

NEVADA GAMING CONTROL BOARD
 ASSOCIATED EQUIPMENT REVIEW CHECKLIST
 BINGO SYSTEMS

Auditors' Initials and Date

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

Review Date(s): _____
 Auditor(s): _____
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Manufacturer's Personnel	Position	Contact Information

System Functionality and Reporting Requirements

General Report Requirements

- Do all reports generated by the system contain the following attributes:
 - Page Numbering, indicating the current page and total number of pages? (e.g. Page X of Y)
 - Current Software Version Number? (including the engineering build number)
 - 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?
 - Date/Time the document was generated?
 - Column and row titles?
 - Title of the report
 - 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

- 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

- 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

- 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
- Describe the method the system utilizes to force periodic password changes for user accounts.
IT MICS #6(a)
- 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)
 - Upper Case Letters.
 - Lower Case Letters.
 - Special Characters.
 - 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). 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 least 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.	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)] 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 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 allowing it to be reviewed using analytical 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 layer? IT MICS #17-21				
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**

Bingo Accounting, Reports, and Forms

19. Describe how the system assigns a unique, consecutive transaction number to each bingo card that is sold, for both paper and electronic cards. **Bingo MICS #2**

20. When an electronic bingo card is sold, how does the system record a unique number of the bingo card sold so that it is immediately recorded in an unalterable manner and maintained? **Bingo MICS #3**

21. How does the system restrict access to all recorded card sales (electronic and paper) such that a bingo personnel are unable to alter the recorded sales transactions? **Bingo MICS #4 & 5**

22. Describe how the system processes the voiding of a bingo card, and what authorization is required. **Bingo MICS #6(a) & (b)**

23. For electronic bingo devices, how does the voiding process result in deactivating the bingo card(s) in the original electronic bingo device, if new bingo cards are issued when replacing an electronic bingo device? **Bingo MICS #6a**

24. How does the system preclude the voiding of bingo cards after the end of the first game in the session for which the card was sold? **Bingo MICS #7**

25. If a card requires voiding after the start of the calling of the game, how does the system process such a transaction? **Bingo MICS #7**

26. Does the system generate a bingo card sales report for each session that includes the following: [State the report title] **Bingo MICS #9(a) - (g)**
 (a) Date and time?
 (b) Session?
 (c) Beginning and ending assigned transaction number of the cards sold (by type)?
 (d) Number of cards sold (by type)?
 (e) Dollar amount of cards sold (by type)?
 (f) Total dollar amount of cards sold?
 (g) Signature or other identifier of seller(s)?

27. Describe the method used to ensure that patrons and surveillance are aware of the specific ball called as the session progresses. **Bingo MICS #12**

28. Describe the method the system uses to provide

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6. Describe the method the system employs to record and report any and all changes to system or promotional parameters, including titles of all reports?
Bingo MICS #41, IT MICS #7(d), 9, & 23

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

- Electronic card sales are assigned a unique consecutive transaction number by the point of sale system.
- The system secures the sales transaction ledger and prevents alterations by bingo personnel.
- The system records paper sales by number range (beginning and ending numbers by card type) for each cashier.
- The system requires a supervisor to authorize the voiding of bingo cards.
- The system accurately reports all void and other exception transactions.
- The system accurately records and reports all card sales of each type by cashier for each session.
- The system provides a verification of all numbers called on a winning card face and provides a method of displaying this to patrons.

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- The system provides a method for bingo personnel to verify that a winning card was sold during the session for which it was played and was not voided.
- The system accurately and completely reports all payouts for each game and each.
- The system generates a bingo revenue summary that includes writes, payouts, win and win-to-write hold percentage, for each session, day, month to date, and year to date.
- The system automatically records numbers selected by the RNG.
- The system provides a method for manually selected balls to be entered into the system.
- The system accurately reports weekly ball distributions showing frequency of draws for each ball.
- The system requires supervisory approval prior to making changes to patron account system parameters or adjustments to patron promotional account balances.
- The system properly records and reports changes to player tracking system parameters and player adjustments.
- The system properly reports statistical information for the day, month, and year to date.
- The system precludes non-supervisory access to inactive or disabled patron accounts.

