



**National Training Conference AGENDA :**

**\*indicates courses to be virtually streamed via Zoom Times listed in EST**

| START TIME<br>Pacific Standard Time |         | NIGC National Training Conference<br>March 7 <sup>th</sup> -9 <sup>th</sup> , 2023<br>Miccosukee Resort and Casino<br>500 SW 177th Ave, Miami, FL 33194 |   |  |
|-------------------------------------|---------|---|---|--|
| Day One                             | 08:30   | Welcome/Ice Breaker   |   |  |
|                                     | 09:00   | Leadership Discussion   |   |  |
|                                     | 10:00   | Break   |   |  |
|                                     | 10:30   | How to avoid an IGRA violation  |   |  |
|                                     | 12:00   | Lunch (On Your Own)   |   |  |
|                                     |         | <b>AUDIT TRACK</b>  | <b>COMPLIANCE TRACK</b>   |  |
|                                     | 1:00    | IT Findings and Best Practices*   | Risk Assessments  |  |
|                                     | 2:00    | Break   | Break   |  |
|                                     | 2:15    | Cybersecurity Incident Response Plans   | Risk Assessment Continued   |  |
|                                     | 3:15    | Break   | Break   |  |
|                                     | 3:30    | (Continued)Cybersecurity Incident Response Plans  | "Ethics" Considerations for Regulators  |  |
|                                     | 4:30    | Day One Wrap up, Q&A  |   |  |
| Day Two                             | DAY TWO |   |   |  |
|                                     | 8:30    | Top 10 Audit Findings*  | Panel: The Regulatory Landscape   |  |
|                                     | 9:30    | Break   | Break   |  |
|                                     | 9:45    | Intent and Testing: Bingo Toolkit*  | Criminal History Record Information (CHRI) and compliance with 25 CFR Part 558.3(e) |  |
|                                     | 10:45   | Break   | Break   |  |
|                                     | 11:00   | Intent and Testing: Bingo Toolkit   | Essential roles of a Regulator  |  |
|                                     | 12:00   | Lunch (On Your Own)   |   |  |
|                                     | 1:00    | Panel: Internal Audit from the Professionals*   | Report Writing  |  |
|                                     | 2:00    | Break   | Break   |  |
|                                     | 2:15    | Critical Thinking; Enhancing the Internal Audit   | Background Investigation: Reputations Habits and Associations?                      |  |
|                                     | 3:15    | Break   | Break   |  |
|                                     | 3:30    | Critical Thinking; Enhancing the Internal Audit   | Continued: Background Investigation: Prior Activities and Sufficient and ongoing?   |  |



|           |       |   |
|-----------|-------|---|
|           | 4:30  | Day two Wrap up, Q&A  |
| Day Three |       | <b>DAY THREE</b>  |
|           | 8:30  | Emergency Preparedness Roundtable                               |
|           | 9:30  | Break   |
|           | 9:45  | Introduction to Emergency Preparedness Planning                 |
|           | 10:45 | Break   |
|           | 11:00 | Table Top Exercise  |
|           | 12:00 | <i>Lunch (On Your Own)</i>                                      |
|           | 1:00  | Table Top Exercise (cont.)                                      |
|           | 2:00  | Break   |
|           | 2:15  | Panel Discussion with Fed/OSHA and Indian Health Services (IHS) |
|           | 3:15  | Break   |
|           | 3:30  | Physical Threat Assessments                                     |
|           | 4:30  | End of Event  |

**COURSE DESCRIPTIONS:**

**Leadership Discussion**

This regional and national update will give attendees on understanding of the hot button issues facing our industry, from areas of concern to technological updates, to an open format that welcomes your questions.

**Intended Audience:** All

**How to avoid an IGRA violation**

The Indian Gaming Regulatory Act has specific areas where non-compliance can lead a Tribe to a violation. The best way to ensure your operation remains compliant is to know the common problems and the best ways to avoid them. Join our Office of General Counsel as they point out the pitfalls and give you timely tips for success.

**Intended Audience:** All



### **Information Technology Audit Findings and Best Practices to remediate risk.**

Information Technology issues continue to be one of the highest reported findings submitted to the NIGC through external reporting. This course provides an overview of the most repeated findings in the gaming industry. Hear from our IT professionals as they discuss the top findings and give you the tools to determine intent and testing requirements essential to remediate information technology non-compliance.

**Intended Audience:** Industry I.T. Professionals, Internal Auditors, and Tribal Gaming regulatory Authorities.

### **Cyber Security Incident Response Plans**

It is not a matter of if, but when! A cyber-attack can happen at any moment in an operation – will you know what to do? Incident response plans are critical to overcome and limit the damage an incident can cause. This interactive course will challenge you to bring your critical thinking skills which will guide you in the development of an incident plan that you can take back to your facility.

**Intended Audience:** Tribal Gaming Regulators, Operations personnel, IT professionals, risk and safety personnel.

### **Top 10 Audit Findings**

Do you have audit findings on our Top 10? Don't know? Find out in this presentation of the Top 10 most common audit findings as identified through annual AUP independent audit reports, internal audit reports and NIGC internal control assessments. This course will cover the intent of the control, and provides specific instructions and exercises focusing on identifying and correcting findings. You will leave with an increased understanding of and ability to identify and remedy like findings at your gaming operations.

**Intended Audience:** Tribal Regulators, Auditors, Casino Operations

### **Intent and Testing – Bingo Toolkit**

Understanding the intent of a standard is the first step in ensuring appropriate testing is occurring. Join us as we go through the Bingo Tool Kit where we will discuss how it can be used, engage in practical exercises, and discuss the intent and testing process to help build better controls and testing methods. This course will help tribal regulators,



internal auditors, and operations personnel better understand the MICS for class II gaming.

