

NEVADA GAMING CONTROL BOARD
 ASSOCIATED EQUIPMENT REVIEW CHECKLIST
 TABLE GAMES, CAGE AND CREDIT,
 AND CARD GAMES REVENUE REPORTING SYSTEMS

Auditors' Initials and Date

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Manufacturer: _____
 System/Version: _____
 Trial Location Name: _____
 Mfr#: _____ GCB Lab#: _____

Review Date(s): _____
 Auditor(s): _____
 Trial Location #: _____

Manufacturer's Personnel	Position	Contact Information

Definitions: "CWS" refers to a "Cashless Wagering System"

System Functionality and Reporting Requirements

General Report Requirements

1. Do all reports generated by the system contain the following attributes:
 - (a) Page numbering, indicating the current page and total number of pages? (e.g. Page X of Y)
 - (b) Current software version number? (including the engineering build number)
 - (c) Date/Time period (from and to) of activity covered by the report or, alternatively, an indication of "As Of" if the report includes data from a specific point in time?
 - (d) Date/Time the document was generated?
 - (e) Column and row titles?
 - (f) Title of the report
 - (g) Grand totals for the activity period covered by the report, and grand totals for the month-to-date, year-to-date, and life-to-date (at least two year comparison) amounts?

Industry Letter on Associated Equipment Reporting Requirements dated February 19, 2010

2. Does the system generate reports for all periods of activity even if the system has no data to present for the date/time period specified?

Industry Letter on Associated Equipment Reporting Requirements dated February 19, 2010

3. If the system has no data to present for one or more periods, do all system generated reports present \$0 dollar amounts or, alternatively, an indication of "No Activity" for these periods?

Industry Letter on Associated Equipment Reporting Requirements dated February 19, 2010

Logical Access Controls and Logging

4. Describe the method(s) employed to secure the system (i.e. passwords, biometrics, etc.) at all levels (Application, Database, Network, Operating System)?

IT MICS #5

5. Describe the method the system utilizes to force periodic password changes for user accounts.

IT MICS #6(a)

6. Describe how system utilizes password complexity requirements for user accounts with passwords being at least eight characters in length, and by utilizing at least two of the following four requirements:

IT MICS #6(b)

- (a) Upper case letters.
- (b) Lower case letters.

Pass	Fail	N/A	Comments

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- (c) Special characters.
- (d) Numeric characters.
- 7. Describe the method that the system uses to prevent passwords from being reused (i.e. non-reusable for a period of 18 months or, non-reusable for at least 10 password changes). **IT MICS #6(c)**
- 8. How does the system detect and prevent users from gaining access through repeated password attempts resulting in failed login attempts? **IT MICS #6(d)**
- 9. How does the system log, at a minimum, the following events: **IT MICS #7**
 - (a) Failed login attempts?
 - (b) Abnormal or unauthorized changes to live data files?
 - (c) Changes to system policies and parameters?
 - (d) Activity of administrative accounts?
 - (e) Changes to date/time on master time server?
- 10. Describe the method to review the system logs (i.e. available in one or more reports, or viewable only through the system interface). **IT MICS #7**
- 11. Does the system generate reports for exception type activities (e.g., changes to system parameters, corrections, overrides, voids, etc.) that include the following, at a minimum: [Specify the report title(s)] **IT MICS #9**
 - (a) Date/Time of alteration?
 - (b) Identification of user performing the alteration?
 - (c) Data or parameter that was altered?
 - (d) Value of the data or parameter prior to alteration?
 - (e) Value of the data or parameter after alteration?
- 12. How does the system manage permissions for user accounts (i.e. through use of Group profiles or through Individual profiles) at the application, database, network, or operating system level? **IT MICS #10 & 11**
- 13. Describe and name the report(s) that the system produces listing user access that contains the following: **IT MICS #12 (a) – (h)**
 - (a) Employee's name.
 - (b) Employee's title or position description.
 - (c) User login name.
 - (d) Full list and description of application functions that each group/user account may execute.
 - (e) Date/Time account was created.
 - (f) Date/Time of last login.
 - (g) Date of last password change.
 - (h) Date and time account was disabled or deactivated.
 - (i) Group membership of user account.
- 14. How does the system export the user access listing report to an electronic format that allows it to be reviewed using analytical data tools (i.e. spreadsheet or database)? **IT MICS #32**
- 15. Describe and list whether, and how, the system creates "Generic," "Default," "Service/System," or "Administrative" level accounts upon installation at the operating system layer, application layer, or database

Pass	Fail	N/A	Comments

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layer? **IT MICS #17-21**

16. Describe how the system logs all administrative account usage, including the following: **IT MICS #23**
(a) Date/Time of activity.
(b) Login account name.
(c) Description of event.
(d) Value before change.
(e) Value after change.

