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| **NATIONAL INDIAN GAMING COMMISSION**  **SELF-REGULATION CERTIFICATION AUDIT**  **ANNUAL REVIEW CHECKLIST**  **AUDITOR PROGRAM** | | | |
| **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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| SECTION I – ANNUAL REVIEW | | | | | | |
| This evaluation must be performed annually in order for the tribe to maintain a certificate of self-regulation. This section should be completed after April 15th of each calendar year or within 120 days of the end of the gaming operation’s fiscal year. | | **YES** | **NO** | **W/P**  **REF.** | **REGULATION** | **COMMENTS** |
| 1. | Has the tribe submitted annual independent audit(s) within the required timeline? |  |  |  | § 518.10(a) |  |
| 2. | Has the tribe submitted the complete resumes of all employees of the tribal regulatory body hired and licensed by the tribe subsequent to its receipt of a certificate of self-regulation? (*Review a list of current TGRA employee’s versus the previous year’s list of employees.)* |  |  |  | § 518.10(b) |  |
| 3. | Has the tribe notified the Commission within three (3) business days of any changes in circumstances that are material to the approval of a self-regulation certification? (*E.g., a change of a primary regulatory official; financial instability; or any other factor that is material to the decision to grant a certificate of self-regulation*). |  |  |  | § 518.11 |  |