



# Compliance Roles & Responsibilities

## Key Points:

- Cabazon reaffirmed Tribe's right to regulate Class II gaming.
- IGRA establishes the regulatory structure
- NIGC believes that TGRAs are an appropriate type of governmental agency that can implement the regulatory responsibilities
- Submission requirements are only a small part of TGRA responsibilities.

## My Notes:



## Course Objectives

- Creating an Independent TGRA
- Establishing a TGRA's authority and duties
- Implementing a TGRA's roles and responsibilities
- Terms associated with TGRAs, their roles and responsibilities

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KEY POINTS

My Notes:

# Common Terminology



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## KEY POINTS

### Examples of Agency Names

- Tribal Gaming Commission
- Tribal Gaming Agency
- Tribal Gaming Authority
- Tribal Gaming Regulatory Authority

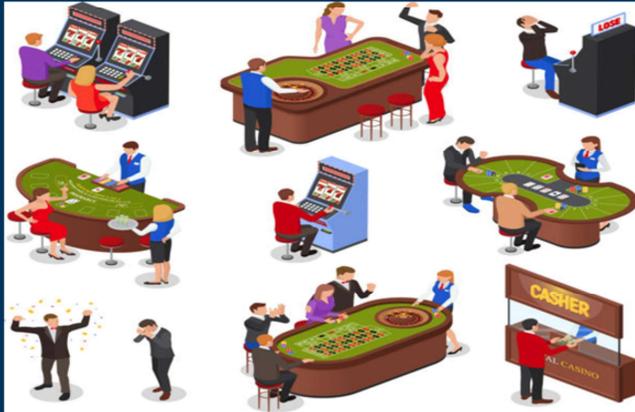
### Common Titles and Terms

- Commissioner
- Gaming Inspector
- Compliance Officer
- Internal Auditor
- MICS, TICS, SICS
- Owner (Tribe)
- Operations (Mgmt.)

## My Notes:



## TGRA Structure



### KEY POINTS

#### Typical TGRA Structures:

**Working Commission** - Commissioners have offices on-site and participate with the day-to-day regulation of the facility. Non-term limited they are permanent employees of the TGRA.

**Board Style** - Delegates the day-to-day regulatory oversight to regulatory employees on site. Meets periodically and often has term limits.

### My Notes:

## Gaming Ordinance



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### KEY POINTS

- Gaming Ordinance outlines TGRA authority
- Licensing Department
- Enforcement/Investigations
- Internal Audit
- Commission

### My Notes:

Is your TGRA independent of your  
Gaming Operations?



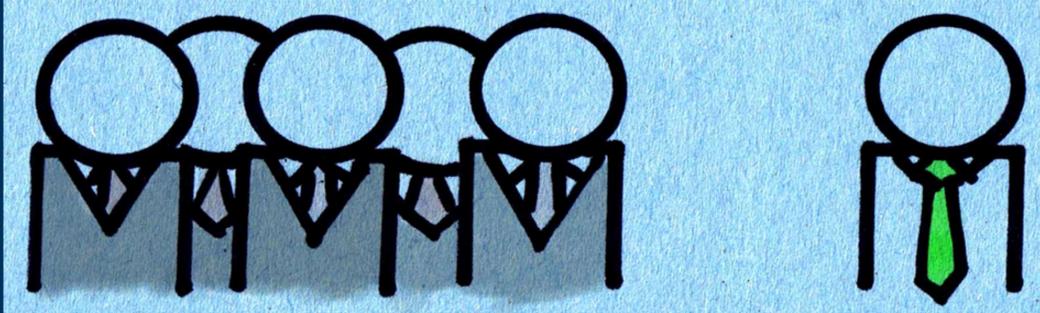
**Key Points:**

**ZOOM Poll Question** –Is your TGRA independent of your Gaming Operation?

1. Yes
2. No
3. IDK

**My Notes:**

## Independence of TGRA



Effective Regulatory oversight requires functional separation between the Regulators, Owners, and Operations.

### KEY POINTS

- Independence Clearly defined and established by Ordinance or Tribal law regulations
- Separate arm of the Tribal Government
- Organized exclusively for regulation and monitoring of the gaming operations on behalf of the tribe

### My Notes:



## Potential Conflicts of Interest



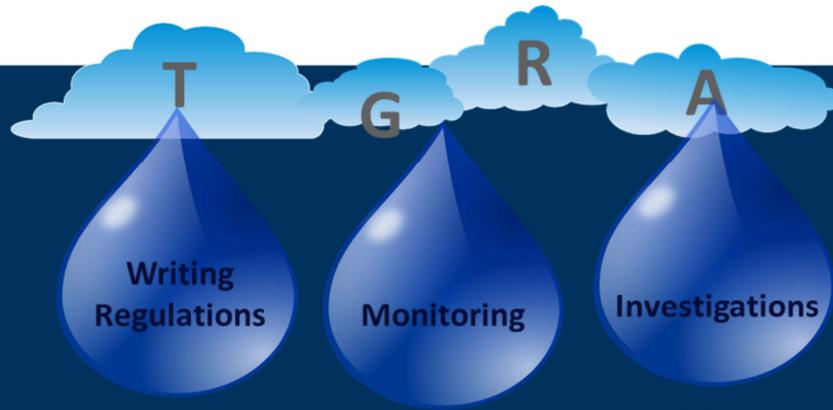
### KEY POINTS:

- Overarching goal of TGRA/Commission Gaming Regulation: ensure that all gaming within a Tribe's jurisdiction operates in accordance with Tribal Laws and Regulations.
- In order to maintain objectivity and independence the TGRA should be both politically and personally separated from tribal politics and operations.
- Best Practice to have an Ethics Policy.

