Over twenty five years ago Congress adopted the Indian Gaming Regulatory Act (IGRA) to provide a statutory basis for gaming by Indian tribes. The National Indian Gaming Commission (NIGC) was created by IGRA to regulate gaming activities conducted by sovereign Indian tribes on Indian lands. The mission of the NIGC is to fully realize IGRA’s goals of: (1) promoting tribal economic development, self-sufficiency and strong tribal governments; (2) maintaining the integrity of the Indian gaming industry; and (3) ensuring that tribes are the primary beneficiaries of their gaming activities. One of the primary ways the NIGC does this is by providing training and technical assistance to Indian tribes and their gaming regulators.

The Commission is intently focused on (1) protecting against anything that amounts to gamesmanship on the backs of tribes, (2) developing effective rural outreach to gaming establishments in rural areas, (3) staying ahead of the technology curve, and (4) supporting a strong workforce both within NIGC and among our regulatory partners.

A properly trained and informed workforce is the most successful key to regulation and the assurance of compliance. Focused, targeted and responsive training and technical assistance programs provide a foundation that maintains the integrity and success of Indian gaming.

INTRODUCTION

Welcome to the course catalog for the National Indian Gaming Commission (NIGC). The NIGC serves the Indian gaming community, offering a variety of training courses and technical assistance to help build skills of the industry’s dedicated employee’s, regulators and tribal governments in their need to function effectively in gaming endeavors as they strive to maintain regulatory compliance.

The NIGC serves tribal entities in a vast number of professional disciplines, in pre-existing courses designed to focus on routine and on-going needs, as well as flexible, targeted technical assistance to
address critical emergent issues. Instruction is offered at the following user levels, Audit, Compliance, Technology and General Counsel. Participants attend NIGC courses with the basic skills of their profession and learn how to apply them in the context of gaming regulatory preparedness and compliance. NIGC courses can be requested either through the region offices or by visiting our website at www.nigc.gov and filling out a training request form and submitting to the training department. Delivery of training can be done through Site Specific Training request, which are trainings requested by a tribe to meet the individual needs of its Tribal government, gaming commission, regulators and operators. These requests can be fulfilled in person at the requestor(s) Tribe or facility or through live video-conferencing done through webinar based training.

Throughout this NIGC Training Catalog, there is valuable information about NIGC training courses, including how to schedule and attend courses, as well as requesting technical assistance. As new courses become available, NIGC will continue to update this catalog to provide the most up-to-date information to the Indian gaming community.

TRAINING SERVICES

Regular training courses are offered regionally throughout the country every year. Each Region sponsors a Regulating Gaming Technology (RGT) Course and at least one Regional Training Course (RTC). Each of these course offerings are comprised of multiple topics and sessions, with area specific offerings and focus on regional and national issues and concerns.

Customized courses based on one or more of the topics in the course list can be organized upon request within each region. They may be held either at the tribal facility or in the regional offices of NIGC. In some circumstances they can also be held at an independent facility to accommodate larger audience needs. The duration and content of the courses can be customized according to the needs of the requester, including omission or expansion of topics according to the specific requirements of the participants.

To request customized training, simply contact your regional office and they will work with you and begin the scheduling and planning process.

COURSE CATEGORIES

The NIGC offers courses based on each of the major divisions which include Audit, Compliance, Information Technology and Office of General Counsel to accommodate different needs and job functions of the Indian gaming community. All of the courses are open to anyone who is interested in a particular topic or content area.

Our instructor-led training curriculum provides a broad foundation for you to learn and immediately apply recommended workflows and processes to create, share and use NIGC regulations and resources to help achieve compliance. Courses will help you enhance the use of new technology; be more productive; and more easily share and collaborate with colleagues, decision makers, and the general public.
CONTINUOUS IMPROVEMENT AND FEEDBACK

Our continued success is highly dependent on our customer feedback. We continually strive to improve training opportunities and use customer feedback to help meet that goal. We value customer participation and suggestions. Instructors distribute course evaluation surveys at every session. Please complete and return these forms so that we can continue to improve our service.
TRAINING ANNOUNCEMENTS

Online registration for classes opens at [www.nigc.gov/Technical_Assistance_and_Training](http://www.nigc.gov/Technical_Assistance_and_Training) approximately three months before each course.

Enjoy the convenience and flexibility of registering online, or at the registration table on the date of event. All participants who successfully register online are assured a seat in the training event, with adequate materials available.

Early registration is recommended to ensure there is sufficient space, as most of the venues have a limit to the number of participants who can attend.

CLASS SCHEDULE

Most classroom courses start at 9 a.m., with the exception of some classes as noted in the course description. Registration/sign-in usually takes place an hour before the class starts.

DRESS CODE

The dress code is business casual for all training events. The temperature in meeting rooms varies; therefore, for individual comfort, it is recommended that participants bring adequate clothing.

NO REGISTRATION FEES

Training is free for all attendees who work for a tribal gaming facility or tribe in some capacity of gaming and for others who are eligible to attend NIGC training. The only expenses are travel and lodging for instructor-led classroom courses.

CERTIFICATES OF COMPLETION

Personalized Certificates of Completion are provided to participants who attend the class. Participants who pre-register receive their certificates the last day of the class, while most participants who register at the event usually receive their certificate by email after the class.

UP TO DATE/RELEVANT INFORMATION

All NIGC training is based off of existing laws, regulations, processes and procedures, best practices and industry norms, which are current and meet regulatory standards nationwide. The courses are conducted by experienced and knowledgeable staff and are regularly updated for relevancy.
**REGIONAL CONTACT INFORMATION**

The NIGC is headquartered in Washington, D.C. and has regional offices in Phoenix, AZ, Sacramento, CA, Oklahoma City, OK, Tulsa, OK, Portland, OR, and St. Paul, MN, with satellite locations in Rapid City, SD, and Temecula, CA. The regional directors and staff are the main NIGC contacts for technical assistance and training requests.

National Indian Gaming Commission Headquarters


<table>
<thead>
<tr>
<th>Location</th>
<th>Address</th>
<th>Phone</th>
<th>Fax</th>
</tr>
</thead>
<tbody>
<tr>
<td>Oklahoma City Regional Office</td>
<td>215 Dean A. McGee Ave. Suite 218</td>
<td>(405) 609-8626</td>
<td>(405) 609-8658</td>
</tr>
<tr>
<td></td>
<td>Oklahoma City, OK 73102</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Phone: (405) 609-8626</td>
<td>(405) 609-8658</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Fax: (405) 609-8658</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sacramento Regional Office</td>
<td>801 I Street, Suite 489</td>
<td>(916) 414-2300</td>
<td>(916) 414-2310</td>
</tr>
<tr>
<td></td>
<td>Sacramento, CA 95814</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Phone: (916) 414-2300</td>
<td>(916) 414-2310</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Fax: (916) 414-2310</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phoenix Regional Office</td>
<td>3636 North Central Avenue</td>
<td>(602) 640-2951</td>
<td>(602) 640-2952</td>
</tr>
<tr>
<td></td>
<td>One Columbus Ave, Suite 880</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Phoenix, AZ 85012</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Phone: (602) 640-2951</td>
<td>(602) 640-2952</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Fax: (602) 640-2952</td>
<td></td>
<td></td>
</tr>
<tr>
<td>St. Paul Regional Office</td>
<td>380 Jackson Street, Suite 420</td>
<td>(651) 290-4004</td>
<td>(651) 290-4006</td>
</tr>
<tr>
<td></td>
<td>St. Paul, MN 55101</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Phone: (651) 290-4004</td>
<td>(651) 290-4006</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Fax: (651) 290-4006</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Portland Regional Office</td>
<td>Gus Solomon Building, Suite 212</td>
<td>(503) 326-5095</td>
<td>(503) 326-5092</td>
</tr>
<tr>
<td></td>
<td>620 SW Main Street</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Portland, OR 97205</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Phone: (503) 326-5095</td>
<td>(503) 326-5092</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Fax: (503) 326-5092</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Temecula Satellite Office</td>
<td>27708 Jefferson Ave., Suite 202</td>
<td>(951)-719-7149</td>
<td>(951)-375-2153</td>
</tr>
<tr>
<td></td>
<td>Temecula, CA 92590</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Phone: (951)-719-7149</td>
<td>(951)-375-2153</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Alt. Phone: (951)-375-2153</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tulsa Regional Office</td>
<td>224 South Boulder, Room 301</td>
<td>(918) 581-7924</td>
<td>(918) 581-7933</td>
</tr>
<tr>
<td></td>
<td>Tulsa, OK 74103</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Phone: (918) 581-7924</td>
<td>(918) 581-7933</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Fax: (918) 581-7933</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Rapid City Satellite Office

<table>
<thead>
<tr>
<th>Location</th>
<th>Address</th>
<th>Phone</th>
<th>Fax</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>405 East Omaha Street, Suite A</td>
<td>(605) 718-5724</td>
<td>(605) 718-5716</td>
</tr>
<tr>
<td></td>
<td>Rapid City, SD 57701</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Phone: (605) 718-5724</td>
<td>(605) 718-5716</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Fax: (605) 718-5716</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
The training team provides learning opportunities to tribal gaming employee’s and other partners that share in the mission of Indian gaming. In addition to the classroom training, workshops and national seminars, the NIGC training section monitors and compiles training information and analytics on a national level.