17. Describe the method of retention and viewing of such logs. **IT MICS #23**

18. Describe the method of configuring the system to secure terminals and server consoles after a defined period of inactivity. **IT MICS #43**

Remote Access for Cashless Wagering Systems

19. Does the system include a Cashless Wagering System? If no, then mark this section "N/A."

20. Describe the method required or recommended for remotely accessing the CWS and the access provisioning required to enable such access. **TS 3.150(17)**

21. How does the system ensure that remote access to the CWS is only allowed from the manufacturer's place of business and only by authorized manufacturer personnel? **TS 3.150(17)**

Patron Credit Accounts and Activity

22. How does the system record and report the following information, at a minimum, for patron credit accounts when established: **Cage & Credit MICS #1**
(a) Patron's name?
(b) Patron's address?
(c) Patron's credential description, number, expiration date, and date the credential was last examined?
(d) Authorized credit limit?
(e) Name of the employee authorizing credit limit?

23. How does the system ensure that prior to the extension of credit to a patron over the currently approved limit authorization, such extension is properly documented and approved? **Cage & Credit MICS #3, Table Games MICS #2**

24. How does the system record and report all extensions of credit over any given patron's currently approved limit? **Cage & Credit MICS #1 & 3, Table Games MICS #2, 3 & 7**

25. Does the system record each cage credit issuance transaction including: **Cage & Credit MICS #6**
(a) Date/Time of issuance?
(b) Amount of issuance?
(c) Marker number?
(d) Name of the employee processing the transaction?
(e) Patron name?
(f) Amount of available credit after issuance?

Pass	Fail	N/A	Comments

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		Pass	Fail	N/A	Comments
26.	For each pit credit transaction, how does the system record the following information: Table Games MICS #7 (a) Name of the employee processing the credit issuance? (b) Patron name? (c) Date/Time of issuance? (d) Table number where the issuance occurred? (e) Amount of credit issuance? (f) Marker number? (g) Current amount of available credit? (h) The amount of payments received and nature of payments (e.g., cash, chips, etc.)? (i) Transfer marker credit slip number or mass transfer form number? (j) Name of employee receiving payment?				
27.	How does the system generate all cage issued marker forms such that they include at least two parts, one of which contains the original marker, and one containing a payment slip, with both parts numbered by a unique marker number (e.g. either system generated or pre-printed)? Cage & Credit MICS #8				
28.	Does the original marker slip for all cage issued markers include: Cage & Credit MICS #9 (a) Marker number? (b) Patron's name? (c) Line for patron's signature? (d) Amount of issued credit in both alpha and numeric formats? (e) Employee name of the Cashier performing the Transaction (unless provided in a manual process)? (f) Cashier's signature (unless a manual form is used)?				
29.	How does the system record the following information, at a minimum, when a payment is made on a credit instrument at the cage or at a branch office: Cage & Credit MICS #22 (a) Date/Time of payment? (b) Amount of payment? (c) Nature of payment (e.g., cash, check, chips, etc.)? (d) Name of employee receiving the payment? (e) Name of the patron? (f) Marker number(s) the payment is being applied to?				
30.	When a partial payment is made on a credit instrument at the cage or branch office, does the system generate a new marker is generated for the remaining balance? If so, describe how the system generates the marker and how the system reports the payment and subsequent issuance of the new marker. Cage & Credit MICS #23				
31.	If a partial payment on a credit instrument made at the cage or branch office does <u>not</u> result in the system generating a new marker for the remaining balance, how does the system ensure that, at a minimum, a multi-part payment receipt is generated that includes: Cage & Credit MICS #23				

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	Pass	Fail	N/A	Comments
(a) Same receipt number on all copies (either system generated or pre-printed)? (b) Patron's name? (c) Date of payment? (d) Dollar amount of payment? (e) Nature of Payment (cash, check, chips, etc.)? (f) Name of employee receiving the payment? (g) Signature line for the employee receiving the payment? (h) Marker number or other identifying number of the credit instrument?				
32. Does the system have the capability to generate counter checks issued in the cage? If so, do the check forms include the following, at a minimum: Cage & Credit MICS #10 (a) Patron's name? (b) Signature line for patron? (c) Dollar amount of credit Issued in both alpha and numeric formats? (d) Name of cashier issuing credit? (e) Signature line for cashier?				
33. Does the system generate pit markers on triplicate forms that include the original marker, a payment slip, and an issue slip with a unique system generated or pre-printed marker number clearly printed on all three parts? If so, describe how the system generates these forms. Table Games MICS #4				
34. Does the system ensure that the original marker, for pit generated markers, includes the following: Table Games MICS #12 (a) Marker number? (b) Patron's name? (c) Signature line for patron? (d) Amount of credit issued in both alpha and numeric formats?				
35. Does the system ensure that the issue slip for pit generated markers includes the following (unless this information is available elsewhere in the system): Table Games MICS #13 (a) Same marker number as the original marker? (b) Table number? (c) Date and time of issuance? (d) Amount of credit issued? (e) Name and signature line for employee issuing the credit? (f) Signature line for dealer at the table?				
36. Does the system ensure that the payment slip for pit generated markers includes the following: Table Games MICS #14 (a) Same marker number as original marker? (b) Date/Time of payment? (c) Table number receiving payment (if the marker is being paid in full)? (d) Nature of payment (cash, chips, etc.)? (e) Amount of payment? (f) Name of pit supervisor acknowledging the payment? (g) Name of dealer receiving payment?				
37. When cage or pit issued markers are voided, how				

