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| **§ 543.8 - Bingo** | |  |  |  |  |  |
| **(a)** | **Supervision** |  |  |  |  |  |
| 1. | Is supervision provided during bingo operations by an agent(s) with authority equal to or greater than those being supervised? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(a) |  |
| **(b)** | **Bingo Cards** |  |  |  |  |  |
| 2. | Do the physical bingo card inventory controls address the placement of orders, receipt, storage, issuance, removal, and cancellation of bingo card inventory to ensure that the bingo card inventory can be accounted for at all times? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(1)(i) |  |
| 3. | Are bingo cards secured/ reviewed to ensure that they have not been marked, altered, or otherwise manipulated? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(1)(ii) |  |
| 4. | Upon initial receipt from the supplier, was the bingo card inventory inspected by an authorized agent (without breaking the factory seals, if any)? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(2)(i) |  |
| 5. | Upon initial receipt, is the bingo card inventory counted, inventoried, and secured by an authorized agent? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(2)(i) |  |
| 6. | Do bingo card inventory records include the date received, quantities received, and the name(s) of the individual(s) conducting the inspection? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(2)(ii) |  |
| 7. | Storage - Are controls established and procedures implemented to ensure the following:  Bingo cards are maintained in a secure location, accessible only to authorized agents? (Inquiry, observation, and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(3)(i) |  |
| 8. | Storage - Are controls established and procedures implemented to ensure the following:  The bingo card storage has surveillance coverage adequate to identify persons accessing the storage area? (Inquiry and/or coordination with auditor conducting Surveillance Audit for observation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(3)(i) |  |
| 9. | Storage - Are controls established and procedures implemented to ensure the following:  Storage area is secured and separate from the working inventory? (Note: For Tier A operations, bingo card inventory may be stored in a cabinet, closet, or other similar area) (Inquiry and observation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(3)(ii) |  |
| 10. | For issuance and returns of inventory, are controls established and procedures implemented to ensure that the bingo card inventory is documented with records signed by the issuer and the recipient? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(4)(i) |  |
| 11. | For issuance and returns of inventory, is the transaction documented with records signed by the issuer and the recipient for the following:  Issuance of inventory from storage to a staging area? (Inquiry, observation, and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(4)(i)(A) |  |
| 12. | For issuance and returns of inventory, is the transaction documented with records signed by the issuer and the recipient for the following:  Issuance of inventory from a staging area to the cage or sellers? (Inquiry, observation, and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(4)(i)(B) |  |
| 13. | For issuance and returns of inventory, is the transaction documented with records signed by the issuer and the recipient under the following events:  Return of inventory from a staging area to storage? (Inquiry, observation, and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(4)(i)(C) |  |
| 14. | For issuance and returns of inventory, is the transaction documented with records signed by the issuer and the recipient for the following:  Return of inventory from cage or seller to staging area or storage? (Inquiry, observation, and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(4)(i)(D) |  |
| 15. | Cancellation and removal (not returned to the supplier) – Are bingo cards removed from inventory that are deemed out of sequence, flawed, or misprinted, cancelled to ensure that they are not utilized in the play of a bingo game? (Inquiry, observation, and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(5)(i) |  |
| 16. | Cancellation and removal (returned to the supplier) – Are bingo cards that are removed from inventory cancelled and logged as removed from inventory? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(5)(i) |  |
| 17. | Cancellation and removal – Are bingo cards associated with an investigation retained intact outside of the established removal and cancellation policy? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(5)(ii) |  |
| 18. | Logs - Is the inventory of bingo cards tracked and logged from receipt until use or permanent removal from inventory? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(6)(i) |  |
| 19. | Logs - Does the bingo card inventory record(s) include:  Date? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(6)(ii)(A) |  |
| 20. | Logs - Does the bingo card inventory record(s) include:  Shift or session? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(6)(ii)(B) |  |
| 21. | Logs - Does the bingo card inventory record(s) include:  Time? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(6)(ii)(C) |  |
| 22. | Logs - Does the bingo card inventory record(s) include:  Location? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(6)(ii)(D) |  |
| 23. | Logs - Does the bingo card inventory record(s) include:  Inventory received, issued, removed, and returned? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(6)(ii)(E) |  |
| 24. | Logs - Does the bingo card inventory record(s) include:  Signature of agent performing transaction? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(6)(ii)(F) |  |
| 25. | Logs - Does the bingo card inventory record(s) include:  Signature of agent performing the reconciliation? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(6)(ii)(G) |  |
| 26. | Logs - Does the bingo card inventory record(s) include:  Any variance? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(6)(ii)(H) |  |