The training section is located at the NIGC headquarters in Washington D.C. and the Phoenix Regional Office. The team includes:

Steven Brewer - Steven_Brewer@nigc.gov
Training Manager: Leads the training section and is responsible for program needs assessment, curriculum strategic development, on-site workshops and instructional solutions requests, annual training schedule and catalog development.

Kirian Fixico - Kirian_Fixico@nigc.gov
Training Coordinator: Manages all logistics for training events; administers the participant and class records management and reporting, and instructor support, training materials and reporting.

Leslie Wallington - Leslie_Wallington@nigc.gov
Instructional Systems Specialist: Provides support in the design, development, implementation and technological support for current and new courses to include instructor led training and online learning.
<table>
<thead>
<tr>
<th>Course Number</th>
<th>Course Name</th>
<th>Course Provider</th>
<th>Course Provider</th>
<th>Course Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>AUD-100</td>
<td>Value of Internal Control Systems</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>2</td>
</tr>
<tr>
<td>AUD-101</td>
<td>Agreed Upon Procedures Overview</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>3</td>
</tr>
<tr>
<td>AUD-102</td>
<td>Internal Audit Overview</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>4</td>
</tr>
<tr>
<td>AUD-103</td>
<td>Accounting Standards</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>5</td>
</tr>
<tr>
<td>AUD-104</td>
<td>Bingo</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>6</td>
</tr>
<tr>
<td>AUD-105</td>
<td>Pull Tabs</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>7</td>
</tr>
<tr>
<td>AUD-106</td>
<td>Card Games</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>8</td>
</tr>
<tr>
<td>AUD-107</td>
<td>Gaming Machines</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>9</td>
</tr>
<tr>
<td>AUD-108</td>
<td>Drop and Count Class II</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>10</td>
</tr>
<tr>
<td>AUD-109</td>
<td>Drop and Count Class III</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>11</td>
</tr>
<tr>
<td>AUD-110</td>
<td>Cage Class III</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>12</td>
</tr>
<tr>
<td>AUD-111</td>
<td>Table Games</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>13</td>
</tr>
<tr>
<td>AUD-112</td>
<td>Gaming Promotions, Player Tracking Systems and Complimentary Services</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>14</td>
</tr>
<tr>
<td>AUD-113</td>
<td>NIGC Fee Calculation</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>15</td>
</tr>
<tr>
<td>AUD-114</td>
<td>Minimum Bankroll Class III</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>16</td>
</tr>
<tr>
<td>AUD-115</td>
<td>Patron Deposit Accounts, Cashless Systems and Lines of Credit</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>17</td>
</tr>
<tr>
<td>AUD-116</td>
<td>Cage, Vault, Kiosk, Cash and Cash Equivalents Class II</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>18</td>
</tr>
<tr>
<td>AUD-117</td>
<td>Audit and Accounting Class II</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>19</td>
</tr>
<tr>
<td>AUD-118</td>
<td>Auditing Revenue Class II</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>20</td>
</tr>
<tr>
<td>AUD-119</td>
<td>Keno</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>21</td>
</tr>
<tr>
<td>AUD-120</td>
<td>Internal Audit: A to Z Approach</td>
<td>Audit Staff</td>
<td>RTC/TA</td>
<td>22</td>
</tr>
</tbody>
</table>
# INFORMATION TECHNOLOGY (IT)

<table>
<thead>
<tr>
<th>Course Number</th>
<th>Course Name</th>
<th>Course Provider</th>
<th>Course</th>
<th>Page #</th>
</tr>
</thead>
<tbody>
<tr>
<td>IT-100</td>
<td>Class II Gaming Systems</td>
<td>Training Staff</td>
<td>RGT</td>
<td>24</td>
</tr>
<tr>
<td>IT-101</td>
<td>Information Technology (IT) Overview</td>
<td>IT Audit Staff</td>
<td>RTC/TA</td>
<td>25</td>
</tr>
<tr>
<td>IT-102</td>
<td>NIGC Electronic Fingerprint Program</td>
<td>IT Fingerprint Staff</td>
<td>RTC/TA</td>
<td>26</td>
</tr>
<tr>
<td>IT-103</td>
<td>Understanding FBI Criminal History</td>
<td>IT Fingerprint Staff</td>
<td>RTC/TA</td>
<td>27</td>
</tr>
<tr>
<td>IT-104</td>
<td>Electronic Gaming Machines</td>
<td>Training Staff</td>
<td>RGT</td>
<td>28</td>
</tr>
<tr>
<td>IT-105</td>
<td>Class II Tech Standards (Part 547)</td>
<td>IT Audit Staff</td>
<td>RGT</td>
<td>29</td>
</tr>
<tr>
<td>IT-106</td>
<td>Associated Equipment and Peripherals</td>
<td>All Staff</td>
<td>RGT</td>
<td>30</td>
</tr>
<tr>
<td>IT-107</td>
<td>Gaming Forensics</td>
<td>IT Audit Staff</td>
<td>RGT</td>
<td>31</td>
</tr>
<tr>
<td>IT-108</td>
<td>IT Threats for Casinos</td>
<td>IT Audit Staff</td>
<td>RTC/TA</td>
<td>32</td>
</tr>
<tr>
<td>IT-109</td>
<td>Information Technology 543.20</td>
<td>IT Audit Staff</td>
<td>RGT</td>
<td>33</td>
</tr>
</tbody>
</table>

# OFFICE OF GENERAL COUNSEL (OGC)

<table>
<thead>
<tr>
<th>Course Number</th>
<th>Course Name</th>
<th>Course Provider</th>
<th>Course</th>
<th>Page #</th>
</tr>
</thead>
<tbody>
<tr>
<td>OGC-100</td>
<td>Introduction to the Indian Gaming Regulatory Act</td>
<td>OGC Staff &amp; Region Directors</td>
<td>Any</td>
<td>35</td>
</tr>
<tr>
<td>OGC-101</td>
<td>The Model Gaming Ordinance</td>
<td>OGC Staff</td>
<td>RTC/TA</td>
<td>36</td>
</tr>
<tr>
<td>OGC-102</td>
<td>NIGC Enforcement Actions</td>
<td>OGC Staff</td>
<td>RTC/TA</td>
<td>37</td>
</tr>
<tr>
<td>OGC-103</td>
<td>Obtaining Legal Opinions from the NIGC Office of General Counsel</td>
<td>OGC Staff</td>
<td>RTC/TA</td>
<td>38</td>
</tr>
<tr>
<td>OGC-104</td>
<td>The Requirements of IGRA and the Pitfalls of Non-Compliance</td>
<td>OGC Staff</td>
<td>RTC/TA</td>
<td>39</td>
</tr>
</tbody>
</table>
## COMPLIANCE (CMP)

<table>
<thead>
<tr>
<th>Course Number</th>
<th>Course Name</th>
<th>Course Provider</th>
<th>Page #</th>
</tr>
</thead>
<tbody>
<tr>
<td>CMP-100</td>
<td>Introduction to NIGC</td>
<td>All Staff</td>
<td>41</td>
</tr>
<tr>
<td>CMP-101</td>
<td>Introduction to Part 518 Self-Regulation</td>
<td>All Staff</td>
<td>42</td>
</tr>
<tr>
<td>CMP-102</td>
<td>Surveillance</td>
<td>Compliance Staff</td>
<td>43</td>
</tr>
<tr>
<td>CMP-103</td>
<td>Resources for Tribal Gaming Regulatory Authorities</td>
<td>Region Staff</td>
<td>44</td>
</tr>
<tr>
<td>CMP-104</td>
<td>Tribal Gaming Commissioners Duties and Responsibilities</td>
<td>Region Staff</td>
<td>45</td>
</tr>
<tr>
<td>CMP-105</td>
<td>Tribal Background Investigations and Licensing</td>
<td>Region Staff/OGC</td>
<td>46</td>
</tr>
<tr>
<td>CMP-106</td>
<td>Gamesmanship</td>
<td>Region Staff</td>
<td>47</td>
</tr>
<tr>
<td>CMP-107</td>
<td>TICS/SICS Development Workshop</td>
<td>Region Staff</td>
<td>48</td>
</tr>
</tbody>
</table>

