May 21st – 23rd 2019

National Indian Gaming Commission
Sacramento North
Regional Training Conference

Located at

Tachi Palace Hotel & Casino
17225 Jersey Avenue
Lemoore, CA 93245

DAY 1
Opening Welcome/Ice Breaker
Regional Panel Discussion
State Perspective on Current Trends in Casinos
Lunch (On Your Own)
Internal Revenue Service (Title 31/BSA, SAR and CTR's)
FinCEN, the BSA & Casino AML Program Enforcement
Federal Bureau of Investigation (Suspicious Activity Reports)
Wrap Up, Discussion, and Questions

DAY 2		
Track 1	**Track 2**	**Track 3**
Top Regional Findings *	**IGRA**	**IT Overview and the Importance of IT REGS**
Promotions and Player Tracking the Real Risk to Your Bottom Line	**Background and Licensing**	**Intro to Gaming Technology**
		Building IT TICS
Lunch (On Your Own)		
Bingo Shipping and Receiving: Who's Communicating *	**Background and Licensing (continued)**	**Building IT TICS (continued)**
Bingo Machine Files: Installation, Maintenance, and Removal *	**Understanding the CHRI**	**Principals of Auditing; 543.20**
Inventory; Any inventory *	**Small and Charitable Gaming**	
Wrap Up, Discussion, and Questions		

DAY 3		
Track 1	**Track 2**	**Track 3**
Understanding Auditing Revenue (Risk Based)	**Misuse of Gaming Revenue**	**Pre/Post 2008 547 Compliance**
Applying Auditing Revenue	**Compliance Roles and Responsibilities ***	**Incident Reporting**
Lunch (On Your Own)		
Applying Audit Revenue (continued)	**Compliance Roles and Responsibilities (continued) ***	**Incident Reporting (continued)**
		Trending IT Issues
Auditing Revenue "The Little Things"	**How to Write an Effective Report ***	**Round Robin Q&A**
Wrap Up, Discussion, and Questions		

Courses and times are subject to change
*Denotes courses being live streamed

Course Agenda/Descriptions
Day 1 - General Session

Time	Course	Target Audience	Course Description
9:00	**Opening and Ice Breaker** (0.5 hr.)	All	
9:30	**Regional Panel Discussion** (1.0 hrs.)	All	A panel discussion involving National Indian Gaming Commission staff members from the Office of General Counsel, the Region Office Compliance, and Audit. The discussion will focus on what is trending in Indian Gaming and Regional Issues. Attendees can pose regulatory questions specific to their operations or trends in Indian Gaming.
10:30	**State Perspective on Current Trends in Tribal Gaming (1.5 hrs.)**	All	Special Agent Tyler Burtis, CADOJ Bureau of Gambling Control will discuss current criminal trends occurring in commercial and tribal casinos and the duties and relationship of BGC with the tribes and NIGC.
12:00	*Lunch on your own*		
1:00	**IRS Indian Tribal Government (Title 31/BSA, SAR and CTR's)** (1.0 hrs.)	Tribal Gaming Regulators and Gaming Commissioners, Casino Operations Personnel responsible for Title 31, SAR and CTR for their operations.	This course will cover several Title 31/Bank Secrecy Act (BSA) topics: • What to expect during a tribal casino BSA exam • Internal/External independent testing requirements • Recent BSA exam findings • Hot Topics
2:00	**FinCEN, the BSA & Casino AML Program Enforcement** (1.0 hr.)	Tribal Gaming Regulators and Gaming Commissioners, Casino Operations Personnel	This course will cover several FinCEN topics: • Anti-Money Laundering Programs • FinCEN Investigations • Enforcement Actions • Hot Topics
3:00	**FBI Current developments and Issues Related to Suspicious Activity Reports (SARs)** (1.0 hr.)	Tribal Gaming Regulators and Gaming Commissioners, Casino Operations Personnel responsible for filing or completing SAR's.	This course will share the impact of SARs and how they assist the FBI in investigations. Attendees will gain insights into current schemes used by casino patrons and how law enforcement can better partner with Casinos.
4:00	**Wrap Up, Discussion, and Questions**		

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Course Agenda/Descriptions
Track 1 - Day 2