| 27. | Logs - Does the bingo card inventory record(s) include:  Beginning and ending inventory? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(6)(ii)(I) |  |
| 28. | Logs - Does the bingo card inventory record(s) include:  Description of inventory transaction being performed? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(b)(6)(ii)(J) |  |
| **(c)** | **Bingo card sales** |  |  |  |  |  |
| 29. | Are agents who sell bingo cards prevented from being the sole verifier of bingo cards for prize payouts? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(1) |  |
| 30. | Manual bingo card sales - In order to adequately record, track, and reconcile sales of bingo cards, is the following information documented:  Date? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(2)(i) |  |
| 31. | Manual bingo card sales - In order to adequately record, track, and reconcile sales of bingo cards, is the following information documented:  Shift or session? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(2)(ii) |  |
| 32. | Manual bingo card sales - In order to adequately record, track, and reconcile sales of bingo cards, is the following information documented:  Number of bingo cards issued, sold, and returned? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(2)(iii) |  |
| 33. | Manual bingo card sales - In order to adequately record, track, and reconcile sales of bingo cards, is the following information documented:  Dollar amount of bingo card sales? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(2)(iv) |  |
| 34. | Manual bingo card sales - In order to adequately record, track, and reconcile sales of bingo cards, is the following information documented:  Signature, initials, or identification number of the agent preparing the record? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(2)(v) |  |
| 35. | Manual bingo card sales - In order to adequately record, track, and reconcile sales of bingo cards, is the following information documented:  Signature, initials, or identification number of an independent agent who verified the bingo cards returned to inventory? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(2)(vi) |  |
| 36. | Manual bingo card sales - In order to adequately record, track, and reconcile sales of bingo cards, is the following information documented:  Signature, initials, or identification number of an independent agent who verified the dollar amount of bingo card sales?  (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(2)(vi) |  |
| 37. | Are bingo card sale voids processed in accordance with the rules of the game and established controls? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(3) |  |
| 38. | Are bingo card sale voids processed in accordance with the rules of the game and established controls that include the following:  Patron refunds? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(3)(i) |  |
| 39. | Are bingo card sale voids processed in accordance with the rules of the game and established controls that include the following:  Adjustments to bingo card sales to reflect voids? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(3)(ii) |  |
| 40. | Are bingo card sale voids processed in accordance with the rules of the game and established controls that include the following:  Adjustment to bingo card inventory? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(3)(iii) |  |
| 41. | Are bingo card sale voids processed in accordance with the rules of the game and established controls that include the following:  Documentation of the reason for the void? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(3)(iv) |  |
| 42. | Are bingo card sale voids processed in accordance with the rules of the game and established controls that include the following:  Authorization for all voids? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(3)(v) |  |
| 43. | Class II gaming system bingo card sales - In order to adequately record, track and reconcile sales of bingo cards, is the following information documented from the server (this is not required if the system does not track the information, but system limitation(s) must be noted):  Date? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(4)(i) |  |
| 44. | Class II gaming system bingo card sales - In order to adequately record, track and reconcile sales of bingo cards, is the following information documented from the server (this is not required if the system does not track the information, but system limitation(s) must be noted):  Time? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(4)(ii) |  |
| 45. | Class II gaming system bingo card sales - In order to adequately record, track and reconcile sales of bingo cards, is the following information documented from the server (this is not required if the system does not track the information, but system limitation(s) must be noted):  Number of bingo cards sold? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(4)(iii) |  |
| 46. | Class II gaming system bingo card sales - In order to adequately record, track and reconcile sales of bingo cards, is the following information documented from the server (this is not required if the system does not track the information, but system limitation(s) must be noted):  Dollar amount of bingo card sales? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(4)(iv) |  |
| 47. | Class II gaming system bingo card sales - In order to adequately record, track and reconcile sales of bingo cards, is the following information documented from the server (this is not required if the system does not track the information, but system limitation(s) must be noted):  Amount in, amount out and other associated meter information? (Examination of records) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(c)(4)(v) |  |
| **(d)** | **Draw** |  |  |  |  |  |
| 48. | Are controls established and procedures implemented to ensure that all eligible objects used in the conduct of the bingo game are available to be drawn and have not been damaged or altered? (Inquiry, observation, and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(d)(1) |  |
| 49. | Is verification of physical objects performed by two agents before the start of the first bingo game/session? (Inquiry and observation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(d)(1) |  |
