

NTGCR CJIS Pathway to Compliance



Preparedness

PARTICIPANT GUIDE

The Commission is promoting four emphasis areas in the agency's work commitment to assist in being more engaged and accountable to the Indian gaming industry and Indian Country.

Industry Integrity

Protecting the valuable tool of Indian gaming that in many communities creates jobs, is the lifeblood for tribal programs, and creates opportunities for tribes to explore and strengthen relationships with neighboring jurisdictions.

Agency Accountability

Meeting the public's expectation for administrative processes that uphold good governance practices and support efficient and effective decision making to protect tribal assets.

Preparedness

Promoting tribes' capacity to plan for risks to tribal gaming assets including natural disaster threats, the need to modernize and enhance regulatory and gaming operation workforces, or public health and safety emergencies.

Outreach

Cultivating opportunities for outreach to ensure well-informed Indian gaming policy development through diverse relationships, accessible resources, and government-to-government consultation.

This training reinforces these four emphasis areas and the agency's commitment to the Indian gaming industry and Indian Country.

Instructor Notes

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Preparedness is planning, organizing, training, equipping, exercising, evaluating, and taking corrective action. The results of Preparedness allows for efficient management during times of crisis. Plan to plan and set a schedule.

Instructor Notes

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Training Objectives



- Prepare for a closure
- Manage the closure
- Reopen from the closure



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The training objectives today will focus on prevention, mitigation, response and recovery through Preparedness.

- Prevention consists of the actions necessary to avoid, prevent or stop a threat or an act.
- Mitigation efforts reduce the likelihood of loss of life and property from natural and/or human-caused disasters.
- Response includes actions to save lives, protect property and the environment and meet basic human needs after an incident.
- Recovery efforts allow for the effective return to normal activities.

To satisfy the training objectives today, we are going to talk about:

- How to prepare for a closure,
- How to manage the closure, and:
- How to reopen from a closure from a perspective of Preparedness.

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Prepare for a closure



The beginning is the most important



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- Does the gaming operation plan describe the review and incorporation of existing tribal plans?
- Does the plan include a description of the method and schedule for keeping the plan current?
- Does the plan include a description all natural hazards that can affect the gaming operation?
- Does the plan include a description of the impacts of each hazard?
- Does the plan contain an action plan for how the actions identified will be prioritized, implemented, and administered?

Questions to Ask Yourself:

Does the gaming operation plan describe the review and incorporation of existing tribal plans?

Does the plan include a description of the method and schedule for keeping the plan current?

Does the plan include a description all natural hazards that can affect the gaming operation?

Does the plan include a description of the impacts of each hazard?

Does the plan contain an action plan for how the actions identified will be prioritized, implemented, and administered?

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Prepare for a closure



**Preparing in advance will save time,
money, and maybe even lives**

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If you answered no to any of the questions on the previous slide do a threat assessment. FEMA calls it Threat and Hazard Identification and Risk Assessment (THIRA).

The Threat and Hazard Identification and Risk Assessment (THIRA) is a three-step risk assessment process that helps communities understand their risks and what they need to do to address those risks by answering the following questions:

What threats and hazards can affect the gaming operation?

What impacts would those threats and hazards have on the gaming operation?

Based on those impacts, what is the action plan?

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Prepare for a closure



What types of plan annexes does the gaming operation have today or should develop tomorrow?

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Which types of plan “annexes” does the gaming operation have today or should develop for tomorrow?

- Cyber Incident?
- Biological Incident?
- Earthquake?
- Flood?
- Hurricanes/Severe Storm?
- Tornado?
- Winter Storm?
- Technological?
- Power Outage?

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Manage the closure



What is a FOG? (Field Operations Guide)



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Does the gaming operation use FOGs? What about job aids? For Preparedness, remember vertical integration and horizontal integration. Vertical integration incorporates planning up and down the various levels of government. Horizontal integration incorporates planning across various functions or an organization.

Vertical integration meshes planning both up and down the various levels of government. It follows the concept that the foundation for operations is at the local level and that support from federal, state, territorial, tribal, regional and private sector entities is layered onto local activities. This means that as a planning team identifies a support requirement from a “higher level” during the planning process, the two levels work together to resolve the situation.