Time	Course	Target Audience	Description
9:00	**Top Regional Findings** (1.0 hr.)	Internal Auditors, TGRA staff including Compliance Officers, Licensing Agents, Operations staff including department supervisors and managers responsible for developing SICS and policy and procedures.	The Top 10 most common non-compliance findings specific to the Region as identified through annual AUP reports, internal audit reports and NIGC monitoring will be presented, along with specific instructions and exercises that focus on the intent of the control as well as identification, development, and implementation of remedies for the findings. Attendees will obtain increased understanding and additional skills to identify and remedy like findings at their gaming operations.
10:00	**Promotions and Player Tracking the Real Risk to your bottom Line** (2.0 hrs.)	Internal Auditors, TGRA staff including Compliance Officers, IT Auditors, Operations staff including department supervisors and managers responsible for developing and approving SICS and policy and procedures.	This course will provide specific instructions and exercises focusing on the intent of the Promotions and Player Tracking controls. Attendees will obtain increased understanding and additional skills to identify and remedy deficiencies with promotional rules and identify ways to control parameters in their player tracking systems.
12:00	*Lunch on your own*		
1:00	**Bingo Shipping and Receiving: Who's Communicating** (1.0 hr.)	Internal Auditors, TGRA staff including Compliance Officers, Operations staff including department supervisors and managers responsible for developing SICS and policy and procedures.	This course will provide specific instructions and exercises focusing on developing TICS and SICS. Attendees will obtain increased understanding and additional skills to identify and remedy communication and documentation issues in the shipping and receiving process, which can be applied to other areas.

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Time	Course	Target Audience	Description
2:00	**Bingo Machine Files: Installation, Maintenance, and Removal** (1.0 hr.)	Internal Auditors, TGRA staff including Compliance Officers, Gaming Machine Staff including Slot Tech's and Slot Floor Operations, other Operations staff including department supervisors and managers responsible for developing SICS and policy and procedures.	This course will provide specific instructions and exercises that focus on file maintenance and documentation. Attendees will obtain increased understanding and additional skills to identify and remedy deficiencies with documentation and understand the importance of maintaining good records.
3:00	**Inventory; Any Inventory** (1.0 hr.)	Internal Auditors, TGRA staff including Compliance Officers, Operations staff including department supervisors and managers responsible for developing SICS and policy and procedures.	This course will provide specific instructions and exercises that focus on the importance of segregation of duties and documentation in the inventory control process. Attendees will obtain increased understanding and additional skills related to the critical aspects of inventory control specific to bingo which can be applied to other types of inventory.
4:00	**Wrap Up, Discussion, and Questions**		

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Course Agenda/Descriptions
Track 1 - Day 3

9:00	**Understanding Auditing Revenue** (2.0 hrs.)	Revenue Auditors and Operational and/or Compliance staff who may perform revenue audit procedures	An overview of the revenue audit process, NIGC standards, and best practices which will give attendees an understanding of why it's vital for every gaming operation to have an effective revenue audit function to protect the assets of the Tribe and the reputation of the gaming operation.
11:00	**Applying Auditing Revenue** (3.0 hrs.)	Revenue Auditors and Operational and/or Compliance staff who may perform revenue audit procedures	An in-depth look at revenue audit processes will be presented using discussions, practical exercises, and handouts which will give attendees a practical look at what it takes to make and maintain an effective revenue audit function. Attendees will obtain increased understanding behind the intent of specific revenue audit processes and skills on how to effectively perform revenue audit procedures.
12:00	*Lunch on your own*		
1:00	**CONTINUED**	CONTINUED	CONTINUED
3:00	**Auditing Revenue; The Little Things** (1.0 hr.)	Revenue Auditors and Operational and/or Compliance staff who may perform revenue audit procedures	A look at the processes of revenue audit and the "how to" by using; discussions, practical exercises, and handouts. The course will look at scheduling of revenue audit procedures, documenting performance of procedures, drafting notices of findings, and following-up on any issues identified so they can be corrected.
4:00	**Wrap Up, Discussion, and Questions**		

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Course Agenda/Descriptions
Track 2 - Day 2

Time	Course	Target Audience	Course Description
9:00	**Indian Gaming Regulatory Act (IGRA)** (1.0 hr.)	Tribal Regulatory Commission, Operations Personnel of all levels of a tribal operation	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.
10:00	**Background and Licensing** (3.0 hrs.)	Background investigators, Licensing technicians and Gaming Commissioners directly responsible for conducting background and making eligibility determinations for Key Employees and Primary Management Officials	This course focuses on the investigation and licensing process of key employees and primary management officials. Attendees will learn the components of background investigations, verification process of the gaming applications, and use of background investigation results to make eligibility determinations. Attendees will also learn the procedures for submitting notifications of results (NOR) and issuance of gaming license notices (IOL) for Key Employees and Primary Management Officials to the NIGC.
12:00	*Lunch on your own*		
1:00	**CONTINUED**	CONTINUED	CONTINUED
2:00	**Understanding the CHRI** (1.0 hr.)	Background investigators, Licensing technicians and Gaming Commissioners directly responsible for obtaining and utilizing FBI criminal history record information.	This course will discuss the information within a FBI Criminal History Record Information (CHRI) report, its limitations, proper use and storage. Attendees will learn how to use the CHRI report to determine a key employee or primary management officials eligibility for a tribal gaming license, how to give proper notice to applicants about the use of the CHRI and the importance of restricting access to the CHRI information.
3:00	**Small and Charitable Gaming** (1.0 hr.)	TGRA staff including Compliance Officers, Licensing Agents, Tribal Leadership	Did you know that IGRA requires charitable gaming to be regulated? Are you doing enough? This course examines the legal ins and outs of regulating charitable gaming on Indian lands. Participants will learn what is considered Indian lands (hint: it may be more than you think!), what responsibilities the tribal gaming regulatory authority has for regulating gaming, and which exemptions apply to charitable operations.
4:00	**Wrap up Questions and Answers**		