| 50. | Is at least one of the verifying agents a supervisory agent or independent of the bingo games department? (Inquiry) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(d)(1) |  |
| 51. | Is the selection (of bingo balls/numbers) made through an electronic aid? (Certification in accordance with 25 CFR 547.14 is acceptable for verifying the randomness of the draw and satisfies the requirements of paragraph (d)(1) of this section (as applicable).) (Observation and inquiry) (N/A and YES answers only) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(d)(2) |  |
| 52. | Are controls established and procedures implemented to provide a method of recall of the draw, which includes the order and identity of the objects drawn, for dispute resolution purposes? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(d)(3) |  |
| 53. | Verification and display of draw – Are controls established and procedures implemented to ensure that the identity of each object drawn is accurately recorded and transmitted to the participants? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(d)(4)(i) |  |
| 54. | Do the procedures identify the method used to ensure the identity of each object drawn? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(d)(4)(i) |  |
| 55. | For all games offering a prize payout of $1,200 or more, as the objects are drawn, is the identity of the objects immediately recorded and maintained for a minimum of 24 hours? (Inquiry, observation, and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(d)(4)(ii) |  |
| **(e)** | **Prize payout** |  |  |  |  |  |
| 56. | Are controls established and procedures implemented for cash or cash equivalents that address the following:  Is the agent who is authorized to make a payout identified (by position)? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(1)(i) |  |
| 57. | Are controls established and procedures implemented for cash or cash equivalents that address the following:  Are there predetermined payout authorization levels (by position)? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(1)(ii) |  |
| 58. | Are controls established and procedures implemented for cash or cash equivalents that address the following:  Do documentation procedures ensure separate control of the cash accountability functions? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(1)(iii) |  |
| 59. | Verification of validity – Are controls established and procedures implemented to verify that the following is valid for the game in play prior to payment of a winning prize:  Winning card(s)? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(2)(i)(A) |  |
| 60. | Verification of validity – Are controls established and procedures implemented to verify that the following is valid for the game in play prior to payment of a winning prize:  Objects drawn? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(2)(i)(B) |  |
| 61. | Verification of validity – Are controls established and procedures implemented to verify that the following is valid for the game in play prior to payment of a winning prize:  Is the previously designated arrangement of numbers or designations on such cards (as described in 25 U.S.C. 2703(7)(A)) valid for play? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(2)(i)(C) |  |
| 62. | Do at least two agents verify that the card, objects drawn, and previously designated arrangement were valid for the game in play? (Inquiry, observation, and review supporting documentation)  (Note: Where an automated verification method is available, verification by such method is acceptable.) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(2)(ii) |  |
| 63. | Validation – For manual payouts, do at least two agents determine the validity of the claim prior to the payment of a prize? (Inquiry and review supporting documentation)  (Note: The system may serve as one of the validators.) (Note: For automated payouts, the system may serve as the sole validator of the claim.) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(3)(i) |  |
| 64. | Verification – For manual payouts, do at least two agents verify that the winning pattern has been achieved on the winning card prior to the payment of a prize? (Inquiry and review supporting documentation)  (Note: The system may serve as one of the verifiers.) (Note: For automated payouts, the system may serve as the sole verifier that the pattern has been achieved on the winning card.) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(4)(i) |  |
| 65. | Authorization and signatures – For manual prize payouts, do at least two agents authorize, sign, and witness all manual prize payouts above $1,200? (Inquiry and review SICS.) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(5)(i) |  |
| 66. | Authorization and signatures – For manual prize payouts, if management has authorized manual prize payout thresholds that are lower than $1,200, is the predetermined amount documented? State the predetermined amount $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_. (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(5)(i) |  |
| 67. | Authorization and signatures – For manual prize payouts, did the gaming operation receive TGRA approval for the policies and procedures and the threshold amount for manual prize payouts? (Review TGRA approval) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(5)(i) |  |
| 68. | Do manual prize payouts above the following threshold (or a lower threshold, as authorized by management) require one of the two signatures and verifications to be a supervisory or management employee independent of the operation of Class II Gaming System bingo and the following:  $5,000 for a **Tier A** facility? (Inquiry, review SICS, and review supporting documentation)  If manual prize payouts are lower than ($5,000), state the predetermined amount $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_. | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(5)(ii)(A) |  |