**Intended Audience:** Internal Auditors, Operations and Regulators.

**Panel: Roundtable discussion with Internal Audit Professionals**

Join this panel of internal audit professionals as they discuss the current landscape of the Internal Audit process for their gaming operations. Dive into the issues they face and hear how they have overcome these challenges.

**Intended Audience:** Internal Auditors, Operations personnel, regulators and those interested in Internal Audit.

**Critical Thinking: Enhancing the Internal Audit** Looking to improve your skills? Then we have the course for you. This course increases your understanding of objective and critical thinking skills necessary to evaluate and test a standard to ensure testing is appropriate. The course is intended for experienced operations and regulatory compliance personnel with a working understanding of the internal audit process.

**Intended Audience:** Internal Auditors, Operations and Regulatory Compliance

**Panel: The Regulatory Landscape**

Join this panel of regulatory professionals as they discuss all the trending topics facing the Indian gaming industry. Hear from the panelist on how they are addressing the challenges as the landscape continues to change.

**Intended Audience: All**

**Risk Assessment:**

Not that risk is everywhere, but it is... In this course, we will discuss risk assessments and lead participants to discover their risk and apply resources over high-risk areas to limit exposure to potential violations. This activity-based session will help you start the conversation about strengths, weakness, opportunities and threats with your team!

**Intended Audience:** Tribal Leadership, Commissioners, and TGRA staff.



### **Ethical Considerations for Regulators**

The wonderful world of gaming is full of shiny things and freebies... or is it? In this course, we will dive into ethics and tools for navigating ethical situations. Daily, TGRA's and Commissioners may encounter situations where ethical decisions come into play. We will start the conversation on building an ethical culture within your department, and share real-life examples and lessons learned when encountering common ethical issues.

**Intended Audience:** Tribal Leadership, Commissioner and TGRA staff.

### **Essential Roles of a Regulator**

Regulators like all staff in gaming operations are asked to perform many tasks. Being an expert in all things gaming is difficult, if not impossible. Let us break down some essential roles of regulators to ensure compliance. We will also take a look at some areas throughout the gaming operation that have valuable reports (i.e. revenue audit, surveillance, internal audit) to help in your day-to-day activities.

**Intended Audience:** Tribal Leadership, Commissioners and TGRA staff.

### **Criminal History Record Information (CHRI) and compliance with 25 CFR Part 558.3(e):**

Join staff from the NIGC Criminal Justice Information Services Audit Unit (CAU) for a discussion about CHRI and compliance with 25 CFR Part 558.3(e).

**Intended Audience:** Background and Licensing personnel, LASO's and other regulatory personnel.

### **Report Writing:**

Tired of the same old report writing class? Well, this is just like those... only fun! Designed for both experienced and new TGRA staff as well as any tribal gaming department that writes reports, we've filled this hands-on, activity-based course with information to improve report-writing skills.

**Intended Audience:** TGRA's, Security, Surveillance, Commissioners.



### **Background Investigations: Eligibility Determination for nuanced standards.**

What do you think when you hear Reputation, Habits and Associations? What about Prior Activities? Join us as we look at the nuanced language of the Background Investigations for PMO/KE. You will work together in this interactive course, using critical thinking skills to develop a process to bring back to your operations.

**Intended Audience:** Background and Licensing personnel, regulatory personnel, individuals interested in developing processes.

### **Emergency Preparedness Roundtable**

In this session, you will hear from industry professionals, who lead emergency preparedness for their tribal casino organizations. They will discuss the importance of effective team building, training and collaboration to achieve emergency preparedness in addition to identifying who makes command decisions, the command structure and identify the primary decision makers.

**Intended Audience:** Risk and safety personnel, operations, security and regulators.

### **Emergency Preparedness Plan**

The Emergency Preparedness Plan is designed to guide casino team members, management and regulatory personnel in the response to critical and emergency situations. The primary purpose is to protect team members and guests. This plan establishes a command structure so sound decisions can be made and these decisions effectively communicated to team members and guests.

**Intended Audience:** Risk and safety personnel, operations, security and regulators.

### **Introduction to Emergency Preparedness “Table Top Exercise”**

In this session, you will learn the importance of creating and practicing your Emergency Preparedness Plan (EPP), and who to include in your plan inside and outside your organization. Given the increase of natural and man-made disasters, preparedness has never been more critical to our tribal gaming industry. You will take away best practices and the recently release EPP template. In conjunction with this exercise, you will learn, evaluate and validate plans and capabilities, develop individual performance, improve interagency coordination, and identify capability gaps and opportunities for



improvement. This will strengthen your Emergency Preparedness Plan's ability to prepare, respond to, and recover from various critical incidents. A Wildfire scenario worksheet will be discussed and filled out for interactive discussion.

**Intended Audience: Risk and safety personnel, operations, security and regulators.**

### **Panel Discussion with Fed/OSHA and Indian Health Services (IHS)**

In this session, you will hear from Fed/OSHA Region IX Area Director who will discuss OSHA's commitment to worker safety and health while collaborating with tribal casinos on safe practices to reduce employee injury and raise health awareness in addition to OSHA updates. You will also hear from the IHS Division of Environmental Health Services who will discuss their role in partnerships with tribal casino health and food safety among other topics.

**Intended Audience: Risk and safety personnel, operations, security and regulators.**

### **Security Threat Assessments**

In this session, you will hear from industry professionals and how they manage risks and threats through leadership, experience, assessments, and training. Join us as these experts discuss the latest technology used to keep guests and employees safe in addition to the physical security of their facilities.

**Intended Audience: Risk and safety personnel, operations, security and regulators.**