<table>
<thead>
<tr>
<th>STATE OF OHIO (DAS)</th>
<th>CLASSIFICATION SERIES:</th>
<th>SERIES NO.:</th>
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<tbody>
<tr>
<td>CLASSIFICATION</td>
<td>Compliance Agent</td>
<td>2352</td>
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<td>SPECIFICATION</td>
<td>MAJOR AGENCIES:</td>
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<td></td>
<td>Commerce Only</td>
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**SERIES PURPOSE:**
The purpose of the Compliance Agent is to conduct inspections of liquor permit premises &/or medical marijuana entity facilities & to determine & ensure that permit holders and applicants are in compliance with state Medical Marijuana control laws & Liquor Control Commission regulations. At the lower level, incumbents independently conduct compliance inspections of retail permit premises &/or medical marijuana entity facilities, or beer & wine manufacturers & distributors. At the higher levels, incumbents supervise compliance agents & coordinate inspection activities.

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<tbody>
<tr>
<td>Compliance Agent</td>
<td>23521</td>
<td>10</td>
<td>4/1/2018</td>
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**CLASS CONCEPT:**
The full performance level class works under direct supervision & requires considerable knowledge of investigative techniques & procedures & Ohio’s Liquor Control &/or Medical Marijuana Control laws in order to conduct investigations & inspections as authorized by Ohio Revised Codes, & determine & ensure compliance to all statutory & administrative provisions.

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<tr>
<td>Compliance Agent Supervisor 1</td>
<td>23525</td>
<td>12</td>
<td>4/1/2018</td>
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**CLASS CONCEPT:**
The advanced level class works under direction & requires thorough knowledge of investigative techniques & procedures & Ohio’s Liquor Control &/or Medical Marijuana Control laws in order to assist district supervisor in supervising compliance agents & coordinating activities.

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<tr>
<td>Compliance Agent Supervisor 2</td>
<td>23526</td>
<td>13</td>
<td>4/1/2018</td>
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**CLASS CONCEPT:**
The supervisory level class requires thorough knowledge of investigative techniques & procedures & Ohio’s Liquor Control &/or Medical Marijuana Control laws in order to administer & supervise all compliance, inspection &/or investigation activities in assigned district.
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.)

Conducts & plans investigations & inspections of liquor permit premises &/or medical marijuana entity facilities to determine & ensure compliance with statutory & administrative provisions; explains & interprets federal, state, local & departmental statutes/codes/ordinances & policies to business owners/operators; conducts unannounced interviews & inspections; conducts ownership investigations; assists businesses with operating in compliance with all requirements of laws, rules & regulations.

Determines on-view violations &/or non-compliance issues; initiates &/or recommends appropriate corrective measures; conducts interviews (e.g., with convicted felons, permit holders/agents &/or witnesses); conducts research (e.g., reviews & interprets business/operating contracts for compliance; audits & reconciles books & records from permit premises operations; researches governmental records; determines &/or verifies citizenship; obtains certified copies of court records); prepares investigation report; prepares request for citation; takes/attests to affidavits; serves civil subpoenas; maintains evidence; conducts inspections.

Develops & maintains professional relationship with law enforcement agencies, licensees, general public & government/elected officials; maintains contacts with attorneys & responds to status requests; presents testimony as needed in civil & criminal courts of law, administrative hearings, before boards & commissions; appears at administrative proceedings to provide testimony or reports as required by supervisor or pursuant to subpoena; attends professional training/seminars; conducts field training for new compliance officers; serves on committees.

Operates personal computer &/or mobile device in the course of field and office duties (e.g., develops investigation reports, composes memorandums & correspondence); operates cameras; operates assigned state vehicle in accordance with established rules & regulations to travel to permit sites &/or licensed facilities; completes report of activities at intervals assigned by supervisor; (e.g., payroll; vehicle expense & maintenance reports; expense vouchers; telephone logs); completes unusual incident/activity reports; prepares certified mailings.

MAJOR WORKER CHARACTERISTICS:
Knowledge of investigative techniques & procedures; Ohio Revised Codes & regulations & orders of Liquor Control Commission applicable to conducting inspections of liquor permit premises*; Ohio Medical Marijuana Control laws*; rules of evidence*; public relations; interviewing. Skill in use of personal computer; Visio drawing CAD program*; computer software installation*; camera*; measuring wheel*. Ability to define problems, collect data, establish facts & draw valid conclusions; conduct interviews effectively; prepare meaningful, concise & accurate reports; gather, collate & classify data; handle sensitive telephone & face-to-face contacts.

(*) Developed after employment.

MINIMUM CLASS QUALIFICATIONS FOR EMPLOYMENT:
Completion of associate core program in law enforcement, criminal justice or in academic field commensurate with program area to be assigned per approved Position Description on file; 12 mos. exp. in investigative techniques & procedures; 12 mos. exp. in business office software programs (e.g., Microsoft Office); valid driver's license.

-Or 30 mos. trg. or exp. in investigative techniques & procedures; 12 mos. exp. in business office software programs (Microsoft Office); valid driver's license.