| 69. | Do manual prize payouts above the following threshold (or a lower threshold, as authorized by management) require one of the two signatures and verifications to be a supervisory or management employee independent of the operation of Class II Gaming System bingo and the following:  $10,000 for a **Tier** **B** facility? (Inquiry, review SICS, and review supporting documentation)  If manual prize payouts are lower than ($10,000), state the predetermined amount $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_. | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(5)(ii)(B) |  |
| 70. | Do manual prize payouts above the following threshold (or a lower threshold, as authorized by management) require one of the two signatures and verifications to be a supervisory or management employee independent of the operation of Class II Gaming System bingo and the following:  $20,000 for a **Tier C** facility (with up to $100 million GGR)? (Inquiry, review SICS, and review supporting documentation)  If manual prize payouts are lower than ($20,000), state the predetermined amount $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_. | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(5)(ii)(C) |  |
| 71. | Do manual prize payouts above the following threshold (or a lower threshold, as authorized by management) require one of the two signatures and verifications to be a supervisory or management employee independent of the operation of Class II Gaming System bingo and the following:  $50,000 for a **Tier C** facility (with over $100 million GGR)? (Inquiry, review SICS, and review supporting documentation)  If manual prize payouts are lower than ($50,000), state the predetermined amount $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_. | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(5)(ii)(D) |  |
| 72. | Are the predetermined thresholds, whether set at the MICS level or lower, authorized by management, approved by the TGRA, documented, and maintained? (Review TGRA approval) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(5)(iii) |  |
| 73. | Does the Class II gaming system operation substitute for one authorization/signature verifying, validating or authorizing a winning card? (Inquiry and review supporting documentation)  (Note: May not substitute for a supervisory or management authorization/signature.) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(5)(iv) |  |
| 74. | Do payout records, including manual payout records, include the following information:  Date and time? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(6)(i) |  |
| 75. | Do payout records, including manual payout records, include the following information:  Amount of the payout (alpha & numeric for player interface payouts)? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(6)(ii) |  |
| 76. | Do payout records, including manual payout records, include the following information:  Bingo card identifier or player interface identifier? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(6)(iii) |  |
| 77. | Do manual payout records also include the following:  Game name or number? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(6)(iv)(A) |  |
| 78. | Do manual payout records also include the following:  Description of pattern covered, such as cover-all or four corners? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(6)(iv)(B) |  |
| 79. | Do manual payout records also include the following:  Signature of all, but not less than two, agents involved in the transaction? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(6)(iv)(C) |  |
| 80. | Do manual payout records also include the following:  For override transactions, verification by a supervisory or management agent independent of the transaction? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(6)(iv)(D) |  |
| 81. | Do manual payout records also include the following:  Any other information necessary to substantiate the payout? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(e)(6)(iv)(E) |  |
| **(f)** | **Cash and equivalent controls** |  |  |  |  |  |
| 82. | Are cash or cash equivalents exchanged between two persons counted independently by at least two agents and reconciled to the recorded amounts at the end of each shift or session? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(f)(1) |  |
| 83. | Are unexplained variances documented and maintained? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(f)(1) |  |
| 84. | Are unverified transfers of cash or cash equivalents prohibited? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(f)(1) |  |
| 85. | Are procedures implemented to control cash or cash equivalents based on the amount of the transaction? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(f)(2) |  |
| 86. | Do the procedures to control cash and cash equivalents include documentation by shift, session, or other relevant time period of the following:  Inventory, including any increases or decreases? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(f)(2)(i) |  |
| 87. | Do the procedures to control cash and cash equivalents include documentation by shift, session, or other relevant time period of the following:  Transfers? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(f)(2)(ii) |  |
| 88. | Do the procedures to control cash and cash equivalents include documentation by shift, session, or other relevant time period of the following:  Exchanges, including acknowledging signatures or initials? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(f)(2)(iii) |  |
| 89. | Do the procedures to control cash and cash equivalents include documentation by shift, session, or other relevant time period of the following:  Resulting variances? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(f)(2)(iv) |  |
| 90. | Do any changes to control of accountability, exchange, or transfer require that the cash or cash equivalents be counted and recorded independently by at least two agents and reconciled to the recorded amount? (Inquiry, observation, and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(f)(3) |  |
| **(g)** | **Technologic aids to the play of bingo** |  |  |  |  |  |
| 91. | Are controls established and procedures implemented to safeguard the integrity of technologic aids to the play of bingo during installations, operations, modifications, removal and retirements? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g) |  |