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9:00	**Misuse of Gaming Revenue** (2.0 hrs.)	Tribal Gaming Commissions, Compliance and Audit personnel, and Casino Management.	Misuse of gaming revenues can occur when gross gaming revenues are not used for legitimate operating expenses of the gaming operation, potentially violating the Net Gaming Revenue uses defined in IGRA. This course will identify and discuss such practices with respect to corporate credit cards, donation accounts, wire transfers, ad hoc tribal programs and payments made directly to tribal members by the gaming operation. Attendees will obtain increased understanding and additional skills to identify and remedy misuses at their gaming operations.
11:00	**Compliance Roles and Responsibilities** (2.0 hrs.)	TGRA Compliance Officers, Licensing Staff, and Gaming Commission.	This course will explain the benefits and attributes of independent gaming commissions along with recommendations for establishing independent gaming commissions. Regulatory responsibilities required by IGRA and NIGC regulations are also discussed. The Attendee will obtain an understanding of the benefits and limitations of independence.
12:00	*Lunch on your own*		
1:00	CONTINUED	CONTINUED	CONTINUED
2:00	**How to Write an Effective Report** (2.0 hrs.)	Tribal Gaming Regulatory Authorities (TGRA) including Commissioners, Compliance Officers, Security and Surveillance. Operations staff including all supervisors and managers responsible for writing reports.	This course focuses on preparing reports and explores techniques of organizing and structuring the report to comply with proper guidelines. This class will discuss the characteristics of an effective report using When, Where, Who, What, How and Why and discuss best practices within the gaming industry. Attendees will participate in real life work scenarios based on operational and regulatory points of view.
4:00	**Wrap Up, Discussion, and Questions**		

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Course Agenda/Descriptions
Track 3 - Day 2

Time	Course	Target Audience	Course Description
9:00	**IT Overview and the Importance of IT REGS.** (1.0 hr.)	Tribal Gaming Regulators, Operations personnel and IT personnel of all levels	This course is designed to go over current industry statistics and analysis and the importance of regulations from the Federal, State and Tribal level
10:00	**Introduction to Gaming Technology** (1.0 hr.)	Tribal Gaming Regulators, Operations personnel, and Introductory level IT personnel	This course is designed to outline the basics of Gaming System networks and their significance. Types of technology typically found in a casino environment including Class II and Class III gaming technology will be covered
11:00	**Building IT TICS** (2.0 hrs.)	Tribal Gaming Regulators, Technical Compliance officers, and Managerial IT personnel	This course is a refreshed course to assist with understanding the importance of clear and concise IT controls by utilizing the STEFF model as a framework. The course will also address 3 internal control types and how they affect proper TICS creation and immersion into current TICS/SICS.
12:00	**Lunch on your own**		
1:00	CONTINUED	CONTINUED	CONTINUED
2:00	**Principles of Auditing: 543.20** (2 hrs.)	Tribal Gaming Regulators, Operations personnel, IT personnel, and Introductory level Auditors of IT systems	The importance and intent of CFR 543.20 (IT – MICS) will be discussed through real-world examples of common IT findings, how to address findings, and reviewing sound auditing practices.
4:00	**Wrap up Questions and Answers**		

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Course Agenda/Descriptions
Track 3 - Day 3

9:00	**Regulators Pre/Post 2008 547 Compliance** (1.0 hr.)	Tribal Gaming Regulators, Operations and IT personnel	In this course we will cover the significance of the final NIGC ruling regarding the 547 technical standards from a regulatory and operations standpoint as well as providing practical tips for determining if electronic gaming machines are pre or post-2008 compliant.
10:00	**Incident Reporting** (2.5 hrs.)	Tribal Gaming Regulators, Operations and IT personnel	This course is a new course, this activity driven class will cover the nature and importance of having robust incident reporting and cyber security defense procedures in place. Additionally, both preventative and responsive controls and tools will be discussed.
12:00	**Lunch on your own**		
1:00	CONTINUED	CONTINUED	CONTINUED
1:30	**Trending IT Issues** (2.0 hrs.)	Tribal Gaming Regulators, Operations and IT personnel	This exciting new course will focus on current and upcoming issues within the gaming IT realm and how those topics will affect the greater casino industry. A multitude of covered topics will include discussion points such as, sports betting, geofencing, AI, and social networks
3:30	**Round Robin Q&A** (0.5 hr.)	Tribal Gaming Regulators, Operations and IT personnel	Discussion period to review and answer any lingering questions you may have concerning what was covered during the two-day track.
4:00	**Wrap Up, Discussion, and Questions**		

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