## TECHNICAL ASSISTANCE SERVICE (TAS)

<table>
<thead>
<tr>
<th>Course Number</th>
<th>Course Name</th>
<th>Course Provider</th>
<th>Page #</th>
</tr>
</thead>
<tbody>
<tr>
<td>TAS-100</td>
<td>IAR – Internal Audit Review</td>
<td>Audit</td>
<td>50</td>
</tr>
<tr>
<td>TAS-101</td>
<td>ICA – Internal Control Assessment</td>
<td>Compliance</td>
<td>50</td>
</tr>
<tr>
<td>TAS-102</td>
<td>ITVA – IT Vulnerability Assessment</td>
<td>IT Auditors</td>
<td>51</td>
</tr>
</tbody>
</table>
AUDIT COURSES
Value of Internal Control Systems

AUD-100
Course Length: 1.0 hour

Course Provider: All Staff
Course Delivery: Residential Training/Technical Assistance

Course Description
Participants will be provided an overview of why the implementation of effective internal control systems is necessary to protect the interests of the stakeholders of a tribal gaming operation. We will discuss how internal controls help the gaming operation achieve its objectives, through preventive controls (separation of duties, passwords, authorization requirements, and physical safeguards); detective controls (output reviews, exception reports, reconciliations, physical inventories and audits); and directive controls (policy statements, performance guidelines, and training programs). Examples will be provided of how deficient internal control systems have contributed to errors, omissions, malfunctions and the misappropriation of assets occurring and going undetected. At the conclusion of the presentation, attendees will have an enhanced appreciation for the need for effective internal control systems consistent with the best practices of the gaming industry.

Course Objectives
At the end of this course, participants will be able to:

- Gain an understanding of a system of internal control
- Differentiate between types of internal controls
- Identify the components of an internal control system
- Understand management’s responsibilities related to internal controls

Target Audience
- Tribal Gaming Commissions Operations Staff
- Tribal Leadership
<table>
<thead>
<tr>
<th>Agreed Upon Procedures</th>
<th>AUD-101</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Overview</strong></td>
<td><strong>Course Length:</strong> 1.0 hour</td>
</tr>
</tbody>
</table>

**Course Provider:** Audit Staff  
**Course Delivery:** Residential Training/Technical Assistance  

**Course Description**  
Participants will be provided an overview of the benefits of engaging an independent Certified Public Accountant (CPA) to annually evaluate the system of internal controls. Professional standards governing attestation engagements will be generally reviewed. The MICS standards pertaining to the scope of responsibilities of the CPA in the performance of an Agreed-Upon Procedures (AUP) engagement will be highlighted, including suggested report format and cover letter. Finally, we will discuss how the NIGC uses the submitted AUP reports and analysis of the data. Attendees will better understand how the engagements are intended to benefit gaming operators and regulators.

**Course Objectives**  
At the end of this course, participants will be able to:  
- Have an understanding of the AUP  
- Have an understanding of the benefits of performing an AUP  
- Have an understanding of the difference between an AUP report and a management letter (SAS 114 & SAS 115)

**Target Audience**  
- Tribal Gaming Commissions  
- Operations Staff
<table>
<thead>
<tr>
<th><strong>Internal Audit Overview</strong></th>
<th><strong>AUD-102</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Provider:</strong> Audit Staff</td>
<td><strong>Course Length:</strong> 1.0 hour</td>
</tr>
<tr>
<td><strong>Course Delivery:</strong> Residential Training/Technical Assistance</td>
<td></td>
</tr>
</tbody>
</table>

**Course Description**
Participants will be provided an overview of the value of the internal audit process at an overview level. We will review the professional standards that guide the internal audit profession. Additional topics will include benefits of internal audit, independence, reporting structure and guidelines, and types of audits. The internal audit’s role in the organization’s risk management, control and governance processes will be highlighted. Attendees will gain an understanding of the internal audit function and how it provides value to the gaming enterprise.

**Course Objectives**
At the end of this course, participants will be able to:
- Have an understanding of the internal audit process
- Identify the differences between the internal audit and external audit
- Understand how internal audit provides value to the organizations objectives and goals
- Identify different types of audits that can be performed by internal audit

**Target Audience**
- Tribal Gaming Commissions
- Operations Staff
- Tribal Leadership
Accounting Standards

AUD-103
Course Length: 1.0 hour

Course Provider: Audit Staff

Course Delivery: Residential Training/Technical Assistance

Course Description
Participants will gain an understanding of the MICS specific to the accounting function. Topics will include, but not be limited to: general accounting records requirement, accounting procedures over the fiscal affairs of the organization, computation of gross gaming revenue (including currency controls, accounting for periodic payments, cash out tickets, and unpaid credit instruments), allowable and non-allowable deductions from gross revenue, and maintenance and preservation of records. Attendees will gain an enhanced understanding of the accounting controls for gaming operations.

Course Objectives
At the end of this course, participants will be able to:

- Gain an understanding of MICS 543 standards
- Identify required accounting record keeping
- Identify allowable and non-allowable deduction from gross revenue

Target Audience
- Tribal Gaming Commissions
- Operations Staff
<table>
<thead>
<tr>
<th><strong>Bingo</strong></th>
<th><strong>AUD-104</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Provider:</strong> Audit Staff</td>
<td><strong>Course Length:</strong> 2.0 hours</td>
</tr>
<tr>
<td><strong>Course Delivery:</strong> Residential Training/Technical Assistance</td>
<td></td>
</tr>
</tbody>
</table>

**Course Description**

Participants will discuss the MICS specific to the manual games of Bingo. Topics will include, but not be limited to: game play, inventory controls, fund accountability, statistical analysis of game performance, equipment standards, payouts (including promotional awards), and auditing requirements. Attendees will gain an enhanced understanding of the inherent risks associated with the games and how the MICS are intended to mitigate those risks.

**Course Objectives**

At the end of this course, participants will be able to:

- Gain an understanding of 25 CFR Part 543.8, MICS for Bingo
- Achieve an understanding of storage, issuance and inventory for Bingo stock
- Gain an awareness of the auditing procedures for manual draw Bingo
- Recognize statistical reporting and how it is used to evaluate game performance

**Target Audience**

- Tribal Gaming Commissions
- Operations Staff
## Pull Tabs

### AUD-105

**Course Provider:** Audit Staff  
**Course Delivery:** Residential Training/Technical Assistance

### Course Description

Participants will gain an understanding of the MICS specific to Pull Tabs. Topics will include, but not be limited to: game play, inventory controls, fund accountability, statistical analysis of the game performance, equipment standards, payouts (including promotional awards), and auditing requirements. Attendees will gain an enhanced understanding of the inherent risks associated with Pull Tabs and how the MICS are intended to mitigate those risks.

### Course Objectives

At the end of this course, participants will be able to:

- Gain an understanding of 25 CFR Part 543.9, MICS, standards
- Achieve an understanding of storage, issuance and inventory for Pull Tab stock
- Gain an awareness of the auditing procedures for Pull Tabs
- Become aware of statistical reporting and how it is used to evaluate game performance

### Target Audience

- Tribal Gaming Commissions
- Operations Staff
<table>
<thead>
<tr>
<th>Card Games</th>
<th>AUD-106</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Provider:</strong> Audit Staff</td>
<td><strong>Course Length:</strong> 1.0 hour</td>
</tr>
<tr>
<td><strong>Course Delivery:</strong> Residential Training/Technical Assistance</td>
<td></td>
</tr>
</tbody>
</table>

**Course Description**
Participants will gain an understanding of the MICS specific to card games. Topics will include, but not be limited to: game play, inventory controls, fund accountability, statistical analysis of the game performance, equipment standards, payouts (including promotional awards), and auditing requirements. Attendees will gain an enhanced understanding of the inherent risks associated with card games and how the MICS are intended to mitigate those risks.

