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| **NATIONAL INDIAN GAMING COMMISSION**  **SELF-REGULATION CERTIFICATION AUDIT**  **SUBMISSION CHECKLIST** | | | |
| **Tribe:** |  | **Fiscal Year End:** |  |
| **Prepared**  **By:** |  |  |  |

**Identify gaming facility(ies):**

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| **Name** | **Address** | Class II Class III | |
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**Identify tribal, gaming commission, and/or gaming operation personnel contacted:**

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| --- | --- | --- | --- |
| **Date of Inquiry/**  **Observation** | **Person Interviewed** | **Position** | **Years of Service** |
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| **This evaluation will be used to determine whether the petition for a certificate of self-regulation is complete and must be completed before proceeding to the approval criteria. This section should be completed before the onsite self-regulation audit begins.** | | | | | | | |
| **1.** | Does the submission include two copies of the petition for self-regulation on 8 1⁄2” x 11” paper approved by the governing body of the tribe and certified as authentic by an authorized tribal official? | |  |  |  | (a) |  |
| **2.** | Does the petition for self-regulation submission include a description of how the tribe meets the eligibility criteria in § 518.3, which may include supporting documentation? | |  |  |  | (b) |  |
| **3.** | Does the petition for self-regulation submission include the following information with supporting documentation: | |  |  |  | (c) |  |
| **a.** | | A brief history of each gaming operation(s), including the opening dates and periods of voluntary or involuntary closure(s)? |  |  |  | (c)(1) |  |
| **b.** | | An organizational chart of the tribal regulatory body? |  |  |  | (c)(2) |  |
| **c.** | | A brief description of the criteria that individuals must meet before being eligible for employment as a tribal regulator? |  |  |  | (c)(3) |  |
| **d.** | | A brief description of the process by which the TGRB is funded, and the funding levels for the three years immediately preceding the date of the petition? |  |  |  | (c)(4) |  |
| **e.** | | A list of the current regulators and TGRB employees, their complete resumes, their titles, the dates that they began employment, and if serving limited terms, the expiration dates of such terms? |  |  |  | (c)(5) |  |
| **f.** | | A brief description of the accounting system(s) at the gaming operation that tracks the flow of the gaming revenues? |  |  |  | (c)(6) |  |
| **g.** | | A list of gaming activity internal controls at the gaming operation(s)? |  |  |  | (c)(7) |  |
| **h.** | | A description of the record keeping system(s) for all investigations, enforcement actions, and prosecutions of violations of the tribal gaming ordinance or regulations for the three-year period immediately preceding the date of the petition? |  |  |  | (c)(8) |  |
| **i.** | | The tribe’s current set of gaming regulations, if not included in the approved tribal gaming ordinance? |  |  |  | (c)(9) |  |
| **The Office of Self-Regulation (OSR) must conduct and complete its review of a tribe’s petition for self-regulation to determine whether it is complete under § 518.4, and must notify the tribe of its completeness in writing within 30 days of receiving the tribe’s petition. If the tribe’s petition is incomplete, the OSR must notify the tribe by letter (sent via certified mail with return receipt requested) of any obvious deficiencies or significant omissions in the petition. A tribe with an incomplete petition may submit additional information and/or clarification within 30 days of receipt of notice of an incomplete petition.** | | | | | | | |