Setup Activities

1. Create the following user accounts:
 - (a) Two Bingo Cashiers
 - (b) Paymaster
 - (c) Bingo Supervisor
 - (d) System Administrator
 - (e) Accounting Bingo Revenue Auditor
 - (f) Players Club Clerk
 - (g) Players Club Supervisor
2. Configure at least 2 different bingo sessions to occur during the day on two different shifts. If possible, configure the sessions to be similar to the one in use at the Field Trial location.
3. Set prices for the various packs (prices should be set similar to the ones at the Field Trial location).
4. Set prices for paper pack (prices should be set similar to the ones at the Field Trial location).
5. Set up each game type available for each session (games, including levels and patterns, should be set similar to the ones at the Field Trial location).

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6. Configure passwords for accounts to expire at least once during the test period.
 7. If applicable, configure the system to ensure user accounts require complex passwords.
 8. If applicable, configure system to allow for patron to claim a bingo win prior to another patron claiming a bingo win for the same game.
 9. Configure two bingo cashier counters to be used during the test period.
 10. If the system uses a random number generator, perform two test sessions drawing 20 numbers. Ensure the numbers drawn are accurately reflected by the Bingo system.
 11. Perform purchases of bingo cards (electronic and paper).
 12. Ensure a copy of the permutation book, "perms", which has all the cards' set-up is obtained. Compare the perms to the cards in the system. Verify the system accurately reflects the perms.
 13. Perform close procedures for the end of day and generate all system reports (including audit logs, exception reports, and user access listings).
 14. Review all reports to ensure that the configuration and testing activity accurately reflects on the reports.
- Daily Tests of Transactions
(To be performed over all three test dates)
15. Perform an initial ball draw to ensure the system is functioning properly, and that the balls are being accurately recorded in the bingo system.
 16. Open the session and both cashier stations. Issue paper cards from inventory at the beginning of each session. Ensure the beginning and ending numbers are documented.
 17. Sell at least 15 bingo cards per type (both electronic and paper) for each game for each cashier.
 18. Sell bingo cards (electronic and paper) for both the current session (prior to being closed) and future sessions.
 19. Sell 5 bingo cards (both electronic and paper) for the current session after the start of the first game.
 20. Attempt to process voids for the following:
(a) Void after session begins.
(b) Void after session ends.
 21. Void at least 10 bingo card sales of various types for various sessions (five voids per cashier station). Ensure the system requires a supervisor authorization prior to processing the void transaction.
 22. Void at least 2 payouts per cashier station. Ensure the

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system requires a supervisor authorization prior to processing the void transaction.				
23. Perform at least four cash transfers throughout the day for both cashier stations. Ensure the system shows proper cashier drawer balances and requires supervisory access to show the balances.				
24. After session has closed, attempt to sell additional bingo cards for that session. Ensure the system does not allow any bingo cards to be sold.				
25. Attempt to void a losing bingo card for a session that has closed. Ensure the system prevents the void from occurring.				
26. Process at least five payouts on bingo cards per session. Process payouts by a cashier other than the one who sold the bingo cards.				
27. Attempt to payout on a winning bingo card that has already been paid. Ensure the system prevents the payout.				
28. Attempt to claim a winning bingo card after another patron has already claimed bingo for the same game (i.e. try to process a second winning card after a game has already had a winning card and been closed).				
29. Attempt to payout on a voided bingo card. Ensure the system prevents the payout.				
30. Attempt to void a losing bingo card after the game has been concluded. Ensure the system does not allow such a transaction, or if it does allow this that the transaction is adequately logged and reported).				
31. Attempt to payout on a losing bingo card. Ensure the system prevents the payout.				
32. Attempt to payout on a bingo card that is not in play.				
33. Attempt to change the system time before a session, during a session, and after a session has closed.				
34. Return paper inventory at the close of each session.				
35. Process end of session procedures and generate all applicable reports.				
36. On subsequent test days, process the following: (a) Payouts on winning bingo cards for sessions closing on previous days. (b) Voids on bingo cards sold on closed session occurring on previous days. (c) Payouts on losing bingo cards sold for closed sessions occurring on previous days. (d) Alter the payout amount for a winning bingo card for a session closed on a previous day. (e) Attempt to alter the ball draw recorded in the system for a closed session on a previous day.				
37. Process end of day procedures and generate all applicable reports.				

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Testing of Application Controls
(To be performed on at least one test date)

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

Note: Ensure the passwords are required to be changed periodically, that the passwords are structured using proper complexity, and that passwords cannot be reused for 18 months or 10 changes.
- 39. Disable a user account and record the date and time and user account that was disabled for later comparison to system logs and user access listing.
- 40. Add a new user account, recording the date and time of the addition and administrative account used to create the new user account.
- 41. Change the group membership and/or individual profile permissions for one user account.
- 42. Test the system to ensure that the terminals secure themselves after a defined period of inactivity. Record the setting and result.
- 43. Review system logging to ensure the usage of administrative accounts is accurately reflected.
- 44. Attempt three failed login attempts to ensure the system locks the user account to prevent further access attempts.
- 45. Review the user access listing to ensure that all events related to modification of user accounts are appropriately reported.