**Course Objectives**
At the end of this course, participants will be able to:

- Gain an understanding of 25 CFR Part 543.10 MICS standards
- Achieve an understanding of storage, issuance, and inventory for card game stock
- Gain an awareness of the auditing procedures for card games
- Become aware of statistical reporting and how it is used to evaluate game performance

**Target Audience**
- Tribal Gaming Commissions
- Operations Staff
## Gaming Machines

<table>
<thead>
<tr>
<th>AUD-107</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course Length: 2.0 hours</td>
</tr>
</tbody>
</table>

**Course Provider:** Audit Staff  
**Course Delivery:** Residential Training/Technical Assistance

### Course Description
Participants will discuss the risks associated with critical processes of a gaming environment through a discussion of the MICS Audit Checklist for Gaming Machines. Emphasis will be on practical and relevant issues in auditing against the federal regulation of gaming machines, and the specifics surrounding Tribal Internal Control Standards (TICS), which may be more stringent that NIGC regulated MICS. This course provides a broad overview of gaming machines, the checklist used by NIGC to audit gaming machines and the various risks and considerations with gaming machines, and how the MICS are intended to mitigate those risks.

### Course Objectives
At the end of this course, participants will be able to:
- Recognize and be familiar with gaming machine requirements and checklists to better determine that the device or game functions in a manner consistent with the predetermined parameters
- Understand a variety of concepts relevant to the technical specifications of a gaming machine, server based game, server assisted game and remote access game
- Recognize specific internal control requirements to facilitate controls and decisions to ensure regulatory compliance
- Gain insight and understanding into a variety of issues and concerns with gaming machines, from security to infrastructure issues such as electric surges and problems

### Target Audience
- Tribal Gaming Commissions
- Operations Staff
<table>
<thead>
<tr>
<th>Course Provider: Audit Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course Delivery: Residential Training/Technical Assistance</td>
</tr>
</tbody>
</table>

**Course Description**

Participants will discuss 25 CFR part 543.17, MICS, specific to the drop and count process for Class II gaming. Topics will include, but not be limited to: Supervision, count room access, table games drop and count procedures, soft count personnel and count room inventory controls (including interim transfers), gaming machine drop and count procedures, key controls (including computerized systems), and emergency drop procedures. Also included is card games and player interface along with financial instrument storage. Attendees will gain an enhanced understanding of the inherent risks associated with the drop and count process and how the MICS are intended to mitigate those risks.

**Course Objectives**

At the end of this course, participants will be able to:

- Gain an understanding of 25 CFR part 543.17, MICS, standards as they pertain to best industry practices around drop and count
- Achieve an understanding of the drop and count processes
- Identify recommended documentation procedures for the count
- Become aware of proper key controls for the drop and count process

**Target Audience**

- Tribal Gaming Commissions
- Operations Staff
## Drop and Count - Class

<table>
<thead>
<tr>
<th>AUD-109</th>
<th>Course Length: 2.0 hours</th>
</tr>
</thead>
</table>

### Course Provider
Audit Staff

### Course Delivery
Residential Training/Technical Assistance

### Course Description
Participants will gain an understanding of the MICS specific to the drop and count process. Topics will include, but not be limited to: table games drop and count procedures, count room personnel and count room controls, gaming machine drop and count procedures, count standards, key control standards, and emergency drop and count procedures. Attendees will gain an enhanced understanding of the inherent risks associated with the drop and count process and how the MICS are intended to mitigate those risks.

### Course Objectives
At the end of this course, participants will be able to:
- Gain an understanding of suggested MICS 542 standards as they pertain to best industry practices
- Achieve an understanding of the drop and count processes
- Identify recommended documentation procedures for the count
- Become aware of proper key controls for the drop and count process

### Target Audience
- Tribal Gaming Commissions
- Operations Staff
## Cage - Class III

<table>
<thead>
<tr>
<th><strong>AUD-110</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Length:</strong> 1.0 hour</td>
</tr>
</tbody>
</table>

**Course Provider:** Audit Staff  
**Course Delivery:** Residential Training/Technical Assistance

### Course Description

Participants will gain an understanding of the suggested MICS specific to cage. Topics will include, but not be limited to: check cashing, customer deposits, safe deposit boxes, cage and vault accountability, chip and token standards, coupons, accounting/auditing standards and extraneous items. Attendees will gain an enhanced understanding of the inherent risks associated with the cage and how the MICS are intended to mitigate those risks.

### Course Objectives

At the end of this course, participants will be able to:

- Gain an understanding of MICS 542 standards as they pertain to best industry practices
- Achieve an understanding of recommended cage procedures
- Highlight the importance of documentation for the cage/vault accountability

### Target Audience

- Tribal Gaming Commissions
- Operations Staff
<table>
<thead>
<tr>
<th>Table Games</th>
<th>AUD-111</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Provider:</strong> Audit Staff</td>
<td><strong>Course Length:</strong> 2.0 hours</td>
</tr>
<tr>
<td><strong>Course Delivery:</strong> Residential Training/Technical Assistance</td>
<td></td>
</tr>
</tbody>
</table>

**Course Description**
Participants will gain an understanding of the suggested MICS specific to table games. Topics will include, but not be limited to: fills and credits, table inventory, computer generated documentation, cards and dice, statistical analysis of game performance, marker, and other forms of credit and accounting/auditing standards. Attendees will gain an enhanced understanding of the inherent risks associated with table games and how the suggested MICS are intended to mitigate those risks.

**Course Objectives**
At the end of this course, participants will be able to:
- Gain an understanding of the suggested MICS 542 standards as they pertain to best industry practices
- Achieve an understanding of (recommended procedures for Table Games)
- Become aware of statistical reporting and how it is used to evaluate game performance

**Target Audience**
- Tribal Gaming Commissions
- Operations Staff
## Gaming Promotions, Player Tracking Systems & Complimentary Services

| Course Provider: Audit Staff |
| Course Delivery: Residential Training/Technical Assistance |

### Course Description
Participants will discuss 25 CFR part 543.12, MICS, specific to the gaming promotions, player tracking and complimentary services. Topics will include, but not be limited to: supervision, gaming promotions, rules of play requirements, awards and prizes and rules of promotions, as well as variances and the TGRA responsibilities within these functions.

### Course Objectives
At the end of this course, participants will be able to:

- Gain an understanding of 25 CFR part 543.12, MICS, specific to gaming promotions, player tracking and complimentary services
- Gain an understanding of the TGRA requirements
- Identify, understand, and recognize risks and mitigations with respect to gaming promotions, player tracking and complimentary services

### Target Audience
- Tribal Gaming Commissions
- Operations Staff
# NIGC Fee Calculation

<table>
<thead>
<tr>
<th>Course Provider:</th>
<th>Audit Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course Delivery:</td>
<td>Residential Training/Technical Assistance</td>
</tr>
</tbody>
</table>

## Course Description
Participants will discuss the requirements of 25 CFR Part 514, Fees. The course will focus on the calculation of Assessable Gross Revenues. Emphasis will be placed on the components of Assessable Gross Revenues, such as what is included and not included as an amount wagered, classification of the amounts paid out as prizes, identifying allowable and non-allowable deductions from Gross Gaming Revenue, and the calculation for the allowance for structures. Discussions will also include the reconciliation of the fee worksheet to the audited financial statements. Attendees will acquire an enhanced level of understanding of the fee regulation.

## Course Objectives
At the end of this course, participants will be able to:

- Gain an understanding of 25 CFR part 514, Fees
- Identify the components of Assessable Gross Revenues
- Understand the reconciliation of the fee worksheet to the audited financial statements
- Recognize the submission requirements for NIGC Fees

## Target Audience
- Tribal Gaming Commissions
- Operations Staff
<table>
<thead>
<tr>
<th>Minimum Bankroll - Class III</th>
<th>AUD-114</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course Provider: Audit Staff</td>
<td></td>
</tr>
<tr>
<td>Course Delivery: Residential Training/Technical Assistance</td>
<td></td>
</tr>
</tbody>
</table>

**Course Description**

Participants will discuss MICS 543 requirements to prepare minimum bankroll calculations. Guidance will be provided based on the suggested NIGC Minimum Bankroll Formula. Consequences of an insufficient bankroll will be discussed. Attendees will gain an understanding of the need to maintain an adequate bankroll.

