



TRAINING ANNOUNCEMENT:

Regional Training Conference- Audit and Compliance Issues

April 30th and May 1st, 2013 in Lincoln, California

Pano Hall
Thunder Valley Casino Resort
1200 Athens Avenue
Lincoln, CA. 95648

Hosted by: Tribal Gaming Agency - United Auburn Indian Community

The National Indian Gaming Commission, Sacramento Region is offering a two day training conference focused on audit and MICS areas of tribal gaming regulation. This training will be appropriate for gaming commissioners and staff, as well as, operation managers and staff involved in audit and compliance functions. Tribal leaders are welcome to attend. A course agenda and brief description of each course of study are included in this announcement for your review.

Good internal controls help assure the accomplishment of an organization's goals and objectives while protecting its employees and assets. Internal controls provide reliable financial reporting for management decisions, and they ensure compliance with applicable laws and regulations. It is important to train compliance personnel so that they have a solid awareness and understanding of internal control standards. Compliance staff that recognizes their role in the organization's internal controls can help prevent problems from occurring and detect issues as they arise.

The course will be held in Pano Hall at the Thunder Valley Casino Resort in Lincoln, California and is being hosted by the Tribal Gaming Agency of the United Auburn Indian Community. As always, there is no fee for attendance at this NIGC training course. We do require that each attendee pre-register for the course by visiting the NIGC website and submitting the attached registration form via email to the Sacramento Region office of NIGC. Course attendees are responsible for their own travel and lodging costs and arrangements. For the convenience of our attendees, the Thunder Valley Casino Resort will be making available a block of guest rooms for this event. To reserve a room at the Resort please call 877-468-8777 and request the group rate of \$99/night by using the discount code "**130429NIGC**". Rooms must be reserved by **April 15, 2013**. Reservations may also be made at www.thundervalleyresort.com.

The course of instruction will begin on Tuesday, April 30, 2013 promptly at 8:00am and continue until 5:00pm on Wednesday, May 1, 2013. Please arrive early to sign in and receive training materials.

NIGC Regional Training Conference- Audit and Compliance Issues

Tuesday, April 30, 2013:

Cage, Vault, Kiosk, Cash, and Cash Equivalents

During this presentation, we will discuss the 543.18 MICS specific to the cage, vault, kiosk, cash and cash equivalents. Topics will include, but not be limited to: check cashing, kiosks, patron deposited funds, fund accountability, promotional payouts, drawings, giveaway programs and chip(s)/token(s) standards. Case studies based on the experience of the audit staff will be reviewed to demonstrate how deficient internal control systems have contributed to the occurrence of irregularities. Attendees will gain an enhanced understanding of the inherent risks associated with the cage department and how the 543.18 MICS are intended to mitigate those risks.

Internal Audit

During this presentation, we will discuss the MICS specific to the internal audit process. Topics will include, but not be limited to: personnel independence, audits required to be performed annually, audits required to be performed semi-annually, audit follow-up, documentation and reports, and the role of management. Case studies based on the experience of the audit staff will be reviewed to demonstrate how internal audit departments have contributed to the effectiveness and efficiency of their respective gaming operation(s). Attendees will gain an enhanced understanding of the MICS specific to internal audit and their benefits.

Gaming Machines

During this presentation, we will discuss the MICS specific to the gaming machine revenue center. Topics will include, but not be limited to: payouts – inclusive of cash out tickets, promotional awards and accumulated credits, promotional prizes and awards not deductible from handle, fund accountability, game program testing, statistical analysis of game performance, computerized accounting systems, wagering accounts, player tracking, contests and tournaments, progressive machines, and auditing standards. Case studies based on the experience of the audit staff will be reviewed to demonstrate how deficient internal control systems have contributed to the occurrence of irregularities. Attendees will gain an enhanced understanding of the inherent risks associated with the gaming machine revenue center and how the MICS are intended to mitigate those risks.

Wednesday, May 1, 2013:

Drop and Count

During this presentation, we will discuss the 543.17 MICS specific to the drop and count process. Topics will include, but not be limited to: card game drop, count procedures and player interface and financial instrument storage drop and count procedures. Attendees will gain an enhanced understanding of the inherent risks associated with the drop and count process and how the 543.17 MICS are intended to mitigate those risks.

Wednesday, May 1, 2013: (cont.)

Auditing Revenue

During this presentation, we will discuss the 543.24 MICS specific to the revenue audit function. Topics will include, but not be limited to auditing bingo, pull-tabs, card games, gaming promotions and player tracking, complimentary services/items, patron deposit accounts, lines of credit, drop and count, cage, vault, cash and cash equivalents and inventory. Attendees will gain an enhanced understanding of the revenue auditing controls necessary to mitigate the risks inherent in the conduct of gaming activities.

Information Technology and Information Technology Data

During this presentation, we will discuss building on the basics of managing and implementing an information systems audit. This course provides an overview of 25 CFR 543.20 – Information Technology and Information Technology Data by control and objective. This comprehensive course, as aligned with CFR 543.20, focuses on NIGC regulation definition, regulation intent and organizational implementation/compliance guidelines.

Registration

Interested individuals are required to complete the attached Registration and submit via the email button on the form.

In addition, registration forms may be submitted via fax to:

Senior Field Investigator Alan Phillips
NIGC
801 I Street, Suite 489
Sacramento, CA 95814

Fax: 916 414 2310

Seating is not reserved until the Registration form is completed and received by the NIGC Sacramento Region Office. A notification verifying receipt and completed registration will be sent to the attendee approximately ten days prior to the training course.

My staff and I are looking forward to meeting you and presenting the training. If you have any questions about the Training Conference contact us at 916 414 2300.

Eric Schalansky
Region Director
Sacramento Region

Training Agenda



National Indian Gaming Commission United Auburn Indian Community Regional Training Conference 4/30/2013 and 5/01/2013

Day 1 Tuesday, April 30, 2013

Time	Description	Instructor
8:00 AM - 9:45 AM	A345 Cage, Vault, Kiosk, Cash & Equiv.	Audit Instructor
10:00 AM - 12:00 PM	A240 Internal Audit	Kirian Fixico
12:00 PM - 1:00 PM	<i>Lunch</i>	
1:00 PM - 5:00 PM	A225 Gaming Machines	Kirian Fixico

Day 2 Wednesday, May 01, 2013

Time	Description	Instructor
8:00 AM - 9:45 AM	A330 Drop and Count	Audit Instructor
10:00 AM - 12:00 PM	A350 Auditing Revenue	Audit Instructor
12:00 PM - 1:00 PM	<i>Lunch</i>	
1:00 PM - 5:00 PM	A325 Information Technology and IT Data	Michael Curry

Thank you for coming!