Horizontal integration incorporates planning across various functions, mission areas, organizations and jurisdictions. Horizontal integration serves two purposes: It integrates operations across a jurisdiction. For example, an agency, department or sector would write its plan or standard operating procedures/standard operating guidelines (SOPs/SOGs) for its role in an evacuation to fit the controlling jurisdiction’s plan for such an evacuation. Horizontal integration allows departments and support agencies to produce plans that meet their internal needs or regulatory requirements and still integrate into the EOP.

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Reopen from the closure



How do you eat an elephant?

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What areas of the gaming operation need reopening processes?

Things to consider:

- Money delivery
- Food and Beverage deliveries
- Audits of assets left behind, both gaming and non gaming
- Turning on and testing your EGM's and back of house systems for functionality
- If opening at a reduced capacity do you need to make changes to your minimum bank role?
- If you had IT and surveillance operating remotely are there connections that need deleting?
- Have you been able to call back sufficient staff?

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Regulatory and Staffing Concerns

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1. The NIGC requests that tribes notify the NIGC of their intent to reopen a gaming operation.
2. Review Tribal Gaming Ordinance for any regulatory staffing and quorum requirements.
3. Ensure all key regulatory and licensed gaming positions are filled to ensure compliance with applicable regulations and control over the gaming operation. Critical regulatory positions may include: Surveillance Operators, Inspectors/Compliance Officers, Auditors, and Investigators.
4. Review and assess compliance with MICS, TICS and SICS prior to opening. *See 25 C.F.R. § 543.*
5. Verify that outsourced accounting and/or internal audit contractors are operational and ready for resumption of services. *See 25 C.F.R. § 571.12; 25 C.F.R. § 543.*
6. Review submissions due to the NIGC during the closed period and submit any outstanding submissions accordingly (licensing, audits, fees, etc.) including facility license and EPHS certifications. *See 25 C.F.R. § 556; 25 C.F.R. § 558; 25 C.F.R. § 559; 25 C.F.R. 571.12; 25 C.F.R. 543.*
7. Assess current licensing schedules, including renewals, and other decisions. Issues to be aware of under 25 C.F.R. §§ 556 and 558 include the 60-day NOR submission deadlines, 30-day notification of License Issuance, and the requirements under 25 C.F.R. § 558.3(c), which prohibits a key employee or primary management official from working greater than 90 days without a gaming license.

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Public Health and Safety Recommendations

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1. TGRAs and Operations should coordinate and implement measures to ensure public health and safety that may include patron and employee screening, personal protective equipment, physical and social distancing, sanitizing and cleaning plans and any necessary adjustments to internal controls (TICS/SICS).
2. COVID-19 Training: All employees should receive training on COVID-19 safety and sanitation protocols. More comprehensive training may be necessary for Housekeeping, Cleaners, Food & Beverage and Security. Front and back of house signage could be posted reminding employees and patrons of protocols and hygiene reminders.
3. Cleaning Protocols: Cleaning agents should be reviewed to ensure they meet EPA guidelines, are approved for use and are effective against COVID-19 and other viruses. The frequency of cleaning and sanitizing should be increased in all employee and public areas with an emphasis on high traffic areas and frequent contact surfaces.
4. Employee Hand Washing: Correct hygiene and frequent hand-washing with soap is vital to help combat the spread of the virus. All employees should be instructed to wash their hands frequently, or use hand sanitizer when a sink is not available and after any of the following activities: using the restroom, sneezing, touching the face, blowing the nose, cleaning, sweeping, mopping, smoking, eating, drinking, entering and leaving the gaming floor, going on break and before or after starting a shift.
5. Hand Sanitizers: Hand sanitizer dispensers should be placed in various locations including patron and employee entrances, reception areas, lobbies, and casino floors.
6. Personal Protective Equipment (PPE): Determination should be made if PPE should be worn by employees based on their roles and responsibilities. If PPE is used by employees, training should be provided on how to properly use and dispose of all PPE. Determination should also be made with regards to patron use of PPE including face masks. The TGRA should review applicable ordinances, regulations, and/or policies and procedures regarding the use of face masks and consider making appropriate adjustments to TICS/SICS.
7. Physical Distancing: Guests and employees should be advised to practice

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physical distancing by standing at least six feet apart, while standing in lines, using elevators or moving around the property. Restaurant tables, slot machines, gaming devices, table/card games, and other physical layouts should be arranged to ensure appropriate distancing.