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		Pass	Fail	N/A	Comments
	does the system ensure that such transactions are authorized by a supervisor prior to voiding the marker? Cage & Credit MICS #11, Table Games MICS #15				
38.	Does the system record at least the following information when a void is processed for a cage or pit issued marker: Cage & Credit MICS #11, Table Games MICS #15 (a) Void status for the marker? (b) Reason for the void? (c) Date/Time of the void? (d) Name of cashier processing the void? (e) Name of the supervisor approving the void?				
39.	Does the system prevent cage personnel from voiding markers issued in the pit? If so, describe how the system prevents such an occurrence. Cage and Credit MICS #15				
40.	How does the system facilitate mass marker transfers from the pit to the cage and what documentation does the system generate for such transfers? Table Games MICS #66				
41.	Does the system generated documentation for mass marker transfers include, at least, the following:: Table Games MICS #66 (a) Unique document number? (b) Date/Time? (c) Shift? (d) Marker number, table number, and amount for each marker being transferred? (e) Total of all markers being transferred? (f) Name of the pit supervisor releasing the markers from the pit? (g) Name of the cashier verifying the receipts of the instruments at the cage?				
42.	How does the system prevent pit supervisors from having access or changing information for mass marker transfer transactions? Table Games #67				
43.	How does the system record payments received at the cage for all outstanding markers or returned checks such that information recorded includes, at a minimum, the following: Cage & Credit #22 & 23 (a) Date/Time of payment? (b) Amount of payment? (c) Nature of payment (e.g., cash, chips, etc.)? (d) Name of cashier receiving payment? (e) Patron's name? (f) Marker number(s) the payment is applied to? (g) Amount of remaining marker balance(s)?				
44.	How does the system record and report information for credit transaction activity occurring during each shift, such as: Cage & Credit MICS #29 (a) Cage marker issuances? (b) Pit marker issuances? (c) Cage marker payments? (d) Pit marker payments? (e) Mail payments for markers? (f) Pit marker transfers? (g) Patron account balances and available credit?				

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- (h) Marker aging report?
- (i) Any other types of transaction?

45. What attributes does the system record for all markers, IOU's, returned checks, hold checks or other similar credit instruments? **Regulation 6.040(2)(b)**

46. How does the system ensure that the authorization of two management employees, independent of the issuance and collection process, is required prior to writing off a marker? **Cage & Credit MICS #32**

47. Name the system generated report for all markers written off during the year. **Cage & Credit MICS #32**

48. How does the system record and report the processing of payments on markers that have been written off? **Cage & Credit MICS #32 & 59**

Fill/Credit Activity and Table Games Inventory

49. How does the system ensure that fill and credit slips generated include at least three parts, one of which is retained by the system with access restricted to prevent access to change or delete information by personnel from the pit or cage, or any other personnel deemed to be unauthorized to do so?
Table Games MICS #51

50. How does the system generate fills and credits such that they are uniquely and concurrently numbered, and recorded in the system? **Table Games MICS #49**

51. How does the system ensure that, prior to the processing and printing a fill or credit slip, a pit supervisor's authorization is required?
Table Games MICS #53

52. Do fill and credit slips generated by the system include the following: **Table Games MICS #56 – 60**
 (a) Date/Time?
 (b) Number of chips/tokens of each denomination?
 (c) Total amount of fill/credit?
 (d) Table number?
 (e) Pit supervisor authorizing the fill/credit transaction?
 (f) Signature line for the cashier, dealer, independent runner, and pit supervisor?