### My Notes:



## Regulating Gaming Mandate



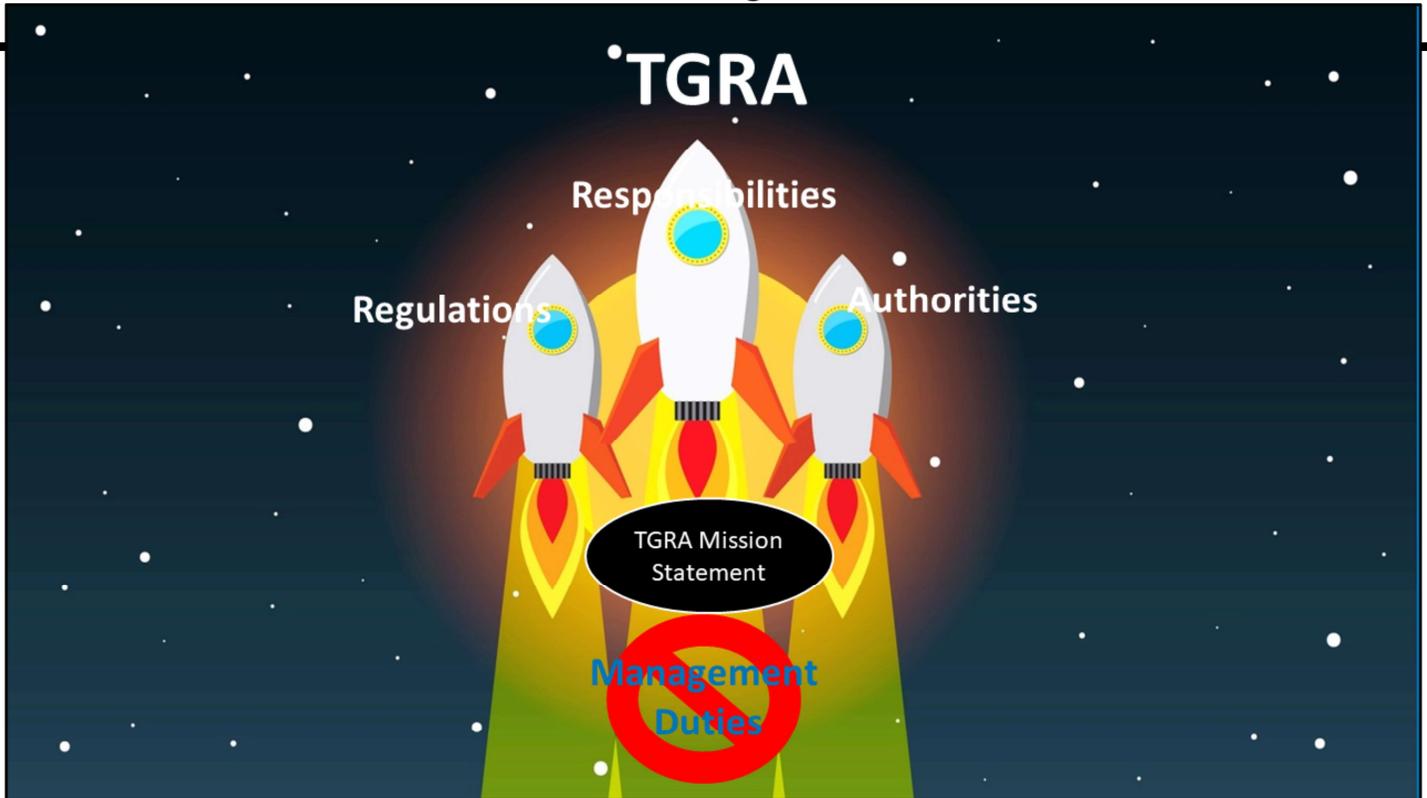
Regulatory Bucket

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### KEY POINTS:

- The TGRA has authority in regulating gaming
- Cabazon reaffirmed the Tribe's authority to regulate gaming
- The passing of IGRA provided some specific requirements and submissions
- The bulk of the responsibilities are left to the Tribe

### My Notes:



**KEY POINTS:**

TGRA's do not manage the facility, their job is to make sure that the facility operates within Tribal, Federal laws and if applicable within the regulations set forth in the State Compact.

**Ask yourself:** How does each task or TGRA responsibility help meet your regulatory mission and organizational goals?

**My Notes:**

# Questions



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**Key Points:**

Thank you for joining us today.

If you have any questions or comments please send them to [TRAININGINFO@nigc.gov](mailto:TRAININGINFO@nigc.gov)

**My Notes:**