| 92. | Shipping and receiving - Is a communication procedure established between the supplier, the gaming operation, and the TGRA to properly control the shipping and receiving of all software and hardware components and do such procedures include the following:  Is a notification of pending shipments provided to the TGRA by the gaming operation? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(1)(i)(A) |  |
| 93. | Shipping and receiving - Is a communication procedure established between the supplier, the gaming operation, and the TGRA to properly control the shipping and receiving of all software and hardware components and do such procedures include the following:  Certification in accordance with 25 CFR part 547 (as applicable)? (N/A and YES answers only) (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(1)(i)(B) |  |
| 94. | Does notification from the supplier to the TGRA, or the gaming operation as approved by the TGRA, of the shipping date and expected date of delivery include the following:  Name and address of the supplier? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(1)(i)(C)(1) |  |
| 95. | Does notification from the supplier to the TGRA, or the gaming operation as approved by the TGRA, of the shipping date and expected date of delivery include the following:  Description of shipment? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(1)(i)(C)(2) |  |
| 96. | Does notification from the supplier to the TGRA, or the gaming operation as approved by the TGRA, of the shipping date and expected date of delivery include the following:  For player interfaces: a serial number? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(1)(i)(C)(3) |  |
| 97. | Does notification from the supplier to the TGRA, or the gaming operation as approved by the TGRA, of the shipping date and expected date of delivery include the following:  For software: software version and description of software? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(1)(i)(C)(4) |  |
| 98. | Does notification from the supplier to the TGRA, or the gaming operation as approved by the TGRA, of the shipping date and expected date of delivery include the following:  Method of shipment? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(1)(i)(C)(5) |  |
| 99. | Does notification from the supplier to the TGRA, or the gaming operation as approved by the TGRA, of the shipping date and expected date of delivery include the following:  Expected date of delivery? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(1)(i)(C)(6) |  |
| 100. | Are procedures implemented for the exchange of Class II gaming system components for maintenance and replacement? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(1)(ii) |  |
| 101. | Are Class II gaming system components shipped in a secure manner to deter unauthorized access? (Inquiry, observation, and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(1)(iii) |  |
| 102. | Does the TGRA, or its designee, receive all Class II gaming system components and game play software packages, and verify the contents against the shipping notification? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(1)(iv) |  |
| 103. | Access credential control methods – Are controls established to restrict access to the Class II gaming system components, as set forth in § 543.20, Information and Technology (as applicable)? (N/A and YES answers only) (Inquiry) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(2)(i) |  |
| 104. | Recordkeeping and audit processes - Does the gaming operation maintain records, as applicable, related to installed game servers and player interfaces for the following:  Date placed into service? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(3)(i)(A) |  |
| 105. | Recordkeeping and audit processes - Does the gaming operation maintain records, as applicable, related to installed game servers and player interfaces for the following:  Date made available for play? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(3)(i)(B) |  |
| 106. | Recordkeeping and audit processes - Does the gaming operation maintain records, as applicable, related to installed game servers and player interfaces for the following:  Supplier? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(3)(i)(C) |  |
| 107. | Recordkeeping and audit processes - Does the gaming operation maintain records, as applicable, related to installed game servers and player interfaces for the following:  Software version? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(3)(i)(D) |  |
| 108. | Recordkeeping and audit processes - Does the gaming operation maintain records, as applicable, related to installed game servers and player interfaces for the following:  Serial number? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(3)(i)(E) |  |
| 109. | Recordkeeping and audit processes - Does the gaming operation maintain records, as applicable, related to installed game servers and player interfaces for the following:  Game title? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(3)(i)(F) |  |
| 110. | Recordkeeping and audit processes - Does the gaming operation maintain records, as applicable, related to installed game servers and player interfaces for the following:  Asset and/or location number? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(3)(i)(G) |  |
| 111. | Recordkeeping and audit processes - Does the gaming operation maintain records, as applicable, related to installed game servers and player interfaces for the following:  Seal number? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(3)(i)(H) |  |
| 112. | Recordkeeping and audit processes - Does the gaming operation maintain records, as applicable, related to installed game servers and player interfaces for the following:  Initial meter reading? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(3)(i)(I) |  |
| 113. | System software signature verification - Are procedures implemented for system software verifications and do the procedures include the following:  Comparing signatures generated by the verification programs required by 25 CFR 547.8, to the signatures provided in the independent test laboratory letter for the software version? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(4)(i) |  |