**Course Objectives**

At the end of this course, participants will be able to:

- Gain an understanding of the MICS requirements for Minimum Bankroll
- Recognize how gaming liabilities affect their required Minimum Bankroll
- Calculate the Minimum Bankroll requirements as part of a practical exercise

**Target Audience**

- Tribal Gaming Commissions
- Operations Staff
<table>
<thead>
<tr>
<th>Patron Deposit Accounts, Cashless Systems and Lines of Credit</th>
<th>AUD-115</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Course Length: 1.0 hour</td>
</tr>
</tbody>
</table>

**Course Provider:** Audit Staff

**Course Delivery:** Residential Training/Technical Assistance

**Course Description**

Participants will discuss 25 CFR part 543.14, MICS, specific to the patron deposit accounts, cashless systems and lines of credit. Topics will include, but not be limited to: supervision, smart cards and accounting requirements, patron deposit accounts, and lines of credit, as well as variances and the TGRA’s responsibilities within these functions.

**Course Objectives**

At the end of this course, participants will be able to:

- Gain an understanding of 25 CFR part 543.14, MICS, specific to patron deposit accounts, cashless systems and lines of credit
- Gain an understanding of the TGRA requirements
- Identify, understand, and recognize risks and mitigations with respect to patron deposit accounts, cashless systems and lines of credit

**Target Audience**

- Tribal Gaming Commissions
- Operations Staff
<table>
<thead>
<tr>
<th>Cage, Vault, Kiosk, Cash and Cash Equivalents - Class II</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>AUD-116</strong></td>
</tr>
<tr>
<td><strong>Course Length:</strong> 2.0 hours</td>
</tr>
</tbody>
</table>

**Course Provider:** Audit Staff  
**Course Delivery:** Residential Training/Technical Assistance

**Course Description**
Participants will discuss 25 CFR part 543.18, MICS, specific to the cage, vault, kiosk, cash and cash equivalents. Topics will include, but not be limited to: supervision, check cashing, cage and vault accountability, minimum bankroll, kiosks, patron deposited funds, chip(s) and token(s) vouchers, and cage and vault access.

**Course Objectives**
At the end of this course, participants will be able to:
- Gain an understanding of 25 CFR part 543.18, MICS, specific to cage, vault, kiosk, cash and cash equivalents
- Gain an understanding of the TGRA requirements
- Identify, understand, and recognize risks and mitigations with respect to cage, vault, kiosk, cash and cash equivalents

**Target Audience**
- Tribal Gaming Commissions
- Operations Staff
<table>
<thead>
<tr>
<th>Audit and Accounting</th>
<th>AUD-117</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Class II</td>
<td>Course Length: 2.0 hours</td>
</tr>
<tr>
<td><strong>Course Provider:</strong> Audit Staff</td>
<td></td>
</tr>
<tr>
<td><strong>Course Delivery:</strong> Residential Training/Technical Assistance</td>
<td></td>
</tr>
</tbody>
</table>

**Course Description**
Participants will discuss 25 CFR part 543.23, MICS, specific to audit and accounting for Class II facilities. Topics will include, but not be limited to: Promulgation of nationally recognized external standards, controls and procedures to safeguard assets through the accounting function, as it relates to all gaming areas covered within the remainder of part 543, independent auditor standards, audit reports, and annual requirements.

**Course Objectives**
At the end of this course, participants will be able to:
- Gain an understanding of 25 CFR part 543.23, MICS, specific to audit and accounting across part 543
- Gain a deeper understanding and appreciation for the audit function and capability to support and protect assets of the gaming tribe and understanding of the TGRA requirements respective to audit
- Identify, understand and recognize risks, and mitigations with respect to audit and accounting functions

**Target Audience**
- Tribal Gaming Commissions
- Operations Staff
### Auditing Revenue - Class II

<table>
<thead>
<tr>
<th>Course Provider:</th>
<th>Audit Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course Delivery:</td>
<td>Residential Training/Technical Assistance</td>
</tr>
</tbody>
</table>

#### Course Description
Participants will discuss 25 CFR part 543.24, MICS, specific to auditing revenue for Class II facilities. Topics will include, but not be limited to: supervision, independence requirements of auditors, and documentation requirements across the various cash relevant areas of 543.

#### Course Objectives
At the end of this course, participants will be able to:
- Gain an understanding of 25 CFR part 543.24, MICS, specific to auditing revenue for class II facilities
- Gain an understanding of the TGRA requirements
- Identify, understand and recognize risks, and mitigations with respect to auditing revenue

#### Target Audience
- Tribal Gaming Commissions
- Operations Staff
## Keno

<table>
<thead>
<tr>
<th>AUD-119</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course Provider: Audit Staff</td>
</tr>
<tr>
<td>Course Delivery: Residential Training/Technical Assistance</td>
</tr>
</tbody>
</table>

### Course Description
Participants will gain an understanding of Keno and discuss a variety of topic areas such as game play standards; equipment security; payout standards (including multi-race tickets and mail-in tickets); fund accountability; documentation; statistical analysis of the game; and auditing procedures.

### Course Objectives
At the end of this course, participants will be able to:

- Gain an understanding of MICS 542 standards as they pertain to best industry practices
- Identify differences between rabbit ear or wheel system and RNG’s
- Gain an awareness of the auditing procedures for Keno
- Become aware of statistical reporting and how it is used to evaluate game performance.

### Target Audience
- Tribal Gaming Commissions
- Operations Staff
# Internal Audit: A to Z Approach

**AUD-120**  
**Course Length:** 12.0 hours

| **Course Provider:** Audit Staff  
| **Course Delivery:** Residential Training/Technical Assistance |

## Course Description

Internal Audit is an integral component toward protecting the assets of the gaming operation by examining policies and procedures, testing internal controls and monitoring compliance with policies and regulations. The Internal Audit function can provide information to improve your operation’s internal controls. This is a 2-day course that will discuss the role internal audit plays along with the Tribal Gaming Regulatory Agency (TGRA) and Gaming Operation Management in the protection of assets. Additionally, the course will cover the importance of planning, testing, documenting and reporting of the internal audit work.

## Course Objectives

At the end of this course, participants will be able to:

- Understand the fundamentals of, ethics behind, regulations for and purpose of an internal audit
- Explain the different types of audits, audit schedule, program and policies and procedures related to audits
- Participate in practical exercises to sample and gather data, perform audit procedures, testing and exceptions, report writing, exit meetings and management responses, final reports and follow-up.

## Target Audience

- Tribal Gaming Commissions
- Operations Staff
- Tribal Leadership
# Class II Gaming Systems

**Course Provider:** Training Staff  
**Course Delivery:** Residential Training/Technical Assistance

## Course Description
Participants will gain a basic understanding of the layout and specifics of Class II gaming systems, the specific focus and rules around Class II, primary differences from Class III systems, various components, and other regulatory subject matter. A brief overview of Class II PAR sheets in various formats will also be given.

## Course Objectives
At the end of this course, participants will be able to:

- Identify various Class II manufacturers
- Recall Class II Bingo specifics with respect to regulatory focus
- Understand Class II system architecture
- Review current Class II systems
- Recognize typical differences: Class II vs. EGM
- Identify Class II PAR Sheet examples

## Target Audience
- Tribal Gaming Commissions
- Operations Staff
Information (IT) Technology Overview

Course Provider: IT Audit Staff
Course Delivery: Residential Training/Technical Assistance

Course Description
Participants will be provided an overview of the IT process in general terms. We will discuss IT terminology and processes, provide a general understanding of current IT MICS control objectives as well as common risk mitigating techniques. Additionally, we will touch on why the introduction of server based, server supported and remote gaming technologies will bring the IT process directly into the play of the games. Attendees will obtain an enhanced appreciation for the value of the IT department in today’s gaming environment and the likelihood of its importance increasing materially over the next few years.

Course Objectives
At the end of this course, participants will be able to:

- Gain an understanding of basic IT terminology
- Gain an understanding of current suggested IT MICS
- Identify and understand the differences in different server based gaming
- Gain an overall understanding of the value of IT in today’s gaming

Target Audience
- Tribal Gaming Commissions
- Operations Staff
### NIGC Electronic Fingerprint Program

**IT-102**  
Course Length: 1.0 hour

<table>
<thead>
<tr>
<th>Course Provider: IT Fingerprint Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course Delivery: Residential Training/Technical Assistance</td>
</tr>
</tbody>
</table>

#### Course Description

Participants will be provided with an overview of the processes and procedures for implementation, review, and submission of electronic fingerprints through the NIGC System and agreement with the FBI. Further, attendees will be exposed to the list of live scan vendors who have compliant devices to submit electronic fingerprints to NIGC, the resubmission process, submitting hard cards for processing, name search procedures and how the billing/invoice process is done.

