



**JOB DESCRIPTION**  
**JOB TITLE: ASSISTANT COMPLIANCE OFFICER**

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**DEPARTMENT: Administration**  
**REPORTS TO: Compliance Officer**  
**FLSA DESIGNATION: Non-Exempt**

**SHIFT: Days, Evenings, Weekends,**  
**Holidays as needed**  
**WAGE STATUS: Hourly**

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**QUALIFICATIONS:**

- Bachelor's Degree in Accounting, Finance, or a directly related field.
- Or, minimum two years prior related gaming experience.
- Strong leadership skills and customer service orientation required.
- Must be able to work effectively with peers, staff members, and regulatory agency personnel.
- Strong computer skills to include effective working knowledge of Microsoft Office Products.
- Strong written and oral communication skills required.
- Must have ability to interpret data, records, reports, and forms.
- Must have skills in researching data, identification of application of problem areas and the ability to develop, present and apply recommendations.
- Must possess organizational skills in order to work within a team structured office environment, and demonstrate ability to be a team player. Must be able to develop and maintain positive peer relationships and provide assistance in a friendly, helpful manner to all casino employees, officials and representatives of other agencies and departments.
- Ability to establish priorities and organize own workload.
- Must have ability to clearly and concisely outline recommendations (Written and oral) including the ability to use good English grammar.
- Must be able to work independently on assigned projects and be detailed oriented (written and oral).
- Ability to learn, understand and apply compliance regulations as set forth by Casino Management.
- Ability to deal effectively with frequent interruptions and to work on several projects simultaneously.
- Ability to carry out assignments discreetly, effectively, and efficiently in sensitive, confidential circumstances when performing all duties.

**ESSENTIAL JOB FUNCTIONS:**

- Assists the Compliance Officer in leadership direction as assigned in accordance with the casino organizational structure.
- Assist the Compliance Officer in making sure policy and procedures are kept current while continuously looking for ways to improve processes.
- Assists the Compliance Officer in performing, document and report on audits related to NIGC MICS, Tribal Internal Controls, property Internal Controls, and other policy and procedures as directed.
- Assists and helps Compliance Officer formulate and recommend corrective action based on material weaknesses in affected departments.
- Assist the Compliance Officer in the reviews of records, financial documents, forms, and interview personnel to obtain information for recommendations.

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- Assists the Compliance Officer in preparing written reports of findings and recommendations and complete compliance files with documentation to substantiate findings.
- Assists the Compliance Officer in performing surveys, critiques and evaluations of gaming departments to determine regulatory compliance.
  
- Assists the Compliance Officer in the audit accounting and operation records, procedures and practices to determine accuracy and compliance with accepted codes, rules, regulations, standards, ordinances and policies affecting Casino operations.
- Assists the Compliance Officer in planning, coordinating, and executing all compliance related audits with 3<sup>rd</sup> parties including Gaming Commission, External Auditors, State of Oklahoma Finance Department, IRS, and others.
  - Assists in compiling and coordinating management responses required on any exceptions noted in audits.
- Understand and comply with established appearance standards.
- Assist the Compliance Officer in the follow-up reviews to ascertain that appropriate action has been taken on reported findings and recommendations.
- Understand and comply with the attendance policy of the casino.
- Performs all other related and compatible duties as assigned.
- Must be knowledgeable of Title 31 regulations.
- Issues written and oral instructions.
- Assists the Compliance Officer in assigning duties and examining work for exactness, neatness, and conformance to policies and procedures.
- Studies and standardizes procedures to improve efficiency.
- Performs other related duties as may be assigned by Compliance Officer.

**LANGUAGE SKILLS:**

- Ability to read, analyze and interpret simple documents, such as safety rules, operating and maintenance instructions and procedure manuals.

**MATHEMATICAL SKILLS:**

- Ability to add, subtract, multiply and divide in all units of measure, using whole numbers, common fractions and decimals.

**REASONING ABILITY:**

- Ability to apply commonsense understanding to carry out instructions furnished in written, oral or diagram form. Ability to deal with frequent changes, delays and unexpected events.

**OTHER SKILLS AND ABILITIES:**

- Basic analytical and deductive reasoning ability. Must be competent in computer skills.

**PHYSICAL DEMANDS:**

- The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job. 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 required to talk or hear. The employee is occasionally required to sit; use hands to finger, handle, or feel objects, tools, or controls; reach with hands and arms; and taste or smell. The employee must occasionally lift and/or move up to 35 pounds. Specific vision abilities required by this job include ability to adjust focus.

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**WORK ENVIRONMENT:**

- The work environment characteristics described here are representative of those an employee encounters while performing the essential functions of this job. 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 cigarette fumes. The noise level in the work environment is usually moderate.
- This establishment promotes a drug-free work environment.

**DISCLAIMER:**

- The above statements are intended to describe the general nature and level of work being performed by people assigned to this job. They are not intended to be an exhaustive list of all responsibilities, duties and skills required of personnel so classified.

**PUBLIC RELATIONS:**

- Important attributes of any employee of the Wichita and Affiliated Tribes, Sugar Creek Casino, along with the official performance of duties, are personal appearance and public relations. Each employee is expected to make every effort to be well-informed about the institution, pleasant, courteous and cooperative, and to act in a manner to command respect of co-workers and all other personnel. An optimistic attitude, patience and tolerance will help each employee in nearly all situations at the institution.

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### Job Description Acknowledgement Form

I have received reviewed and fully understands the job description for (Assistant Compliance Officer ). I understand that this job requires Days, Nights, Evenings and Holidays and my schedule is subject to change to meet the Business Needs of the Casino. I further understand that I am responsible for the satisfactory execution of the essential functions described therein, under any and all conditions as described.

Employee Name \_\_\_\_\_ Date \_\_\_\_\_

Employee Signature \_\_\_\_\_

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