| 114. | Does an agent independent of the bingo operation perform system software signature verification(s) to verify that only approved software is installed? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(4)(ii) |  |
| 115. | Are procedures implemented for investigating and resolving any software verification variances? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(4)(iii) |  |
| 116. | Installation testing – Is testing completed during the installation process to verify that the player interface has been properly installed? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(5)(i) |  |
| 117. | Does installation testing include the following, as applicable:  Communication with the Class II gaming system? (Inquiry) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(5)(i)(A) |  |
| 118. | Does installation testing include the following, as applicable:  Communication with the accounting system? (Inquiry) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(5)(i)(B) |  |
| 119. | Does installation testing include the following, as applicable:  Communication with the player tracking system? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(5)(i)(C) |  |
| 120. | Does installation testing include the following, as applicable:  Currency and vouchers to bill acceptor? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(5)(i)(D) |  |
| 121. | Does installation testing include the following, as applicable:  Voucher printing? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(5)(i)(E) |  |
| 122. | Does installation testing include the following, as applicable:  Meter incrementation? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(5)(i)(F) |  |
| 123. | Does installation testing include the following, as applicable:  Pay table, for verification? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(5)(i)(G) |  |
| 124. | Does installation testing include the following, as applicable:  Player interface denomination, for verification? (Inquiry and observation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(5)(i)(H) |  |
| 125. | Does installation testing include the following, as applicable:  All buttons, to ensure that all are operational and programmed appropriately? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(5)(i)(I) |  |
| 126. | Does installation testing include the following, as applicable:  System components, to ensure that they are safely installed at location? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(5)(i)(J) |  |
| 127. | Does installation testing include the following, as applicable:  Locks, to ensure that they are secure and functioning? (Inquiry and observation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(5)(i)(K) |  |
| 128. | Does the TGRA or the operation verify that all game rules and disclaimers are displayed at all times or made readily available to the player upon request, as required by 25 CFR part 547? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(6) |  |
| 129. | Does the TGRA approve all technologic aids before they are offered for play? (Review TGRA approval) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(7) |  |
| 130. | Does all Class II gaming equipment comply with 25 CFR part 547, Minimum Technical Standards for Gaming Equipment Used With the Play of Class II Games? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(8) |  |
| 131. | Has the TGRA or the operation established and implemented procedures for dispute resolution? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(g)(9) |  |
| **(h)** | **Operations** |  |  |  |  |  |
| 132. | Malfunctions – Are procedures implemented to investigate, document and resolve malfunctions? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(1) |  |
| 133. | Do the malfunction procedures address the following:  Determination of the event causing the malfunction? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(1)(i) |  |
| 134. | Do the malfunction procedures address the following:  Review of relevant records, game recall, reports, logs, and surveillance records? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(1)(ii) |  |
| 135. | Do the malfunction procedures address the following:  Repair or replacement of the Class II gaming component? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(1)(iii) |  |
| 136. | Do the malfunction procedures address the following:  Verification of the integrity of the Class II gaming component before restoring it to operation? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(1)(iv) |  |
| 137. | Removal, retirement and/or destruction – Are procedures implemented to retire or remove any or all associated components of a Class II gaming system from operation? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(2) |  |
| 138. | Removal, retirement and/or destruction – For player interfaces and components that accept cash or cash equivalents, do the removal, retirement and/ or destruction procedures include the following:  Coordinate with the drop team to perform a final drop? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(2)(i)(A) |  |
| 139. | Removal, retirement and/or destruction – For player interfaces and components that accept cash or cash equivalents, do the removal, retirement and/ or destruction procedures include the following:  Collection of the final accounting information such as meter readings, drop and payouts? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(2)(i)(B) |  |
| 140. | Removal, retirement and/or destruction – For player interfaces and components that accept cash or cash equivalents, do the removal, retirement and/ or destruction procedures include the following:  Removal and/or securing any or all associated equipment such as locks, card reader, or ticket printer from the retired or removed component? (Inquiry and observation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(2)(i)(C) |  |
| 141. | Removal, retirement and/or destruction – For player interfaces and components that accept cash or cash equivalents, do the removal, retirement and/ or destruction procedures include the following:  Document removal, retirement, and/or destruction? (Inquiry and observation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(2)(i)(D) |  |