#### Course Objectives

At the end of this course, participants will be able to:

- Identify the benefits of submitting electronic fingerprints
- Identify live scan vendors who have compliant devices
- Identify the process for submitting electronic fingerprints
- Identify the process for resubmitting fingerprints that were previously “invalid”
- Identify the process for submitting hard cards to NIGC to be processed
- Identify common error codes when submitting electronic fingerprints
- Identify the process for requesting a name search
- Identify the process of billing/invoice
- Identify the process for participating in submitting electronic fingerprints

#### Target Audience

- Tribal Gaming Commissions
- Operations Staff
# Understanding FBI Criminal History

**Course Provider:** IT Fingerprint Staff  
**Course Delivery:** Residential Training/Technical Assistance

## Course Description

Participants will be provided an overview of the processes and procedures for understanding, review, and action needed when receiving an FBI Criminal History Report for the purposes of hiring employees. Further, attendees will be exposed to types of Criminal History Record Information (CHRI) reports, the different FBI reports, how to read the information in the CHRI, expungements and sealed records and learning some abbreviations and terms.

## Course Objectives

At the end of this course, participants will be able to:

- Identify the three types of CHRI reports
- Identify how the CHRI is used not just for employment
- Identify the two types of FBI reports
- Identify the parts of a CHRI report and the content it provides
- Identify the difference between felonies, misdemeanors and infractions
- Identify the possible rulings/outcomes on a CHRI report
- Identify the difference between expungements and sealed records
- Identify the many abbreviations and terms to assist in reading a CHRI report

## Target Audience

- Tribal Gaming Commissions
- Operations Staff
**Electronic Gaming Machines**

<table>
<thead>
<tr>
<th>IT-104</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course Length: 4.0 hours</td>
</tr>
</tbody>
</table>

**Course Provider:** Training Staff  
**Course Delivery:** Residential Training/Technical Assistance

**Course Description**
Participants will gain a basic understanding of Electronic Gaming Machines (EGM), various components of EGMs and other regulatory subject matter. Further, attendees will be exposed to and gain understanding of a variety of EGM specifics such as Accounting/Event Meters, EGM Report Capabilities, PAR Sheet analysis, and Random Number Generators (RNG).

**Course Objectives**
At the end of this course, participants will be able to:

- Identify historical elements of EGM’s
- Identify technological changes and impacts on EGM’s
- Identify key differences in Class II and Class III machines
- Recall aspects of RNG information and machine math
- Identify key aspects of Percentage and Reel Sheets (PAR)

**Target Audience**

- Tribal Gaming Commissions
- Operations Staff
<table>
<thead>
<tr>
<th><strong>Class II Tech Standards (Part 547)</strong></th>
<th><strong>IT-105</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Provider:</strong> IT Audit Staff</td>
<td><strong>Course Length:</strong> 2.0 hours</td>
</tr>
<tr>
<td><strong>Course Delivery:</strong> Residential Training/Technical Assistance</td>
<td></td>
</tr>
</tbody>
</table>

**Course Description**

Participants will gain an understanding on the meaning and implementation of 25 CFR Part 547, Class II technical standards. Particular attention will be paid to reviewing the technology submission and certification process, procedural requirements, and significant technical issues and requirements.

**Course Objectives**

At the end of this course, participants will be able to:

- Identify historical elements and the intent of 547
- Identify the scope and process for 547
- Identify key requirements and aspects contained within 547
- Recall aspects on issues such as Grandfathering, Variances, Data Communication and downloading

**Target Audience**

- Tribal Gaming Commissions
- Operations Staff
<table>
<thead>
<tr>
<th>Course Provider:</th>
<th>All Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course Delivery:</td>
<td>Residential Training/Technical Assistance</td>
</tr>
</tbody>
</table>

**Course Description**

Participants will gain an understanding and focus on common devices that are a part of the gaming floor, but generally not considered gaming devices themselves.

Equipment discussed will include; computerized casino accounting systems, kiosks, bill acceptors, ticket printers, and others.

**Course Objectives**

At the end of this course, participants will be able to:

- Identify equipment classified as Associated Equipment
- Identify the regulatory problems encountered with associated equipment
- Recall specific items of focus

**Target Audience**

- Tribal Gaming Commissions
- Operations Staff
**Gaming Forensics**

<table>
<thead>
<tr>
<th>Course Provider: IT Audit Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course Delivery: Residential Training/Technical Assistance</td>
</tr>
</tbody>
</table>

**Course Description**

Participants will gain an understanding and focus on forensics and the very real results of a lack of efforts and controls. The course will explore various strategies, best practices, and other guidelines available for regulators and other tribal gaming personnel in dealing with equipment malfunctions and thefts, proper handling of malfunctions and system errors resulting in a forensic, proper evidence control and a variety of useful processes to help create policy. Participants will work through an exercise, in which an actual forensic is identified and proper processes discussed and worked through.

**Course Objectives**

At the end of this course, participants will be able to:

- Identify potential forensics in gaming and the process for dealing with them effectively
- Identify the importance of and process for forensic investigation in gaming
- Recall the process for establishing a forensic plan of action
- Identify the elements of the first responder team and its importance

**Target Audience**

- Tribal Gaming Commissions
- Operations Staff
<table>
<thead>
<tr>
<th><strong>IT Threats for Casinos</strong></th>
<th><strong>IT-108</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Course Length: 2.0 hours</td>
</tr>
</tbody>
</table>

**Course Provider:** IT Audit Staff  
**Course Delivery:** Residential Training/Technical Assistance

**Course Description**
Participants will gain an understanding into the reality that the greatest threats to casino security are not from external game cheats, or internal theft, but from vulnerable IT systems in which determined thieves can gain access to vulnerable systems and disrupt casino operations. This workshop provides information on how these threats are gaining access to the systems, and provides detailed mechanisms to combat the threats, along with a working toolkit for identifying and responding to IT issues and concerns.

**Course Objectives**
At the end of this course, participants will be able to:

- Gain an understanding of current IT threats to casino systems
- Gain an understanding of the need for protecting wireless systems
- Identify points of potential security vulnerability inside an operation
- Gain an understanding of how to prevent and combat IT threats

**Target Audience**
- Tribal Gaming Commissions
- Operations Staff
### Information Technology Courses

<table>
<thead>
<tr>
<th>Course Provider: IT Audit Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course Delivery: Residential Training/Technical Assistance</td>
</tr>
</tbody>
</table>

### Course Description

Participants will discuss the suggested MICS specific to the IT process. Topics will include, but not be limited to: physical access and maintenance controls, system parameters, user/service/default accounts, administrative access, backups and record keeping (including electronic storage), network security (including remote access), changes to production environment, and the IT department and in-house developed and purchased systems. Case studies will be reviewed based on the experience of the Audit Division of how deficient internal control systems have contributed to the occurrence of irregularities. Attendees will gain an enhanced understanding of the vulnerabilities associated with IT and how the MICS are intended to mitigate those risks.

### Course Objectives

At the end of this course, participants will be able to:

- Gain a deep understanding of IT functions specific to gaming systems and controls
- Gain an understanding of the suggested IT MICS and standards
- Identify, understand, and recognize different systems in server based gaming
- Recognize and expand processes to utilize the value of IT in today's gaming

### Target Audience

- Tribal Gaming Commissions
- Operations Staff
OFFICE OF GENERAL COUNSEL
(OGC) COURSES
# Introduction to the Indian Gaming Regulatory Act

**OGC-100**  
Course Length: 1.0 hour

<table>
<thead>
<tr>
<th>Course Provider: OGC Staff/Region Directors</th>
<th>OGC-100</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course Delivery: Residential Training/Technical Assistance</td>
<td></td>
</tr>
</tbody>
</table>

## Course Description

The Course will give participants an overview of IGRA’s requirements. It will also identify the steps a tribe must take before opening a gaming operation and the federal approvals that must be in place. Participants will learn about the history of IGRA and the respective regulatory roles it created for tribes, the NIGC and even states (Class III gaming only). They will learn about the NIGC’s structure, mission, authority and responsibilities under IGRA. They will be introduced to some best practices for ensuring strong, effective regulation. They will learn that the NIGC recommends that tribes create their own gaming regulatory commissions, although not required to do so by IGRA, and also encourages tribes to adopt their own gaming regulations to address any regulatory needs not covered by IGRA.

