

NEVADA GAMING CONTROL BOARD  
 ASSOCIATED EQUIPMENT REVIEW CHECKLIST  
 ELECTRONIC KENO 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

**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.
  - (c) Special Characters.
  - (d) Numeric Characters.

Pass	Fail	N/A	Comments

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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). <b>IT MICS #6(c)</b>				
8.	How does the system detect and prevent users from gaining access through repeated password attempts resulting in failed login attempts? <b>IT MICS #6(d)</b>				
9.	How does the system log, at a minimum, the following events: <b>IT MICS #7</b> (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). <b>IT MICS #7</b>				
11.	Describe what reports the system generates 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)] <b>IT MICS #9</b> (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? <b>IT MICS #10 &amp; 11</b>				
13.	Describe and name the report(s) that the system produces listing user access that contains the following: <b>IT MICS #12 (a) – (h)</b> (a) Employee name. (b) Employee 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)? <b>IT MICS #32</b>				
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 layer? <b>IT MICS #17-21</b>				
16.	Describe how the system logs all administrative				

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- 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**

Keno Accounting, Reports, and Forms

19. Does the system generate a ticket for each keno write transaction that includes: **Keno MICS #1 & 26(a)**

- (a) Casino Name?
- (b) City and State?
- (c) Date of Write?
- (d) Game Number(s)?
- (e) Unique Ticket Number?
- (f) Station Number or Writer Identification Number?
- (g) Conditioning (including multi-race, if applicable)?

20. How does the system record all write transactions in an unalterable "restricted transaction log" or storage media such that the record is secured from unauthorized and unrestricted access by keno personnel? **Keno MICS #2 & 3**

21. How does the system record and report void transactions such that the following information is available: **Keno MICS #4(a)**

- (a) Ticket Number?
- (b) Date/Time of Void?
- (c) User ID of Employee Processing the Void?

22. How does the system prevent writing or voiding of tickets after a game has been closed and the number selection process for the game has started? **Keno MICS #5**

23. What mechanism does the system provide for numbers selected for a game to be immediately recorded by the keno system that includes: **Keno MICS #9 & 13**

- (a) Date?
- (b) Game Number?
- (c) Time the Game was Closed?
- (d) Numbers Drawn?

24. Describe the manner in which the system validates a ticket as a winner and displays the amount to be paid to the patron prior to processing any payout? **Keno MICS #14**

25. How does the system preclude payment on winning tickets that have been previously paid? **Keno MICS #15**

26. How does the system preclude payment of winning tickets that expire after a configurable period of time? **Keno MICS #15**

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37. How does the system record at least the following for exceptions: **IT MICS #9, Keno MICS #26(e)**  
 (a) Date/Time of Change?  
 (b) ID of User Making Change?  
 (c) Data or Parameter Changed?  
 (d) Data or Parameter Value Prior to Change?  
 (e) Data or Parameter Value After Change?
38. What is the name of the report generated by the system for each individual writer for each day that includes both the Write Amount and Win Amount? **Keno MICS #27**
39. What is the name of the report that the system generates showing a summary of revenue that includes, for each keno game operated, and the total for all games operating, the following: **Keno MICS #28**  
 (a) Game Number?  
 (b) Write?  
 (c) Payouts?  
 (d) Win?  
 (e) Win to Write Hold Percentage?
40. How does the revenue summary report present total amounts for each attribute for each day, cumulative month-to-date, and cumulative year-to-date? **Keno MICS #28**
41. What is the name of the system generated report for drawn ball number frequency showing the numerical frequency distribution for the day, week, month, and year?  
**Keno MICS #47(f) & (g)**  
  
Computerized Player Tracking Systems Featuring  
 Player Promotional Accounts
42. Does the system record any manual adjustments to player accounts? **Keno MICS #38**
43. Does the system generate a report detailing any adjustments to patron promotional accounts including the following: [State the report title(s)]  
**Keno MICS #38**  
 (a) Patron Name  
 (b) Account Number  
 (c) Specific Promotion, as applicable?  
 (d) Amount of Adjustment?  
 (e) Explanation for Adjustment?  
 (f) Identification of User Performing Adjustment?  
 (g) Identification of User Authorizing Adjustment?
44. Does the system generate a report detailing all promotional account activity and balances by promotion and by patron? [State the report title(s)]  
**Keno MICS #38**
45. Does the system prevent employees who redeem points for patrons from accessing inactive or closed accounts without supervisory authorization?  
**Keno MICS #39**
46. Does the system generate a report of patron promotional accounts showing any changes to the account status (active vs. inactive) by patron that

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includes the patron name, account number, ID of user altering status of account, date/time of status change, Unique ID of user authorizing the change in account status, account status prior to change, and current account status? [State the report title(s)]  
**IT MICS #9, Keno MICS #41**

47. Does the system record and report any and all changes to system or promotional parameters? [State the report title(s)] **IT MICS #7(d), IT MICS #23, Keno MICS #41 & 42**

**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.)

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**Testing Procedures**

Testing Objectives

- Keno tickets contain all required information.
- Keno system does not allow a ticket to be voided after the balls have been drawn and the game has been closed.
- Keno system properly settles winning tickets and reports the amount of each winning ticket to be paid.
- Keno system properly reports all write transactions by cashier and by shift.
- Keno system enforces password complexity parameters and periodic change requirements.
- Keno system properly reports user access listing with all required attributes.
- Keno system properly logs and reports all required system audit event activity.
- Keno system requires supervisory approvals prior to voiding a written keno ticket.
- Keno system properly records and reports all exception type activity.
- Keno system properly records and processes "multi-race" tickets for multiple games.
- Keno system properly records and reports ball draw results for each game played during a shift.
- Keno system properly records and reports all payouts on winning tickets occurring during a shift.
- Keno system does not allow payouts to occur for losing tickets, winning tickets previously paid, or on voided tickets.
- Keno system properly reports all unpaid tickets in detail and in total.
- Keno system properly records and reports patron promotional account balances.
- Keno system requires supervisory approval prior to making changes to patron account system parameters or adjustments to patron promotional account balances.
- Keno system properly records and reports changes to player tracking system parameters and player adjustments.
- Keno system properly reports statistical information for the day, month, and year to date.
- Keno system "restricted" copy of written tickets is secured from access to writers.










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game number, etc.

6. Trace the totals on the Daily Write and Daily Payout reports to the Daily Recap report for each shift. Verify the shift totals are correct and that the house win amount is correct. Foot and cross-foot this report once to determine clerical accuracy.
  
7. Review all voids to determine that they are reported and that all voids appearing on the void report actually occurred.
  
8. Review the system logs and user access listings to determine that all changes are properly reported.
  
9. Review the Daily Keno Revenue Summary and determine the accuracy of:
  - (a) Write, Payouts, Win, and Win to Write percentage for each keno game operated.
  - (b) Total Write, Total Payouts, Total Win, and Total Win-to-Write Percentages for all keno games operated.
  - (c) Daily, Monthly, Year-To-Date totals.
  
10. Foot and cross-foot the Daily Keno Revenue Summary at least once.
  
11. Review the ball draw frequency report to determine that the report accurately reflects the number of times each ball was drawn and numerical frequency distribution is appropriate.