-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 overnight travel; works in adverse weather conditions; exposed to physical harm; works alone in high crime areas; may be exposed to vicious guard animals; conducts inspections at construction sites; may be exposed to uncooperative, irate, armed, intoxicated &/or hostile individuals.
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.)

In the Division of Liquor Control, assists district supervisor in supervision & coordination of district permit & compliance activities (e.g., assists in supervising field investigators, office staff & technical personnel; provides input into employee evaluations; reviews & assists in making assignments, provides assistance to investigators in completion of complex & confidential technical reports regarding audits, D-7 permit holders, hidden ownership; personally oversees more difficult & confidential investigations) & acts in absence of supervisor.

OR

In Medical Marijuana Control Program, supervises & coordinates licensing & compliance activities (provides input into employee evaluations; reviews & assists in making assignments, provides confidential technical reports; oversees more difficult & confidential investigations) & acts in absence of supervisor.

AND IN ADDITION TO EITHER OPTION

Recommends changes in department policies & procedures pertaining to investigations, permits &/or enforcements; assists in development of procedure manuals on investigative techniques & law interpretation.

Monitors processing of renewal applications & assists in review of investigation reports, citations, daily activity reports & expense vouchers.

Liaisons with local, state & federal law enforcement & non-law enforcement agencies; coordinates investigations in conjunction with other enforcement agencies; fingerprints permit applicants.

Assists in initiation rejections & revocations of liquor or medical marijuana licenses; provides testimony before Liquor Control Commission, at administrative proceedings &/or other local courts of law.

Conducts sensitive investigations as assigned & prepares necessary paperwork for corrective action.

Provides instruction at in-service training schools, speaks before police & civic groups & provides continuing education to investigators & other district employees relevant to new legislation or department policy; responds to public complaints regarding existing/potential permit holders.

MAJOR WORKER CHARACTERISTICS:

Knowledge of investigative techniques & procedures; Ohio liquor control laws; Ohio Medical Marijuana Control laws; rules of evidence; public relations; interviewing; law enforcement or business administration or management or other related field; supervisory principles/techniques*. Skill in use of camera & measuring wheel*. Ability to define problems, collect data, establish facts & draw valid conclusions; review, edit & evaluate investigative & citation reports; establish friendly atmosphere as assistant supervisor.

(*) Developed after employment.

MINIMUM CLASS QUALIFICATIONS FOR EMPLOYMENT:

Completion of undergraduate core program in law enforcement, business administration, management, or other related program area; 12 mos. trg. or 12 mos. exp. in investigative techniques & procedures; 6 mos. exp. in application of & explaining Ohio liquor &/or medical marijuana control laws, 6 mos. exp. in application of rules of evidence; valid driver’s license.

-Or 24 mos. exp. as Compliance Agent Officer, 23521; valid driver’s license.

-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:
Exposed to physical harm; exposed to intoxicated individuals; requires travel; may travel overnight; subject to automatic relocation.
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 & oversees all activities associated with issuance & renewal of permits &/or licenses; & inspection &/or investigation of violations in assigned district & supervises compliance agents & compliance supervisor 1, makes work assignments & recommends hiring, promotions, suspensions & discharge of personnel & evaluates employee performance & recommends & develops revisions in policy relative to liquor permits.

Plans & develops procedure manuals on investigative techniques & law interpretation, develops training materials & presentations for district employees in areas of investigative techniques, law interpretation & problem solving.

Reviews investigation reports, citations, daily activity reports & expense vouchers; approves or disapproves issuance or renewal of licenses; initiates rejection & revocation of licenses; maintains confidential investigation files.

Liaisons with local, state & federal law enforcement & non-law enforcement agencies; safeguards evidence, assists in case development for prosecution & testifies in court regarding laws & participates in seminars & in-service training; responds to public complaints regarding current & potential permit holders.

Personally oversees most difficult, sensitive & confidential investigations.

MAJOR WORKER CHARACTERISTICS:
Knowledge of law enforcement, business administration, management or other related field; investigative procedures & techniques; Ohio liquor control laws; Ohio medical marijuana control laws; rules of evidence; public relations; interviewing; supervisory techniques. Ability to define problems, collect data, establish facts & draw valid conclusions; review & edit reports & initiate appropriate legal action; establish friendly atmosphere as district supervisor.

(*) Developed after employment.

MINIMUM CLASS QUALIFICATIONS FOR EMPLOYMENT:
Completion of undergraduate core program in law enforcement or business administration or management or other related program area; 12 mos. exp. in application of & explaining Ohio Liquor &/or Medical Marijuana Control laws, rules & regulations; 18 mos. trg. or 18 mos. exp. in investigative procedures & techniques; 3 courses or 9 mos. exp. in supervisory techniques; 6 mos. exp. in application of rules of evidence; valid driver’s license.

-Or 12 mos. exp. as Commerce Compliance Supervisor 1,23525; valid driver’s license.

-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:
Exposed to physical harm; exposed to intoxicated individuals. Requires travel; may travel overnight; subject to automatic relocation.