53. How does the system record and report a ledger for fill/credit activity occurring during a shift that is ordered by fill/credit number, and by table?
Table Games MICS #154(a) – (d)

54. Does the system require proper authorization to void a fill or a credit slip? **Table Games MICS #52**

55. Does the system record information when a void occurs including the date/time the void took place, the identification of the user performing the void, and the identification of the user authorizing the void?
Table Games MICS #52

56. How does the system report void transactions for fills and credits? **Table Games MICS #52**

Pass	Fail	N/A	Comments

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Soft Count Accounting and Reporting

- 57. How does the system record and report all beginning and ending chip/token inventory amounts on a "Master Games Summary" for purposes of calculating win for each shift? **Table Games MICS #71**
- 58. How does the system prevent individuals who perform the table inventory function from being able to change or delete table inventory amounts after the inventory count information is initially input in the system? **Table Games MICS #74**
- 59. If the system includes a currency counter interface, how is it secured to prevent unauthorized access? **Table Game MICS #91**
- 60. Does the system allow the correction of errors in soft count? If so, how are such errors be corrected and reported by the system? **Table Games MICS #105**

Wagering Accounts and Activity

- 61. Does the system feature a Cashless Wagering System? If no, then mark this entire section "N/A."
- 62. Does the CWS generate reporting for all wagering account transactions that includes, at a minimum, beginning balances, deposits, withdrawals, account adjustments, transfers to and from gaming areas (devices), WAT win, and ending balances in detail and in total, by wagering account? **TS 3.160 (13), Cage & Credit MICS #41 – 42**
- 63. Does the CWS generate reporting for all wagering account transactions (i.e., deposits, withdrawals, account adjustments) in detail and in total, by cashier, occurring during a cashier's shift? **TS 3.160(26), Cage & Credit MICS #38**
- 64. Does the CWS generate reporting for all cashiering activities (e.g. log on, redemptions, wagering account deposits/withdrawals/adjustments, log off, etc.), by cashier and in total? **TS 3.160(26)**
- 65. Does the CWS generate reporting such that at least a two part receipt for each patron wagering account deposit, withdrawal, or adjustment transaction includes the following: **Cage and Credit MICS #38, 39**
 - (a) Unique document number (pre-printed or system generated) appearing on all copies?
 - (b) Patron's name?
 - (c) Account number?
 - (d) Date/Time of transaction?
 - (e) Type of transaction?
 - (f) Dollar amount of transaction?
 - (g) Nature of deposit or withdrawal (cash, check, chips), if applicable?
 - (h) Reason for any adjustment, if applicable?
- 66. For each adjustment made to a wagering account, how does the CWS generate reporting such that, at a minimum, the following are included: **TS 3.160(25)**
 - (a) Patron name?
 - (b) Account number?

Pass	Fail	N/A	Comments
<u>Soft Count Accounting and Reporting</u>			
<u>Wagering Accounts and Activity</u>			

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- (c) Amount of adjustment?
- (d) Description/Explanation for adjustment?
- (e) Identification of employee performing adjustment?
- (f) Identification of employee authorizing adjustment?

Gaming Salons

67. Does the system include functionality relating to "Gaming Salons"? If No, then mark this entire section as "N/A."
68. How does the system produce a reporting for gaming salons that includes, at a minimum, the statistical drop, statistical win, and statistical win to statistical hold percentage? **Table Games MICS #123**
69. How does the system provide the above reporting such that it is available by table, by shift, by day, cumulative month-to-date, and cumulative year-to-date totals? **Table Games MICS #123**
70. How does the system produce a reporting showing life-to-date information for each patron (primary and/or secondary) wagering in a gaming salon during the month, and who had a credit limit of at least \$500,000? **Table Games MICS #124**
71. How does the above report present information such that it is ordered by type of game in the gaming salon, by patron, and in total for the patron's primary group? **Table Games MICS #124**
72. How does the above report present patron information such that the following for the patron's primary group includes: **Table Games MICS #124**
- (a) Estimated statistical drop and statistical win?
 - (b) Statistical win to statistical drop percentage?
 - (c) Total credit issuances?
 - (d) Total pit credit redemptions?
 - (e) Total number of trips to date?

Customer Deposits

73. Does the system include functionality relating to customer deposit accounts for front money and safe keeping? If No, then mark this entire section "N/A."
74. How does the system generate a reporting for all customer deposits for front money/safe keeping? **Cage & Credit MICS #46**
75. Does the report mentioned above present all patron transaction activity such that it is displayed by patron, and includes the following occurring during each shift: **Cage & Credit MICS #45 & 46**
- (a) Patron name?
 - (b) Beginning balance?
 - (c) Date/Time of deposit or withdrawal?
 - (d) Receipt number for deposit or withdrawal?
 - (e) Dollar amount of deposit or withdrawal?
 - (f) Nature of deposit/withdrawal (e.g., cash, check, chips, etc.)?
 - (g) Branch office location, if applicable?
 - (h) Employee's name who conducted the transaction?

