; updates demographic information & creates targeted compliance reports (e.g., veterans groups, revoked organizations).

Performs related clerical tasks; researches applicable background materials; compiles & types a variety of reports, including entering data onto spreadsheet &/or into database, sorting data; forwards reports for further action. Responds to telephone inquiries & correspondence concerning consumer activities &/or charitable organizations (e.g., completion of forms, filing fees, contracts, legal briefs, services agreements); opens & distributes mail; produces routine materials (cover letters, general correspondence, labels); assists with special projects.

MAJOR WORKER CHARACTERISTICS:

Knowledge of applicable regulatory & statutory framework regarding applicable legal section & structures* & office practices & procedures to include legal terminology; office management*; public relations. Skill in typing & operation of telephone equipment*. Ability to speak publicly & give presentations; deal with problems involving several variables in familiar context; cooperate with co-workers on group projects; calculate fractions, decimals & percentages; gather, collate & classify information about data, people & things according to established methods; handle contacts & sensitive &/or confidential inquiries or investigations &/or resolve complaints from public & government &/or business officials.

(*)Developed after employment.

MINIMUM CLASS QUALIFICATIONS FOR EMPLOYMENT:

Bachelor's core program in business administration or related field; 12 mos. training or 12 mos. experience in using a personal computer (PC) & related software as described in the position description; 9 mos. training or 9 mos. experience in office practices & procedures; education in English grammar, punctuation & editing of common English vocabulary.

-Or equivalent of Minimum Class Qualifications For Employment noted above.

TRAINING AND DEVELOPMENT REQUIRED TO REMAIN IN THE CLASSIFICATION AFTER EMPLOYMENT

Not applicable.

UNUSUAL WORKING CONDITIONS

May require some travel. May work in stressful environment or under pressure.

JOB TITLE	JOB CODE	B. U.	EFFECTIVE	PAY GRADE
Compliance Examiner 2	63262AG	45	6/29/2014	28

JOB DUTIES IN ORDER OF IMPORTANCE (These duties are illustrative only. Incumbents may perform some or all of these duties or other job-related duties as assigned.)

Evaluates data from registration databases to identify potential fraud: generates reports from the registration database to collect, review & analyze data from organizations' annual reports to compare to information submitted to external governmental organizations/databases & refers organizations suspected of fraud to clearinghouse for investigation (e.g., collects & analyzes data from the professional solicitors' registration database & refers solicitors to clearinghouse for investigation, analyzes amounts paid by professional solicitors to charities to identify shortages & refers solicitors to clearinghouse for investigation, generates reports from the registration database to look for trends & inconsistencies in filings among similar organizations &/or year-to-year filings for each organization, generates reports from the professional solicitor database to determine trends among single professional solicitors & refers to clearinghouse for investigation, compiles & sorts professional solicitor data) & mentors Compliance Examiner 1 staff.

Performs similar &/or more complex associated duties as Compliance Examiner 1: generates reports to determine outstanding determination for exemption requests, reviews supporting documentation to ensure appropriateness and completeness of exemption determination requests from organizations & responses from attorneys, makes recommendations for approval or denial of the exemption determinations; determines compliance with registration requirements; reviews initial bingo applications submitted by charitable organizations, & initial & renewal manufacturer & distributor applications & required supplemental documents for proper completion, accuracy & organizational programming; determines if renewal bingo applicants are eligible for a bingo license &/or a temporary permit; & makes recommendations regarding licensure.

MAJOR WORKER CHARACTERISTICS:

Knowledge of applicable regulatory & statutory framework regarding applicable legal section & structures* & office practices & procedures to include legal terminology; office management*; public relations. Skill in typing & operation of telephone equipment*. Ability to speak publicly & give presentations; deal with problems involving several variables in familiar context; cooperate with co-workers on group projects; calculate fractions, decimals & percentages; gather, collate & classify information about data, people & things according to established methods; handle contacts & sensitive &/or confidential inquiries or investigations &/or resolve complaints from public & government &/or business officials.

(*)Developed after employment.

MINIMUM CLASS QUALIFICATIONS FOR EMPLOYMENT:

Bachelor's core program in business or related field; 12 mos. exp. analyzing financial data; 12 mos. training or 12 mos. experience in using a personal computer (PC) & related software as described in the position description; 9 mos. training or 9 mos. experience in office practices & procedures; education in English grammar, punctuation & editing of common English vocabulary.

Or 24 mos. exp. as Compliance Examiner 1;

Or equivalent of Minimum Class Qualifications For Employment noted above.

TRAINING AND DEVELOPMENT REQUIRED TO REMAIN IN THE CLASSIFICATION AFTER EMPLOYMENT

Not applicable

UNUSUAL WORKING CONDITIONS

May require some travel. May work in stressful environment or under pressure.

JOB TITLE	JOB CODE	B. U.	EFFECTIVE	PAY GRADE
Charitable Law Intake Officer	63263AG	45	6/29/2014	29

JOB DUTIES IN ORDER OF IMPORTANCE: (These duties are illustrative only. Incumbents may perform some or all of these duties or other job-related duties as assigned.)

Receives, prepares & inputs incoming complaints about charitable trusts & solicitations, professional solicitors, licensed bingo organizations, manufacturers & distributors, etc. from telephone inquiries, through databases, or other electronic or paper forms, reviews complaints to identify potential issues & allegations of fraud, utilizes databases (internal & external) to research & collect data regarding the organizations/businesses/individuals named in the complaint, prepares reports to provide to the clearinghouse & utilizes discretion & independent judgment to recommend further investigation, closure of the complaint, or other action, also provides information & assistance to constituents, trustees, governmental officials &/or general public, resolves complaints &/or provides advice & information to complainant about processes & executes section's complaint referral procedures, fields constituent inquiry & complaint calls & may be called to testify &/or certify documents received.