## Course Objectives

At the end of this course, participants will be able to:

- Basic requirements of IGRA
- Steps a tribe needs to take before it can start gaming under IGRA
- Federal approvals that must be obtained before gaming can be conducted under IGRA
- History of IGRA, its three primary purposes and the regulatory role it created for tribes
- Structure and regulatory role of the NIGC under IGRA
- Recommended best regulatory practices

## Target Audience

- New Tribal Gaming Commissioners
- New Tribal Gaming Officers
- New Tribal Gaming Operations’ Managers & Staff
- Tribal Attorneys
- Tribal Councils
<table>
<thead>
<tr>
<th><strong>The Model Gaming Ordinance</strong></th>
<th><strong>OGC-101</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Provider:</strong> OGC Staff</td>
<td><strong>Course Length:</strong> 2.0 hours</td>
</tr>
<tr>
<td><strong>Course Delivery:</strong> Residential Training/Technical Assistance</td>
<td></td>
</tr>
</tbody>
</table>

**Course Description**
Participants will be provided information and guidance as IGRA requires tribal gaming ordinances and amendments be approved by the Chair of the NIGC. The NIGC recently adopted and implemented a number of changes to its regulations which must be incorporated in any new tribal gaming ordinance or amendment before it can be approved by the Chair. NIGC has recently updated its Model Gaming Ordinance to incorporate these changes as well as best practices.

**Course Objectives**
At the end of this course, participants will be able to:

- Identify required provisions of a tribal gaming ordinance
- Identify the process for submitting an ordinance for approval

**Target Audience**
- Tribal Gaming Officers
- Operations’ Staff
<table>
<thead>
<tr>
<th><strong>NIGC Enforcement Actions</strong></th>
<th><strong>OGC-102</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Provider:</strong> OGC Staff</td>
<td><strong>Course Length:</strong> 2.0 hours</td>
</tr>
<tr>
<td><strong>Course Delivery:</strong> Residential Training/Technical Assistance</td>
<td></td>
</tr>
</tbody>
</table>

**Course Description**
Participants will be capable of identifying potential violations of the IGRA. The course can be tailored to fit specific needs. Topics of focus can include the following violations: Class III gaming without an approved compact; managing without an approved contract; net revenue uses, including violations of existing revenue allocation plans or net revenue allocation to members without the benefit of a revenue allocation plan; sole proprietary interest; MICS; background investigations; and audit and fee submissions.

**Course Objectives**
At the end of this course, participants will be able to:
- Identify IGRA violations
- Identify NIGC enforcement process
- Identify appeal rights and procedures

**Target Audience**
- Tribal Gaming Commissions
- Operations Staff
<table>
<thead>
<tr>
<th>Obtaining Legal Opinions from the NIGC Office of General Counsel</th>
</tr>
</thead>
<tbody>
<tr>
<td>OGC-103</td>
</tr>
<tr>
<td>Course Length: 2.0 hours</td>
</tr>
</tbody>
</table>

**Course Provider:** OGC Staff

**Course Delivery:** Residential Training/Technical Assistance

**Course Description**

From time to time, the NIGC Office of General Counsel (OGC) is asked to give its opinion on certain discrete legal questions from the gaming industry or other interested parties. The overwhelming majority of these requests seek the General Counsel’s legal opinion that an agreement is not a management contract requiring the approval of the NIGC Chair and does not violate IGRA’s sole proprietary interest mandate. Such legal opinions are more commonly referred to as “declination letters”. Less frequently, the OGC also receives requests for legal opinions on other matters, such as whether certain lands are Indian lands eligible for gaming under IGRA or whether a specific game is considered class II or class III gaming.

**Course Objectives**

At the end of this course, participants will be able to:

- Identify the types of legal opinions provided by the OGC
- Identify the process for obtaining a legal opinion

**Target Audience**

- Tribal Gaming Commissions Operations Staff
- Tribal Attorney’s
# The Requirements of IGRA & the Pitfalls of Non-Compliance

**OGC-104**  
Course Length: 2.0 hours

<table>
<thead>
<tr>
<th>Course Provider: OGC Staff/Region Directors</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Delivery:</strong> Residential Training/Technical Assistance</td>
</tr>
</tbody>
</table>

## Course Description

Participants will learn how to avoid enforcement actions through compliance. The Course will give participants an overview of the requirements of IGRA and how non-compliance with one or more of these requirements can be a violation of IGRA.

Participants will learn what happens when an IGRA violation is identified by the NIGC. The Course provides an overview of the NIGC’s enforcement process; the remedies available to the NIGC for a violation of IGRA; and the steps that can be taken by a tribe or 3rd party to overcome an IGRA violation and avoid an enforcement action.

## Course Objectives

At the end of this course, participants will be able to:

- Understand how to identify a potential IGRA violation and avoid an NIGC enforcement action
- Understand the NIGC enforcement process
- Learn about Letters of Concern and Notices of Violation
- Know the remedies available to the NIGC for an IGRA violation
- Understand the appeals process and how to challenge an enforcement action

## Target Audience

- Tribal Attorneys
- Tribal Gaming Commissioners & Compliance Officers
- Tribal Gaming Commission Compliance Officers
- Tribal Gaming Operations Managers & Staff
COMPLIANCE COURSES
<table>
<thead>
<tr>
<th>Introduction to NIGC</th>
<th>CMP-100</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Provider:</strong> All Staff</td>
<td><strong>Course Length:</strong> 1.0 hour</td>
</tr>
<tr>
<td><strong>Course Delivery:</strong> Residential Training/Technical Assistance</td>
<td></td>
</tr>
</tbody>
</table>

**Course Description**
Participants will be exposed to the basic aspects of what the NIGC is, its regulatory creation and duty, make-up and responsibilities. They will discuss the implications of processes and procedures of the NIGC, as well as recent regulatory changes and those upcoming in the near future. Through interactive lecture, participants will be able to ask questions, explore areas for deeper knowledge transfer and gain opportunities for future development.

**Course Objectives**
At the end of this course, participants will be able to:
- Identify key elements of NIGC
- Recall aspects of NIGC’s regulatory creation
- Identify key elements of NIGC’s make-up and authority

**Target Audience**
- Tribal Gaming Commissioners
- Operations Staff
## Introduction to Part 518 Self-Regulation

<table>
<thead>
<tr>
<th>Course Provider: All Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Delivery:</strong> Residential Training/Technical Assistance</td>
</tr>
</tbody>
</table>

### Course Description
Participants will be provided an overview of the process and procedures for implementation of, review, and approval of Self-Regulation requests from tribes under the new guidelines in 25 CFR sections 518, which became effective September 1, 2013.

### Course Objectives
At the end of this course, participants will be able to:

- Identify the reasons for applying for self-regulation of Class II Gaming
- Recall the process and procedures for applying for self-regulation
- Understand the requirements and time frames associated with 518
- Recognize the benefits of a successful process

### Target Audience
- Tribal Gaming Commissioners
- Operations Staff
<table>
<thead>
<tr>
<th>Surveillance</th>
<th>CMP-102</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Provider:</strong> Compliance Staff</td>
<td><strong>Course Length:</strong> 1.0 hour</td>
</tr>
<tr>
<td><strong>Course Delivery:</strong> Residential Training/Technical Assistance</td>
<td></td>
</tr>
</tbody>
</table>

**Course Description**

Participants will be provided instruction that will review surveillance requirements in a gaming environment. The instruction will also cover the MICS surveillance checklist.

**Course Objectives**

At the end of this course, participants will be able to:

- Identify Surveillance MICS requirements that require TGRA action or notification
- Discuss methods to improve cooperation
- Discuss Surveillance reports for monitoring regulatory compliance and identifying potential threats to assets
- Review case studies and current crime trends that demonstrate how deficient internal controls contributed to the occurrence of irregularities

**Target Audience**

- Tribal Gaming Commissioners
- Operations Staff
# CMP-103

**Resources for Tribal Gaming Regulatory Authorities**

<table>
<thead>
<tr>
<th>Course Provider:</th>
<th>All Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Delivery:</strong></td>
<td>Residential Training/Technical Assistance</td>
</tr>
</tbody>
</table>

### Course Description
Participants will be provided information and guidance to instruct gaming commissioners (and prospective commissioners) on commission duties and responsibilities including the role of ethics, auditing, internal control standards, file security, background investigation and licensing per IGRA. The course will also focus on the relationships between the commission and the tribal council, casino management, auditing staff, local criminal justice agencies and the NIGC. Tribal Council members, other tribal government officials and casino management are highly encouraged to attend together in order for the government officials to fully understand the authority placed in the gaming commissioners and to promote successful working relationships between all entities in a tribal gaming operation.