| 142. | Removal, retirement and/or destruction – For removal of software components, do procedures include the following:  Purge and/or return the software to the license holder? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(2)(ii)(A) |  |
| 143. | Removal, retirement and/or destruction – For removal of software components, do procedures include the following:  Document the removal? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(2)(ii)(B) |  |
| 144. | Removal, retirement and/or destruction – For removal of other related equipment such as blowers, cards, interface cards, do procedures include the following:  Remove and/or secure equipment? (Inquiry and observation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(2)(iii)(A) |  |
| 145. | Removal, retirement and/or destruction – For removal of other related equipment such as blowers, cards, interface cards, do procedures include the following:  Document the removal or securing of equipment? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(2)(iii)(B) |  |
| 146. | Removal, retirement and/or destruction – Do the removal procedures for all components include the following:  Verify that unique identifiers and descriptions of removed/retired components are recorded as part of the retirement documentation? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(2)(iv)(A) |  |
| 147. | Removal, retirement and/or destruction – Do the removal procedures for all components include the following:  Coordination with the accounting department to properly retire the component in the system records? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(2)(iv)(B) |  |
| 148. | Removal, retirement and/or destruction – If the TGRA authorizes destruction of any Class II gaming system components, are procedures developed to destroy such components, and do such procedures include the following:  Methods of destruction? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(2)(v)(A) |  |
| 149. | Removal, retirement and/or destruction – If the TGRA authorizes destruction of any Class II gaming system components, are procedures developed to destroy such components, and do such procedures include the following:  Witness or surveillance of destruction? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(2)(v)(B) |  |
| 150. | Removal, retirement and/or destruction – If the TGRA authorizes destruction of any Class II gaming system components, are procedures developed to destroy such components, and do such procedures include the following:  Documentation of all components destroyed? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(2)(v)(C) |  |
| 151. | Removal, retirement and/or destruction – If the TGRA authorizes destruction of any Class II gaming system components, are procedures developed to destroy such components, and do such procedures include the following:  Signatures of agent(s) destroying components attesting to destruction? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(h)(2)(v)(D) |  |
| **(i)** | **Vouchers** |  |  |  |  |  |
| 152. | Are controls established and procedures implemented for the following:  Verification of the authenticity of each voucher redeemed? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(i)(1)  (i) |  |
| 153. | Are controls established and procedures implemented for the following:  If the voucher is valid, verification that the patron is paid the appropriate amount? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(i)(1)  (ii) |  |
| 154. | Are controls established and procedures implemented for the following:  Documenting the payment of a claim on a voucher that is not physically available or a voucher that cannot be validated such as a mutilated, expired, lost, or stolen voucher? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(i)(1)  (iii) |  |
| 155. | Are controls established and procedures implemented for the following:  Retention of the payment documentation for reconciliation purposes? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(i)(1)  (iv) |  |
| 156. | Are controls established and procedures implemented for the following:  For manual payment of a voucher of $500 or more, requirement that a supervisory employee verify the validity of the voucher prior to payment? (Inquiry and review SICS) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(i)(1)  (v) |  |
| 157. | Are vouchers paid during a period while the voucher system is temporarily out of operation marked ‘‘paid’’ by the cashier? (Inquiry and observation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(i)(2) |  |
| 158. | Are vouchers redeemed when the voucher system was temporarily out of operation validated as expeditiously as possible upon restored operation of the voucher system? (Inquiry and observation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(i)(3) |  |
| 159. | Are paid vouchers maintained in the cashier’s accountability for reconciliation purposes? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(i)(4) |  |
| 160. | Are unredeemed vouchers voided in the voucher system by only supervisory employees? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(i)(5) |  |
| 161. | Does the accounting department maintain the voided voucher, if available? (Inquiry and review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(i)(5) |  |
| **(l)** | **Variances** |  |  |  |  |  |
| 162. | Has the gaming operation established a threshold level at which a variance, including deviations from the mathematical expectations required by 25 CFR 547.4, must be reviewed? (Inquiry)  State the type(s) of variance(s) and threshold level(s) or percentage(s) : \_\_\_\_\_\_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(l) |  |
| 163. | Has the gaming operation received TGRA approval for the variance threshold(s)? (Review TGRA approval) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(l) |  |
| 164. | Are reviews of variances exceeding the established threshold(s) documented? (Review supporting documentation) | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | 543.8(l) |  |