Assists in preparing cases for civil & criminal litigation &/or performs preliminary research of complaint (i.e., collects information from sources); corresponds with regulatory, administrative & law enforcement agencies at federal, state & local levels; maintains records, data, documentation & reports regarding calls, correspondence, contacts & actions; sends, tracks & follows-up on official records requests connected with section investigations; ensure completeness of responses & follows-up regarding missing records; organizes records received & ensures materials received comport with the section's document management & retention protocols; & uses link analysis computer program & other methods to examine common links & trends among complaints received & looks for common interactions of facts & people among complaints.

Performs related clerical tasks & researches applicable background materials; compiles & types a variety of reports, including entering data onto spreadsheet &/or into database, sorting data; forwards reports for further action; produces routine materials (cover letters, general correspondence, labels).

MAJOR WORKER CHARACTERISTICS:

Knowledge of office practices & procedures; state laws & rules governing charitable trusts & solicitations, professional solicitors, licensed bingo organizations, manufacturers & distributors, etc.*; section operations, procedures & regulations*; & public relations. Skill in typing & operation of telephone equipment*. Ability to deal with problems involving several variables in familiar context; define problems, collect data, establish facts, draw conclusions; cooperate with co-workers on group projects; handle sensitive inquiries & contacts with officials & general public; gather, collate & classify information about data, people or things; use proper research methods in gathering data; compile, write & edit reports; keep accurate records; handle contacts & sensitive &/or confidential inquiries or investigations &/or resolve complaints from public & government &/or business officials.

(*)Developed after employment.

MINIMUM CLASS QUALIFICATIONS FOR EMPLOYMENT:

Bachelor's degree in business administration or related field; 12 mos. training or 12 mos. experience in using a personal computer (PC) & related software as described in the position description; 9 mos. training or 9 mos. experience in office practices & procedures; education in English grammar, punctuation & editing of common English vocabulary.

Or 12 mos. exp. as Compliance Examiner 1;

Or equivalent of Minimum Class Qualifications For Employment noted above.

TRAINING AND DEVELOPMENT REQUIRED TO REMAIN IN THE CLASSIFICATION AFTER EMPLOYMENT

Not applicable

UNUSUAL WORKING CONDITIONS

May work in stressful environment or under pressure.

<u>JOB TITLE</u>	<u>JOB CODE</u>	<u>B. U.</u>	<u>EFFECTIVE</u>	<u>PAY GRADE</u>
Charitable Activities Compliance Inspector	63264AG	45	6/29/2014	29

JOB DUTIES IN ORDER OF IMPORTANCE (These duties are illustrative only. Incumbents may perform some or all of these duties or other job-related duties as assigned.)

Coordinates & plans on-site inspections to review financial books & records of licensed charitable bingo organizations, organizations seeking to obtain a bingo license, organizations playing bingo without a license, organizations that are or may be subject to registration requirements under R.C. 109.23-.33 & R.C. 1716 & bingo supply manufacturers & distributors, analyzes & verifies accuracy of financial data as reported by charitable organizations, manufacturers & distributors, reviews records to determine compliance with requirements of R.C. Chapter 2915, conducts various financial ratios & profit projections (i.e., reviews daily sheets from all bingo sessions, bank statements, cancelled checks, check registers, deposit slips, rent receipts, supply invoices & all other receipts for bingo-related expenses & compares results from review of bingo records with data reported by organization for the same fiscal period) & inventories supplies to determine whether purchased, maintained, &/or sold in compliance with R.C. Chapter 2915; interviews trustees, bingo operators, players & workers, draws exact conclusions & completes detailed reports summarizing findings, discloses any discrepancies or non-compliance & forwards report to the licensed charitable bingo organization &/or management for necessary action & assists organizations with filing bingo applications &/or registration & annual reports.

Enters financial data in computer & creates financial & analytical reports; updates computer files (e.g., change of addresses, amendments to the bingo application, registration or financial filings); responds to inquiries from general public; conducts presentations at trainings; conducts pre-licensing review of organizations requesting a bingo license; assists newly organized charitable organizations & licensed bingo organizations with implementing proper record-keeping requirements & makes suggestions for internal controls.

MAJOR WORKER CHARACTERISTICS:

Knowledge of office practice & procedures; accounting; state laws & rules governing licensed charitable bingo organizations, solicitations & trusts, etc.*; section operations, procedures & regulations*; & public relations. Skill in typing, operation of telephone equipment*, & personal computer (PC). Ability to deal with problems involving several variables in familiar context; define problems, collect data, establish facts, draw conclusions; cooperate with co-workers on group projects; handle sensitive inquiries & contacts with officials & general public; gather, collate & classify information about data, people or things; compile, write & edit reports; keep accurate records; handle contacts & sensitive &/or confidential inquiries from & contacts with general public.

(*)Developed after employment.

MINIMUM CLASS QUALIFICATIONS FOR EMPLOYMENT:

Bachelor's Degree in accounting, auditing, business administration or closely related field.

-Or 4 years' experience in accounting, auditing, or closely related field

-Or equivalent of Minimum Class Qualifications For Employment noted above.

TRAINING AND DEVELOPMENT REQUIRED TO REMAIN IN THE CLASSIFICATION AFTER EMPLOYMENT

Not applicable

UNUSUAL WORKING CONDITIONS

Requires daily travel. May work in stressful environment or under pressure.