

YUROK TRIBE JOB DESCRIPTION

Job Title:	Compliance Officer			Job Code	5
Department	YEDC Gaming	Program Area		Location	Klamath
Reports To:	Gaming Commissioner Chair			FLSA Status	Non-Exempt
ALL HIRING IS SUBJECT TO THE YUROK TRIBE’S HIRING PREFERENCE					
Salary Range	\$18.23 - \$23.79				

POSITION SUMMARY:

Performs a variety of tasks to assure compliance with provisions of the Tribal Gaming Ordinance and Tribal-State Compact.

- Be present at the Gaming Facility during gaming hours.
- Maintain access to all areas of gaming to ensure compliance.
- Report of violations, write reports, receive complaints and seek voluntary resolutions of compliance with Tribal, Federal, State gaming laws and regulations as well as compliance with required internal controls.
- Investigates and reports deficiencies and/or violations and conducts follow-ups to ensure implementation of appropriate corrective action.
- Certifies that gaming equipment complies with regulatory technical specifications.

At no time is the Compliance Officer to make any managerial correction of Casino Employees. Compliance Officers are to observe and report only.

DUTIES AND RESPONSIBILITIES

Under the Supervision of the Gaming Commissioners includes the following:

1. Ensures confidentiality of all information in the Gaming Commission Office, includes, not limited to applications, employees, information from federal, tribal or state law enforcement and state gaming office.
2. Keep the Gaming Commissioners informed and updated on all situations and activities within the Compliance Department.
3. Ensure that you are familiar with the Tribal Gaming Ordinance, Tribal-State Compact, and Casino Internal Controls.
4. Complete background investigations for the Gaming Commission.
5. Ensure that all departments provide for the physical safety and well-being of employees of the Casino and Gaming Commission.
6. Complete monthly reports to the Gaming Commission.
7. Maintains control over access to sensitive areas of gaming devices.
8. Conducts testing of gaming devices and/or computer control programmed storage media for verification of validity and authorized programming.
9. Monitors shipping, receiving, installation, relocation, removal, storage, etc. for gaming devices for security and compliance with applicable laws and regulations. Ensures accurate records are maintained.
10. Inspects all gaming equipment and supplies for integrity and compliance in accordance to approved technical standards.
11. Randomly audits any gaming related transaction document for compliance with regulations and internal controls.
12. Monitors count room activities for compliance.

Approved by Gaming Commission: 8/25/21

YUROK TRIBE JOB DESCRIPTION

13. Writes reports and conducts necessary follow up investigations on reported or observed violations or deficiencies.
14. Works closely with Gaming Commission Surveillance personnel as well as appropriate casino personnel in fulfilling responsibilities when assigned by the Gaming Commission.
15. May occasionally work with outside regulatory or law enforcement officials as approved and necessary.
16. Inspects and monitors facility compliance with all environmental, health and safety regulatory requirements.
17. A working knowledge capable of operating testing equipment for all components of electronic devices.
18. Presents testimony on patron disputes to the Gaming Commission.
19. Must provide a professional example to others.
20. Investigate actual or suspected health and safety hazards and works with Casino Management to correct the hazards.
21. Any other duties as assigned by the Gaming Commissioners
22. At no time is the Compliance Officers to make any managerial correction of Casino Employees.

MINIMUM QUALIFICATIONS:

To perform this job, an individual must be able to perform each essential duty satisfactorily. The requirements listed below are representative of the knowledge, skills, and/or ability required:

- Effective written and verbal communication skills;
- Self-motivated and capable of sound judgment;
- Willing to learn all aspects of gaming activity;
- Learn and understand the regulatory functions of the Commission and the purpose of regulating;
- Ability to understand, follow and explain regulations and policy pertaining to investigations and compliance;
- Ability to participate in gaming related seminars and/or workshops;
- Ability to handle confidential information and material;
- Able to work independently;
- Able to organize workload in order to meet deadlines – time management;
- Able to stand and walk for long periods of time;
- Working knowledge of Microsoft Office;
- Ability to be a team player; and,
- Ability to adapt in a fast moving and multi-faceted work environment.

SUPERVISORY RESPONSIBILITIES:

Oversight of the Surveillance employees who “Observe and Report” only. At no time is the Compliance Officer to make any managerial correction of Casino Employees.

EDUCATION/EXPERIENCE:

Must have High School Diploma or high school equivalency diploma is required to fill this position. An Associate Degree or equivalent of at least 60 units of college is preferred but not

Approved by Gaming Commission: 8/25/21

YUROC TRIBE JOB DESCRIPTION

required. Gaming Commission, auditing, regulatory compliance, or inspector experience is preferred but not required. Training is available.

ETHICAL BEHAVIOR

Behaving honestly at all times. Treating persons in a humane manner regardless of the situation. Treating persons from all racial and ethnic backgrounds in a fair and equal manner. Refusing to accept or solicit gratuities. Giving honest testimony in employee review boards or court. Obeying the regulations, rules, controls, and department policies. Must use fair and legal procedures when making decisions and writing an infraction. Behaving politely and exhibiting good manners. Making an effort to be efficient in all efforts of Gaming Commission duties. Honoring confidential information. Respecting privileged communication. Properly caring for Gaming Commission, Casino and Public Property. Being at your appointed place of duty at the appointed time.

LANGUAGE SKILLS

Ability to read, analyze, and interpret general business periodicals, professional journals, technical procedures, and governmental regulations. Ability to write reports. Must be able to effectively present information and respond to questions from groups of managers, clients, customers, and the general public.

MATHEMATICAL SKILLS

Must be able to apply concepts such as fractions, percentages, ratios, and proportions to practical situations.

REASONING ABILITY

Ability to define problems collect data, establish facts, and draw valid conclusions. Must have the ability to interpret extensive variety of technical instructions in mathematical or diagram form and deal with several abstract and concrete variables. While performing the duties of this job, the employee is frequently required to stand or walk, and use hands to finger, handle or feel. The employee is occasionally required to sit, reach with hands and arms, climb or balance, stoop, kneel, crouch or crawl, talk and hear.

PHYSICAL DEMANDS

The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions. While performing the duties of this job, the employee is required to speak and listen. The employee frequently is required to stand and walk. The employee is occasionally required to sit; use hands and fingers to feel objects, tools or controls, which will require the ability to reach out with upper appendages. The employee must occasionally lift and/or move up to 10 pounds. Specific vision abilities required by this job include ability to adjust focus.

WORK ENVIRONMENT

Compliance Officers are expected to work days and hours outside the normal workweek. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions. While performing the duties of this job, the employee is regularly exposed to

Approved by Gaming Commission: 8/25/21

YUROK TRIBE JOB DESCRIPTION

second hand smoke. The employee will occasionally work near electronic gaming equipment. The noise level in the work environment is usually moderate.

CONDITIONS OF EMPLOYMENT:

- All applicants are subject to the Tribe's Drug and Alcohol-Free Work Place Policy including pre-employment screening.
- YEDC complies with the Tribe's TERO hiring policies.
- Must have a valid California driver's license and able to be insured through the tribal agency.
- Must pass comprehensive background investigation for the issuance, and retention, of a gaming license.
- Must have clear vision at 20 inches or less; ability to identify and distinguish colors; depth perception (three-dimensional vision, ability to judge distances and spatial relationships); ability to focus (ability to adjust the eye to bring an object into sharp focus).