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guide with

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Considerations for the Gaming Floor

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1. Test internal and external network connectivity to ensure they are functioning properly, (e.g. firewalls for both networks are up and operational).
2. Test internet connectivity.
3. TGRAs and/or Operations should coordinate with vendors to ensure that systems and support are ready to resume operations.
4. Ensure gaming systems, including game servers, have been tested for connectivity and functionality, including wide area ball calls.
5. Test the player tracking system parameters to ensure integrity and proper operation of the system.
6. Review player tracking reports to identify any anomalies such as changes to player accounts and/or point adjustments while the casino was closed. Any discrepancies should be investigated to resolution.
7. Test emergency systems including, but not limited to, smoke/fire alarms and backup generator(s).
8. Test information technology systems and backup data.
9. Review ticket redemption, player point accruals, or coupon expirations, etc. to determine if expiration dates will be extended.
10. Ensure any temporary VPN user accounts that were created during the emergency closure have been deactivated upon resumption of the gaming operations.
11. Ensure that all wide area and in-house progressive jackpot meters are correct and are properly posted for all gaming departments (gaming machines, poker, table games, etc.).

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1. Test to ensure surveillance systems are functioning properly, including any back up power sources.
2. Ensure all required camera views and recordings are available in accordance with 25 C.F.R part 543.21.
3. Ensure all previously deactivated electronic employee access privileges have been reactivated.
4. Test all electronic/electromagnetic locks to secure areas to ensure they are functioning properly.
5. If available, the TGRA should review the facility entry logs for non-authorized entry or suspicious activity during the time period the operation was closed.

INSTRUCTOR NOTES

Talk through as time allows.

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Considerations for Cage/Vault and Revenue Audit

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1. Ensure required minimum cash (See TGRA approved minimum bank role formula) is on site in accordance with 25 C.F.R § 543.18(c)(4) (<https://www.nigc.gov/images/uploads/checklists-and-worksheets/MinimumBankrollVerification02192018.xlsx>)
2. Reconcile and fill ATMs, kiosks, and cash recyclers if previously emptied.
3. If ATMs, kiosks, and cash recyclers were not dropped prior to closing, funds should be reconciled and verified.
4. Count and verify vault and cage inventories.
5. Emergency and/or final drop proceeds should be reconciled and verified.
6. Audits of assets left in place should be conducted for the period the operation was closed e.g. pull tabs, controlled (sensitive) keys, cheques, cards, dice, bingo paper, gaming devices, pre-numbered forms, monetary instruments and other secure inventory items as appropriate.
7. Consideration should be given to the regular monthly and quarterly inventories required under 25 C.F.R. part 543.24.
8. Audits of non-gaming inventories such as food and beverage, alcohol storage, gift shops, etc. should be conducted.
9. After restoration of the accounting system has been conducted, a review of data should be conducted to identify any potential fraudulent or unauthorized activity.
10. All variances should be fully investigated to resolution.

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Questions

TrainingInfo@nigc.gov

Let's Talk...
Emergency Preparedness

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Thank you. Here are the hyperlinks for the NIGC and FEMA resources mentioned today.

NIGC

[HTTPS://WWW.NIGC.GOV/UTILITY/CHAIRMAN-FOUR-EMPHASIS-AREAS](https://www.nigc.gov/utility/CHAIRMAN-FOUR-EMPHASIS-AREAS)

<https://www.nigc.gov/commission>

<https://www.nigc.gov/images/uploads/04242020%20DPLL%20with%20COVID-19%20Reopening%20attachment.pdf>

FEMA

https://www.fema.gov/sites/default/files/2020-06/fema-tribal-planning-handbook_05-2019.pdf

https://www.fema.gov/sites/default/files/2020-05/FEMA_Policy_Tribal_Mitigation_Plan_Review_Guide.pdf

<https://www.fema.gov/emergency-managers/national-preparedness/plan>

<https://www.fema.gov/emergency-managers/risk-management/risk-capability-assessment>

https://www.fema.gov/sites/default/files/2020-11/fema_comprehensive-preparedness-guide_11-17-20.pdf

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