Pass	Fail	N/A	Comments

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76. Does the system generate receipts for deposits and withdrawals that include at least two parts and present the following information:
Cage & Credit MICS #45
 (a) Unique receipt number?
 (b) Customer's came?
 (c) Signature for customer?
 (d) Date of transaction?
 (e) Dollar amount?
 (f) Nature (e.g., cash, check, chips, etc.)?
 (g) Branch office location?
 (h) Employee's name (or user ID) and signature line for cashier conducting transaction (unless a manual form is used)?

Accounting and Reporting

77. Does the system generate reporting for all transactions that flow through the casino cage such that all information is presented in summary format for each shift? **Cage & Credit MICS #49**

78. Does the system generate statistical reporting for table games such that it reflects statistical drop, statistical win, and statistical win to statistical drop hold percentage by table, and by type of game?
Table Games MICS #145

Note:

Statistical Drop = Drop (per Reg. 1.095) + Pit Credit Issuances - Pit Credit Payments in Cash

Statistical Win = Table Games Gross Revenue [per Reg. 6.110(1)] + Marker Credits (pit markers transferred to the cage)

79. Does the system present table games statistical information such that it is available for each shift, by day, cumulative month-to-date, and cumulative year-to-date? **Table Games MICS #145**

80. Does the system generate a "Master Games Report" that presents information such that for each table and each shift it includes:
Table Games MICS #71, 96, 99, 100, 102(b), & 106
 (a) Beginning table inventory?
 (b) Ending table inventory?
 (c) Drop amount?
 (d) Fills/Credits?
 (e) Marker issuances/payments?

81. Does the system generate a table games recap report ordered by game for each day, and in total such that it includes: **Table Games MICS #160, Card Games MICS #42(a)**
 (a) Pit credit issuances?
 (b) Pit credit payments made in the pit by type (cash or chips)?
 (c) Drop (per Reg. 1.095)?
 (d) Statistical win?
 (e) Gross revenue [per Reg. 6.110(1)]?

82. Does the system present both the table games statistical report and master games summary report by individual table, by game type, and by shift?

Pass	Fail	N/A	Comments
Accounting and Reporting			

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83. Do the table games statistical report and master games summary report include all transactions and amounts in detail, in total for the day, in cumulative month-to-date and cumulative year-to-date total amounts? **Table Games MICS #145, 160, 71, 96, 99, 100, 102(b) & 106**
84. Does the system generated "master games summary" report include all drop amounts counted in the soft count process such that the information for the gaming day is presented for each card game table by shift and in total for the day? **Card Games #42**
85. How does the system calculate and report gross revenue for Card Games in accordance with Regulation 6.110(4) on a daily report that also includes all month-to-date accumulation amounts? **Card Games MICS #43**
- Note:** Reg. 6.110(4) states "For each card game and any other game in which the licensee is not a party to a wager, gross revenue equals all money received by the licensee as compensation for conducting the game."
86. Does the system record all waived baccarat commissions using a unique consecutive number including, pursuant to Reg. 6.115(2):
- (a) Date, shift and time the licensee determined to not collect the baccarat commission?
 - (b) The amount of the baccarat commission not collected?
 - (c) The baccarat table number?
 - (d) Patron name, if known?
 - (e) Dealer's signature?
 - (f) Baccarat supervisor's signature?
- Note:** Reg. 6.115(2) states: "Concurrently with the decision to not collect the baccarat commission, the licensee must record, in such manner and using such preprinted, pre-numbered forms as the chairman has approved:
- (a) Date, shift and time the licensee determined to not collect the baccarat commission;
 - (b) The amount of the baccarat commission not collected;
 - (c) The baccarat table number;
 - (d) Patron name, if known;
 - (e) The dealer's signature; and
 - (f) A baccarat supervisor's signature."
- Computerized Player Tracking Systems Featuring Player Promotional Accounts
87. Does the system include player tracking or player promotional accounts? If No, then mark this entire section as "N/A."
88. How does the system record and report all manual adjustments to player accounts? **Table Games MICS #133, Card Games MICS #34**
89. How does the system prevent employees who redeem points for patrons from accessing inactive or closed accounts without supervisory authorization? **Table Games MICS #134, Card Games MICS #35**

Pass	Fail	N/A	Comments

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90. How does the system record and report any and all changes to system or promotional parameters?
IT MICS #7(d), IT MICS #23, Table Games MICS #136, Card Games MICS #37

System Components and Configurations

1. Specify the operating system name and version for all servers on which the system is being installed.
2. Specify the components being submitted for approval with the system including name, version, and server name/location where component is installed.
3. If the system utilizes back-end database(s), specify the database name, version, and server name/location housing the database(s) (i.e. FoxPro, Db2, MS SQL, Oracle, Pervasive, SQL Anywhere, etc.)
4. Specify the IP addresses for each server housing system components and data. (Include a topology diagram and network mapping diagram with the submission)
5. List all user accounts and associated account passwords that are configured on the system submitted for approval. (This includes accounts at the operating system, database, network, and application layers)
6. List the report generation software and version, if applicable (i.e. Crystal Reports, Microsoft SQL Reporting Services, etc.)

