

**OSF
STATE TRIBAL GAMING ACT
MONITORING PROCEDURES (PERMANENT FILE)**

The information listed below is documents that should be received by OSF and maintained in a permanent file for use during the monitoring for compliance with the Tribal-Gaming Act.

MONITORING PROCEDURE	Statute Ref.	Initial & Date	W/P Ref	COMMENTS
General Documents				
1. Ensure a signed copy of Compact is obtained. (If changes to the compact have occurred ensure written notice of changes has been obtain and they have been incorporated into Compact)	Section 21 and Section 22, Part 13, Paragraph D			
2. Review the Federal Register and ensure the Tribe appears for approval of Compact	Section 21			
3. Review and update the Emergency Access Plans.	Section 22, Part 7, Paragraph A5			
4. Review and update insurance policies to ensure the policies are current and meet statutory requirements for coverage	Section 22, Part 6, Paragraph A3			
5. Copies of any tort claims filed with the TCA or enterprise (this should have been done within 48 hours of the filings).	Section 22, Part 6, Paragraph A5			
6. Copies of any prize claims filed with the TCA or enterprise (this should have been done within 48 hours of the filings).	Section 22, Part 6, Paragraph B4			
7. Review and Update Independent Financial Audit Reports	Section 22, Part 5 Paragraph F			
Employees				
8. Review and update the chart of supervisory lines of authority for each enterprise for employees directly responsible for the conduct of covered games.	Section 22, Part 5, Paragraph H			
Fess				
9. Ensure the Federal Reporting of Prizes awarded has been provided. (W2-G Reporting)	Section 22, Part 11, Paragraph D			
Vendors/Financing				
10. Review and update listing of financial/loan transactions with respect to covered games or supplies exceeds \$50,000	Section 22, Part 10, Paragraph C2			
11. Review and update for approved management contracts	Section 22, Part 10, Paragraph B7			
Games				
12. Review and update quarterly listing of the number of covered games in each facility. This listing should be by name or type of each and have its identifying number.	Section 22, Part 5, Paragraph M			