### Course Objectives
At the end of this course, participants will be able to:

- Recognize and respond to regulatory challenges
- Understand and meet compliance requirements for game certification
- Recognize and ensure proper processes for approval of installations and modifications for games are in place
- Understand and implement processes and procedures for field inspections
- Procedures for remote access and compliance
- Recognize and use jurisdictional relationships
- Understand and benefit from peer jurisdictions in gaming
- Recognize the benefit of regulatory symposiums
- Understand the importance of manufacturer’s bulletins

### Target Audience
- Tribal Gaming Commissioners
- Operations Staff
# Tribal Gaming Commissioners Duties and Responsibilities

**CMP-104**

**Course Length:** 4.0 hours

<table>
<thead>
<tr>
<th>Course Provider:</th>
<th>Region Staff</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Delivery:</strong></td>
<td>Residential Training/Technical Assistance</td>
</tr>
</tbody>
</table>

## Course Description

This course is designed to instruct gaming commissioners (and prospective commissioners) on commission duties and responsibilities including the role of ethics, auditing, internal control standards, file security, background investigation and licensing per IGRA. The course will also focus on the relationships between the commission and the tribal council, casino management, auditing staff, local criminal justice agencies and the NIGC. Tribal Council members and other tribal government officials and casino management are highly encouraged to attend together in order for the government officials to fully understand the authority placed in the gaming commissioners and to promote successful working relationships between all entities in a tribal gaming operation.

## Course Objectives

At the end of this course, participants will be able to:

- Understand the basic tenants of the IGRA and its impact and function for Indian gaming and TGRA’s
- Recognize NIGC’s authority in regulatory matters
- Understand TGRA responsibilities with respect to submissions and dealings with the NIGC
- Recognize the role of the NIGC with respect to Indian gaming
- Implement best practice processes and procedures when restructuring a gaming commission
- Recognize the role of the gaming commission
- Understand and be capable of implementing the roles and responsibilities of a TGRA
- Recognize best practices in model TGRA development
- Apply effective oversight of gaming operations as a functioning TGRA

## Target Audience

- Tribal Gaming Commissioners
- Operations Staff
<table>
<thead>
<tr>
<th><strong>Tribal Background Investigations &amp; Licensing</strong></th>
<th><strong>CMP-105</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Provider:</strong> Region Staff /OGC</td>
<td><strong>Course Length:</strong> 2.0 hours</td>
</tr>
<tr>
<td><strong>Course Delivery:</strong> Residential Training/Technical Assistance</td>
<td></td>
</tr>
</tbody>
</table>

**Course Description**
This course is offered to gaming commissioners, background investigators and other licensing staff and covers those sections of IGRA related to the background investigation and licensing processes of key employees and primary management officials.

**Course Objectives**
At the end of this course, participants will be able to:

- Understand the basic tenants of the Indian Gaming Regulatory Act (IGRA) and NIGC policy with respect to background investigations and licensing
- Recognize NIGC regulatory requirements for the licensing and background investigations of key employees and primary management officials
- Understand the background and licensing process as outlined in 25 CFR parts 556 and 558
- Recognize specific requirements to be in regulatory compliance with sections requiring action in 556
- Understand specific processes for gaming license actions
- Demonstrate critical reporting capability in first and second submissions of Notice of Results (NOR)
- Recognize NIGC response mechanisms and actions
- Understand and respond to specific eligibility issues, concerns and actions

**Target Audience**
- Tribal Gaming Commissioners
- Operations Staff
<table>
<thead>
<tr>
<th>Gamesmanship</th>
<th>CMP-106</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Provider:</strong> All Staff</td>
<td><strong>Course Length:</strong> 1.0 hour</td>
</tr>
<tr>
<td><strong>Course Delivery:</strong> Residential Training/Technical Assistance</td>
<td></td>
</tr>
</tbody>
</table>

**Course Description**

The focus of this course is to provide TGRAs with tools to determine if Gamesmanship is occurring, to identify additional steps to be taken and documents to request, and to understand what steps can be taken to prevent gamesmanship at their properties. Attendees will learn how to review their gaming ordinance and regulations to identify sections that provide the needed authority to request and review contracts and agreements for violations of the Indian Gaming Regulatory Act (IGRA).

**Course Objectives**

At the end of this course, participants will be able to:

- Review the IGRA
- Discuss the elements of gamesmanship
- Discuss three violations

**Target Audience**

- Tribal Gaming Commissioners
- Operations Staff
<table>
<thead>
<tr>
<th>TICS/SICS Development Workshop</th>
<th>CMP-107</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Course Provider:</strong> Compliance Staff</td>
<td><strong>Course Length:</strong> 12.0 hours</td>
</tr>
<tr>
<td><strong>Course Delivery:</strong> Residential Training/Technical Assistance</td>
<td><strong>2 Days</strong></td>
</tr>
</tbody>
</table>

**Course Description**
This course will discuss elements of control and how to recognize areas in the TICS and SICS where detailed procedures should be written so that there is a reasonable assurance that assets are protected. It includes application of the concepts through interactive activities that help participants internalize learning so they can apply what they learn upon return to their gaming facilities.

**Course Objectives**
At the end of this course, participants will be able to:
- Fraud and risk and how they apply to gaming operations
- Gaming regulations that are in place to safeguard against fraud
- Commonly used acronyms for the various levels of internal controls
- How to write internal controls for their specific operations

**Target Audience**
- Tribal Gaming Commissioners & Compliance Officers
- Tribal Gaming Operations Managers & Staff
TECHNICAL ASSISTANCE SERVICES
TAS – 100 Internal Audit Review

NIGC IAR (Internal Audit Review) testing is a comprehensive review of a tribal gaming’s Internal Audit function. The services will be performed by a team of NIGC auditors on-site who will conduct the IAR, in coordination with casino and tribal regulatory personnel. The assessment is an overall review to assist the Tribe in ensuring that the Internal Audit function is in compliance with the following standards. Training and technical assistant can be provided for the Internal Audit function, or recommendations can be made to assist in achieving compliance with the MICS and also with the Tribal SICS (System of Internal Controls).

25 CFR Part 542 (MICS) requires the gaming operation’s internal audit function to perform observations, document examinations and inquiries of employees to determine compliance with applicable minimum internal controls standards. The NIGC publishes recommended checklists, programs and guidelines for use in satisfying this regulatory requirement. The primary objective of these checklists, programs and guidelines is to provide guidance on what is necessary to comply with 25 CFR Part 542 (MICS). A secondary objective is to provide some consistency among internal audit departments and other individuals performing internal audit work by providing recommendations on standardizing the document examination sample sizes and the scope of the work to be performed. Standardization requirements ensure that all internal audit departments are performing a minimum amount of work and are performing the same required procedures. Finally, by standardizing the questionnaires, the NIGC is able to review any internal auditor’s work papers in a more efficient and time saving manner without having to adjust to the myriad of internal audit department and accounting firm styles.

TAS – 101 Internal Control Assessments

ICA testing is a comprehensive review of a tribal gaming facility’s entire system of internal controls or a specific examination of a single gaming activity such as Bingo, Table Games, Gaming Machines, among others. The ICA can be tailored to meet the needs of the tribal gaming operation and will provide a level of assurance commensurate with industry standards.
TAS 102 – IT Vulnerability Assessment

IT vulnerability assessment testing is a high level tool that assists tribes' IT security posture relative to its gaming systems and provides a solid base-line for internally mitigating any risk found or to assist in justifying funding for third-party assistance, if needed.

IT vulnerability assessment testing consists of two types of tests; external and internal. The external test provides an overview of security vulnerabilities, which are visible from outside the gaming system network. The scan takes into account all security layers on the network between the scanner machine and the target system. The internal network test provides an overview of vulnerabilities, which are visible from the local network, taking into account host-based security controls on the target system.
Division of Compliance
Training Section
90 K Street N.E., Suite 200
Washington, D.C. 20002
(202) 632-7003
(202) 632-7066-fax

training@nigc.gov  Facebook.com/NIGCgov  Twitter.com/NIGCgov