Testing Procedures

Testing Objectives

- Ensure that all fill and credit activity is properly recorded and reported by the system.
- Ensure that marker issuances, payments, and transfers are properly recorded and reported by the system.
- Ensure that all front money/safekeeping deposits and withdrawals are properly recorded and reported by the system.
- Ensure that exception type activities are properly recorded and reported by the system. (IT MICS #9).
- Ensure that exception type activities require proper independent authorization to complete.
- Ensure that the system requires appropriate account password security. (IT MICS #6).
- Ensure that the system tracks and reports appropriate events (IT MICS #7 & 23).
- Ensure that transaction detail reports foot and

Pass	Fail	N/A	Comments

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trace by table and in total to summary reports.

- Ensure that liability amounts for wagering accounts or other patron deposit accounts are accurately reported with all increases and decreases.
- Ensure that table chip/token inventories are recorded and reported properly by the system for each shift and gaming day.
- Ensure the system reports all cashiering activities appropriately.
- Ensure that the system records and reports all wagering account activity accurately and completely.
- Ensure that Taxable and Statistical Win calculations are accurate and properly reported by the system.
- Ensure the system limits access to write off patron credit instruments to appropriate personnel.
- Ensure the system properly records and reports all write-offs.
- Ensure that the system properly limits access to inactive patron player tracking accounts.
- Ensure the system reports all changes to player tracking accounts.
- Ensure that the system records and reports all wagering account activity.
- Ensure the marker forms and fill/credit forms conform to requirements on the Table Games, and Cage/Credit MICS.

Setup Activities

1. Create user accounts for the following employees:
 - (a) Two Pit Supervisor accounts
 - (b) Cage Cashier
 - (c) Cage Supervisor
 - (d) Soft Count
 - (e) Revenue Auditor
 - (f) Controller/Director of Finance
 - (g) Player Club Clerk
 - (h) Player Club Supervisor
 - (i) IT Personnel
2. Configure passwords to expire at least once during the test period.
3. Set up two pits and one poker room with the following:
 - (a) Two blackjack tables
 - (b) Two baccarat tables
 - (c) Two roulette tables
 - (d) Two craps tables
 - (e) Two pai gow poker tables
 - (f) Three card games (poker) tables

Pass	Fail	N/A	Comments

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4.	Set up two drop zones that include tables from both pits for different drop days.				
5.	Create six patron accounts with the at least the following limits: (a) Patron 1 - \$10,000 marker credit limit (b) Patron 2 - \$500 check cashing limit (c) Patron 3 - \$5,000 marker credit limit and \$1,000 check cashing limit (d) Patron 4 - Front Money balance of \$4,500 (e) Patron 5 - Safekeeping balance of \$6,000 and \$5,000 marker credit limit (f) Patron 6 - \$0 balances and no credit limits				
6.	Perform initial fills for each table in both pits to create beginning inventory balances for each. Record the amount of initial fills performed.				
7.	Establish patron promotional accounts for at least five patrons. Establish a beginning point balance for each patron and record the balance for each.				
8.	Establish wagering accounts for five patrons with initial deposits. Record the patron names and initial balances.				
9.	Close the set up day and/or roll the shift, and generate all reports.				
10.	Verify the following: (a) User Access Listing reports all new user accounts with appropriate information required by IT MICS #12. (b) Administrative account usage log contains a record of all setup activities and is accurately reporting all events. (c) Cage reports reflect all patron credit and deposit information accurately. (d) Master Games reports accurately reflect all tables in both pits and the poker room with all beginning inventory balances. (e) All patron promotional accounts are properly reflected with accurate point balances. (f) All patron wagering accounts are properly reflected with accurate deposit balances.				
	<u>Daily Test Transactions</u>				
11.	Generate at least 10 fill and 5 credit transactions for various amounts for each table in both pits. Alternate the amounts and tables across multiple shifts during the day. Record each transaction on a manual log for later comparison to ensure the system is properly recording and reporting transaction activity.				
12.	Attempt to void at least one fill and one credit transaction by using the user account that initiated the transaction. Note whether the system allows the user to void a transaction created by the same user.				
13.	Process at least two voids for fills and credits using the cage supervisor and a different pit supervisor account.				

