

EMPLOYMENT CLASSIFICATION: FULL-TIME
DEPARTMENT: Compliance
FLSA CLASSIFICATION: EXEMPT
REPORTS TO: DIRECTOR OF COMPLIANCE

POSITION OVERVIEW

Oversee the daily operations of the Compliance Department while ensuring optimal delivery of the Compliance Department objectives and strategies through effective people management, and strategic business thinking with an ability to identify opportunities to enhance efficiency.

ESSENTIAL JOB FUNCTIONS

The information provided below encompasses the functions and capabilities linked with this position.

Duties and Responsibilities

The individual in this position is expected to engage in the following work-related activities.

- Disseminate, implement, and enforce department standards, policies, and procedures.
- Notify the Compliance Director, other Compliance Management, and Commissioners of suspected criminal activity or unusual activities and occurrences, and communicate potential threats, violations, and criminal activities.
- Supervise Compliance Agents, including recruiting, scheduling, timekeeping, training, assigning and directing work, evaluating performance, disciplining as necessary, addressing employee concerns, and guiding professional development.
- Identify the need for, develop, modify, and maintain departmental Standard Operating Procedures (SOP) and other guidance documents to comply with Minimum Internal Control Standards (MICS), incorporate regulatory best practices, adapt to regulatory changes, and provide proper guidance to those carrying out departmental responsibilities.
- Organize, plan, and supervise all Compliance Department activities.
- Maintain and direct Compliance activities, including ensuring all tools and equipment are functioning properly.
- Recommend new and revisions to casino-wide Standard Operating Procedures (SOP) and other guidance documents to comply with Minimum Internal Control Standards (MICS), incorporate regulatory best practices, and adapt to regulatory changes.
- Assist in overseeing record retention and reporting functions to ensure compliance with applicable standards and regulations.
- Train new Agents on policies and procedures, standards of integrity, job skills, and duties and responsibilities.
- Develop and conduct ongoing skill development training to ensure the Compliance Agent's abilities are current.
- Review all Compliance-related reports and audits to ensure accuracy, clarity, and thoroughness.
- Review and send violation reports to other Pechanga Resort & Casino departments, as needed.
- Other duties as assigned.

Skill Profile

The individual in this position is expected to possess and exhibit the following knowledge, skills, and abilities.

- Ability to interact and collaborate with line employees, managers, executives, and regulatory agencies.
- Demonstrate a commitment to and value for conducting oneself in accordance with the highest standards of integrity and ethical behavior in compliance with all applicable laws, rules, and regulations.
- Maintain advanced knowledge of gaming violations and applicable regulations, as well as internal policies and procedures.
- Ability to comprehend and apply a common sense understanding of instructions provided in written, oral, and diagram form, including safety rules, operating and maintenance instructions, and procedural manuals.

- Ability to effectively communicate information and ideas, particularly to Commissioners and regulatory agencies, as well as compose clear, effective, and grammatically correct reports and business correspondence appropriate for the intended audience.
- Ability to define problems, collect data, establish facts, and draw valid conclusions in the context of standard situations with common, predictable variables.
- Ability to carry out intermediate mathematical computations, including interest, proportions, percentages, and practical application of algebraic math for business.
- Ability to make sound and timely informed decisions in complex and potentially volatile situations.
- Manage multiple projects, properly organize and prioritize own work and the work of others, and demonstrate flexibility and adaptability in a fast-paced environment.
- Exhibit intermediate investigative skills and abilities, including interviewing witnesses, identifying discrepancies and inconsistencies, establishing facts, drawing valid conclusions, and recognizing potential violations.
- Ability to work in a professional manner in an environment with individuals from many different cultures and backgrounds.
- Ability to read, analyze, interpret, and apply technical procedures, government regulations, financial reports, and legal documents.
- Working knowledge of MS Office, including document creation and editing in Word, messaging, and calendaring in Outlook, and performing routine tracking and basic computations in Excel.

Capability Requirements

The following capabilities are required to perform the essential functions of this position.

- Effectively communicate with others verbally and in writing, including by phone, e-mail, or in person.
- Understand, remember, and apply routine and complex oral and/or written instructions, conduct complex calculations, and recall and link related factual information and visual images.
- Sit, stand, and walk for extended periods of time.
- Exert up to 15 pounds of force occasionally and/or up to 10 pounds of force frequently, to lift, carry, push, pull, or otherwise move objects.
- Maintain sustained concentration on video monitors and computer screens, and use keyboards and a variety of peripherals.
- Maintain sustained concentration and focus in a moderately noisy environment.
- Sufficient vision to complete tasks requiring depth perception, color vision, and the ability to bring object into sharp focus both close and far away.
- Recognize, interpret, and respond to a variety of competing and isolated sounds with a variety of sources, pitch, quality, and loudness.
- Tolerate working in a confined space for prolonged periods of time with sustained exposure to moderate noise.
- Tolerate occasional exposure to extreme heat or cold, and moderate temperature changes, and occasional sustained exposure to tobacco smoke.

Minimum Qualifications

The following are required of an employee in this position.

- Three years' experience and/or training in a similar position, or equivalent combination of education and experience.
- At least one year's experience managing people.
- High school diploma or general education degree (GED).
- Current PGC Class "A" Gaming License.
- Ability to work days, evenings, and nights.
- Ability to periodically travel locally, regionally, and nationally to trainings, court proceedings, and other functions.
- Requires passing background check, credit check, and drug screening upon hire.
- Must be age 21 or older.

ACKNOWLEDGEMENT OF EXPECTATIONS

I have read and understand the essential functions of this position, including the necessary capabilities, and can perform these with or without reasonable accommodation. I understand that I can request a reasonable accommodation, should one be necessary for me to carry out the essential functions of this position. I also acknowledge that the functions and capabilities for this position may change in the future, with or without notice. Additionally, I consent to the exclusive jurisdiction of the Pechanga Band of Luiseno Indians and the rules of its Gaming Commission.

Employee Name

Employee Signature

Date