

Regulatory Compliance Officer

General Duties, Responsibilities and Expectations

Summary: This position is multi-faceted inasmuch as it contains different vital assignments that assist in the operation of the Gaming Commission's regulatory oversight.

These are general duties and expectations of the position and may change as the position evolves over time.

Reports to: Gaming Commission / Board of Trustees as requested.

- Provide recommendations to the Gaming Commission with respect to department policies and procedures, regulatory issues and other matters.
- Provide suggestions as to how to streamline or improve office functions.
- Assist the Gaming Commission with enforcement of all gaming regulations, policies and procedures as needed or directed.
- Assist the Gaming Commission with the ongoing updates to the Minimum Internal Control Regulations, Regulatory Standards, System of Internal Control and Suspicious Activity reporting as needed or required. Ensure maintenance and updating of accurate and current policy and procedure manuals.
- Submit to the Commission new, updated policies and procedures for review and approval.
- Monitors procedures, policies, forms, regulations to ensure and/or assist with compliance issues and decisions with the Commission and to ensure that management and employees are operating within these perimeters.
- Develop/Manage a documentation control system to ensure document integrity and facilitate procedure development utilizing professional and traditional methods
- Maintains responsibility for Title 31/Title 31 Training/Anti-Money Laundering Program (AML) and retains training records of employees to ensure compliance with the regulations.
- Coordinate and provide training for Title 31 Academy and assist managers in developing and maintaining their new hire Title 31 training programs.
- Review documentation provided by Revenue Audit with respect to ensuring CTRC's are accurate and submitted on time.

- Assist the Internal Auditor as needed and make recommendations for additional scopes for audits to be performed.
- Assist other Regulatory agencies as needed.
- Assist the Suspicious Activity Officer as needed when reviewing CIR/SAR documents with regard to suspicious activity and prepare the necessary reports to be submitted to FinCen.
- Sit on and provide guidance to the Compliance Committee.
- Facilitate meetings with department managers to review or discuss regulatory matters, procedures/policies and other issues as they arise.
- Review associated documentation (DAL's, Incident Reports, T*I*Ps reports, etc.) and follow through for deficiencies and/or corrections and actions as they apply.
- Monitor compliance levels and casino employee performance to determine their compliance levels and report any incident(s) of non-compliance.
- Define problems, collect data, and establish facts and draw valid conclusions to investigations as they arise that pertain to the position or as directed by the Commission.
- Write reports and other correspondence as it pertains to the position.
- Issue forms, logs, and other documentation to the property when needed.
- Present information and respond to questions from the Commission, managers, employees and clients as needed or required.
- Conduct personal and covert observations as needed or in the course of monitoring compliance.
- Attend training or conferences that will benefit the department and/or the position.
- Maintain and uphold confidentiality.
- Other duties as requested or directed by the Commission.
- Subject to random drug testing per tribal policy.

Please send a professional cover letter and resume to:

Brad Lerschen, Chairman
 USC Gaming Commission
 PO Box 199
 Granite Falls, MN 56241

Posting closes: Thursday, January 18, 2018