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14.				Make at least two front money and two safe keeping deposits and withdrawals during the shift for different patrons. Record the patron name, cashier account used, and the amount of the transaction for later comparison to system reports.
15.				Cash at least five checks for at least two patrons – including one who does not have an established check cashing limit. Record the patron names, cashier accounts used, and the amount of each transaction. Note the system result for the patron who does not have a check cashing limit.
16.				Attempt to cash a check beyond the patron's available limit. Note the result.
17.				Generate at least 15 markers in various amounts for at least two patrons in both the pit and the cage. Record the amounts, patron accounts used, and cashier/pit supervisor used.
18.				Issue at least two markers above the patron's established credit limit. Record the amount and user account used to authorize the over-limit issuance. Ensure the system requires a supervisor to approve the issuance.
19.				Process a full payment on at least two markers in the pit prior to the end of the shift using various payment methods (chips vs. cash). Record the payments manually for later comparison to system reports.
20.				Process at least two partial payments in the pit and two partial payments in the cage. Use different payment methods (cash, check, chips, etc.) Ensure the system replaces the partially paid marker with a new one for the ones issued in the pit. Record the payments and replacement markers manually for later comparison to system reports.
21.				Attempt to pay a marker issued in the pit but not yet transferred to the cage. Record the system result.
22.				Void at least two markers issued in the pit prior to transfer back to the cage. Record the marker number, patron name, and the supervisor account used to process the void.
23.				Attempt to void one pit and one cage marker using the same account used to create the marker. Record the result.
24.				Attempt to roll the shift without transferring all pit issued markers to the cage. Record the result.
25.				Attempt to void a pit issued marker prior to transfer to the cage using the cage cashier and cage supervisor accounts. Record the result.
26.				Transfer all unpaid pit issued markers to the cage.
27.				Attempt to enter shift ending balances using the pit supervisor accounts. Record the result.

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				Comments
28.	Attempt to void a pit issued marker using both the cage cashier and cage supervisor after the marker has been transferred to the cage. Record the result.			
29.	Enter ending shift inventory amounts for each table using soft count or cage cashier accounts. Record the ending inventory amounts for each table.			
30.	Process a drop for the appropriate drop zone. Include at least one table that should be dropped on a different day. Exclude one table that should be dropped on the current day. Record the tables dropped and the amounts of each drop.			
31.	Process the drop count using the soft count user account. Attempt to correct at least two drop amounts and ensure the system requires two soft count team members to enter user names and passwords prior to correcting the error. Record the system result.			
32.	Upload the counted drop amounts using the soft count user account and the currency counter interface. Ensure the interface features proper security – record the method.			
33.	Close and roll the shift, and generate all appropriate reports.			
34.	Close the gaming day and generate all appropriate reports.			
	<u>Transactions to Process on Subsequent Days</u>			
35.	Process partial and full payments on markers issued on previous days. Record the patron, marker number, and payment amount.			
36.	Process at least two returned check transactions for two different patrons. Record the patron name, check numbers, and amounts.			
37.	Process a write-off and a settlement for at least two markers for two patrons. Attempt to process the write-off transaction using the cage supervisor and cage cashier accounts. Ensure the system does not allow the transaction to be processed. Record the result.			
38.	Process mail pays for at least two markers for two different patrons. Record the patron name, payment amount, and the user account receiving the payment.			
39.	Process at least one increase to a patron's credit limit for markers and for check cashing. Record the patron name, the previous limit, the new limit, and the user accounts performing and authorizing the increase.			
40.	Process at least one decrease to a patron's credit limit for markers and for check cashing. Record the patron name, the previous limit, the new limit, and the user accounts performing and authorizing the decrease.			
41.	Attempt to void fill and credit transactions occurring on previous days. Attempt to void markers issued on previous days and for which payments have been			

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applied.

42. Process subsequent payments on written off or settled credit instruments.

Testing of Application Controls

43. Force a password change and ensure the system requires password complexity as required by IT MICS #6.

44. Disable a user account and record the date and time and user account that was disabled for later comparison to system reports.

45. Add a new user account, recording the date and time of the addition and administrative account used to create the new user account.

46. Change the group membership and/or individual profile permissions for one user account.

47. Test the system to ensure that the terminals secure themselves after a defined period of inactivity. Record the setting and result.

48. Review system logging to ensure the usage of administrative accounts is accurately reflected.

49. Attempt three failed login attempts to ensure the system locks the user account to prevent further access attempts.

50. Review the user access listing to ensure that all events related to modification of user accounts are appropriately reported.