Player Promotional Account Transactions

- 46. Generate all player promotion account reports.
- 47. Verify the beginning balances of all patron promotional accounts.
- 48. Create at least one player club clerk and one player club supervisor account.
- 49. Change the status of one patron's promotional account from active to inactive. Attempt to access the inactive patron account using the player club clerk user account. Record the result.
- 50. Make several positive and negative adjustments to various patron promotional account points using the player club clerk account over various days of testing. Ensure the system requires the approval of a supervisor prior to posting the adjustments. Record the result.
- 51. If the system offers the capability, set points adjusted to a patron's promotional account to expire on one of the subsequent test dates. Record the amount of the

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adjustment, the expiration date(s), and the patron accounts.

52. If the system offers the capability, accrue points to at least two patrons' promotional account through ordinary wagering activity on at least two days of testing. Record the amount of points awarded for each patron account used.

53. If the system is connected to a gaming system, attempt to use/redeem awarded points and adjusted points available in various patron accounts.

54. Attempt to make changes to the point award structure or other system parameters using the player club clerk account. Ensure the system does not allow the adjustments to be made.

55. Make changes to the point award structure or other system parameters using the player club supervisor account. Record the parameters and the value before and after the change.

56. Generate all patron promotional account reports at the end of each day.

57. Verify that the system reports the changes to the parameters and point structures on exception reports.

58. Verify the user access listing shows the creation of the two user accounts with the appropriate creation date and time.

59. Verify the ending liability balances for each patron promotional account reflect the correct changes from adjustments, redemptions, award accruals, and expirations.

60. Verify that all adjustments are reflected on exception reports and that the 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.

61. Verify that points expire as configured and are reported in detail for each day of testing.

62. Verify that the system reports the status change of the patron promotional account from active to inactive.

Audit Procedures

63. Review the Session Bingo Card Sales report to ensure that all bingo cards sold for each session are accurately reported. Foot and cross-foot this report once to determine clerical accuracy.

64. For each session, recalculate the total dollar amount of card sales as recorded on the session's bingo card sales report by comparing beginning and ending inventory and/or beginning and ending assigned transaction numbers for each type of card.

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65. Review the Bingo Payout report to verify that all payouts are recorded by game and in total for the session and that all bingo cards appearing on the report were actually paid. Foot and cross-foot this report once to determine clerical accuracy
66. Trace the session's card sales and payouts to the session amount on the bingo revenue summary. Ensure that each session's win/loss is properly computed on the bingo revenue summary by subtracting payouts from card sales (overages/shortages should not be included in the computation of win/loss, unless a subsequent adjustment is made to remove these from the calculation).
67. Verify that a winning card was sold during the session for which it was played and was not voided.
68. Foot the win/loss from each session and trace to the daily total on the bingo revenue summary.
69. Examine the bingo revenue summary and any other applicable documents, to ensure that any free play and promotional items were properly handled with respect to the computation of win/loss.
70. Trace the daily win/loss or cash turn-in (if applicable) on the bingo revenue summary to the cage accountability or the cash summary sheets.
71. Review all voids to determine that they are reported and that all voids appearing on the void report actually occurred.
72. Review the system logs and user access listings to determine that all changes are properly reported.
73. Review the Daily Bingo Revenue Summary and determine the accuracy of write (card sales), Payouts, Win, and Win to Write percentage for:
 - (a) Each Session (session win-to-write hold percentage is not required).
 - (b) Each Day.
 - (c) Month-to-date.
 - (d) Year-to-date.
74. For each card type, reconcile the documented total dollar amount of cards sold to the documented number of cards sold.
75. Foot and cross-foot the Daily Bingo Revenue Summary at least once.
76. For each card type, reconcile the number of cards sold by comparing the documented beginning and ending assigned transaction number to the documented number of cards sold.
77. 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.
78. For paper cards sold, compare the documented

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ending assigned transaction number to the beginning transaction number of the paper card inventory to ensure the paper cards are used in consecutive number order.

79. For computerized bingo systems, examine the system exception report for propriety of transactions and unusual occurrences. The review should include, but is not limited to, electronic bingo device malfunctions.

Pass	Fail	N/A	Comments