Wagering Account Transactions

51. Generate all cashier reports and wagering account reports from the CWS at the beginning of each test day.

52. Initiate at least 10 transfers to and from a gaming area from at least two patron wagering accounts for each day of testing.

53. Process at least five deposit and five withdrawal transactions in various amounts for at least three patron wagering accounts for each day of testing.

54. On the second day of testing, process a withdrawal equal to the full balance of at least one patron's account.

55. One a day other than the first day of testing, create a new patron wagering account with an initial deposit amount.

56. Make at least two positive and two negative adjustments to different patron wagering accounts on various days of testing.

57. Change the status of a patron wagering account from

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active to inactive. Attempt to access the inactive account using the cage cashier account. Record the result.

58. Generate all CWS reports and cashier activity reports at the end of each test day.

59. Verify the change in the WAT IN and WAT OUT meters on the CWS match the change in WAT IN and WAT OUT meters on the destination gaming system.

60. Verify that all cashiering activities are properly reported by the CWS system.

61. Verify that all adjustments to patron wagering accounts appear on exception reports and that adjustment events identify the date and time of the adjustment, the patron's account name and number, User ID of the employees making and approving the adjustment, and the amount of the adjustment.

62. Verify that all patron beginning balances are correct and that all transactions increasing and decreasing patron balances are properly reported and that ending balances are correct.

Auditing Procedures

63. Verify that all fill and credit slips include appropriate fields and formats and are uniquely numbered on all parts.

64. Verify that all parts of cage marker slips include appropriate fields and formats and are uniquely numbered on all parts.

65. Verify that all parts of pit marker slips include appropriate fields and formats and are uniquely numbered on all parts.

66. Verify that the beginning chip/token inventory balance for each table is accurately reported on the master games summary.

67. Verify that all fill and credit amounts reported on the master games summary for each table during each shift are correct and trace to the physical fill and credit slips.

68. Verify that all marker issuances are properly reported for each table on the master games summary for each shift.

69. Verify that all marker partial payments processed in the pit are reported properly for each table for each shift on the master games summary and that a replacement marker was issued for the unpaid balance.

70. Verify that payments processed in the pit are properly allocated by tender for each table and for each shift on the master games summary.

71. Verify that the drop amount reported for each table for

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- each shift is accurate on the master games summary.
- 72. Verify that the accuracy of the calculation of the win, statistical win, statistical drop, and statistical win to statistical drop percentage on the master games summary and all statistical reports.
- 73. Verify the beginning balances for each table and by game type are equal to the ending balances of the previous shift and previous day on the master games summary reports.
- 74. Verify the transaction detail reports for fills and credits agree to the physical fill and credit slips in number of slips, and in amount, for each shift.
- 75. Verify that all fill and credit slips are uniquely and consecutively numbered and are all accounted for.
- 76. Verify the transaction detail reports for marker issuances, payments, and transfers agree to the physical markers both in number of slips and amount for each shift.
- 77. Verify that all markers are uniquely numbered and consecutively numbered and all accounted for.
- 78. Verify that all voided fill and credit slips and voided markers are properly reported on exception reports and are properly authorized.
- 79. Verify that front money and safe keeping balances by patron are accurate and that all deposit and withdrawal activity is properly reported by patron and by shift.
- 80. Verify that beginning front money and safe keeping balances for each patron agree to the ending balances for the previous shift and previous day.
- 81. Verify that all front money and safe keeping deposit and withdrawal slips agree to the transaction detail reports.
- 82. Verify that beginning balances for all patron credit accounts are accurate and agree to the ending balances for the previous shift and previous day.
- 83. Verify that ending balances for all patron credit accounts for the shift and for the day accurately reflect all credit issuances, payments, write-offs, and settlements occurring during the shift and the day.
- 84. Verify that A/R aging reports accurately reflect patron outstanding balances and amounts of available credit.
- 85. Verify that all marker settlements and write-offs are accurately reflected on all applicable reports.
- 86. Verify that all reports showing patron settlements or write-offs contain all required attributes.
- 87. Verify that all returned checks for each patron are accurately reported and that detail transaction reports

Pass	Fail	N/A	Comments

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- agree to the physical instruments in number and amount.
- 88. Verify that all reports for at least one test date are clerically accurate and that all detail reports trace to totals on summary reports by table, by shift, by game type, and by gaming day.
- 89. Verify that cumulative amounts reported for each shift equal the amounts from the previous shift plus amounts for activity from the current shift.
- 90. Verify that cumulative month to date and year to date amounts for the current day equal the amounts from the previous day plus amounts from the current day.
- 91. Verify that the user access listing report contains all elements required by IT MICS #12 and that all user accounts are reported correctly.

Pass	Fail	N/A	Comments