

ICMP Compliance Checklist: Section 1, GENERAL
For Use by Division of Gaming and Independent Compliance Officers (ICOs)

Legend:

C = In Compliance **N** = Noncompliance **2C** = In Compliance at Follow-up **2N** = Noncompliance at Follow-up

Licensee Name	Review Recap		
Prepared By			
Period Reviewed (ICO Use Only)		Initial Review	Follow-up
Date & Time Completed	(1) Total items tested		
Date Follow-up Performed	(2) Total noncompliance items		

DIVISION OF GAMING USE ONLY
Employee Signature & License #
Casino Manager Signature & License #

COLORADO LIMITED GAMING ACT

1. **CRS 44-30-820 Persons in supervisory positions – unlawful acts – rules.**

It is unlawful for a dealer, floorperson, or other employee who serves in a supervisory position to solicit or accept any tip or gratuity from a player or patron at the licensed gaming establishment where he or she is employed; except that a dealer may accept tips or gratuities from a patron at the table at which the dealer is conducting play, subject to this section. Except as the commission may authorize by rule, a dealer shall immediately deposit tips or gratuities in a lockbox reserved for that purpose, accounted for and placed in a pool for distribution based upon criteria established in advance by the licensed retailer. Interview the supervisors (e.g., pit boss, slot supervisor, etc.) to determine compliance with this requirement.

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2. **CRS 44-30-829 Failure to display operator and premises licenses.**

- (1) It is unlawful for any person to fail to permanently display in a conspicuous manner:
- (a) Operator and premises licenses granted by the commission;
 - (b) A notice in bold-faced type that is clearly legible and in substantially the following form:
IT IS UNLAWFUL FOR ANY PERSON UNDER THE AGE OF TWENTY-ONE TO ENGAGE IN LIMITED GAMING.
- (2) Any person violating this section commits a class 2 misdemeanor and shall be punished as provided in section 18-1.3-501.

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Review the posted gaming license to determine compliance with this requirement.

3. **CRS 44-30-828 Detention and questioning of person suspected of violating article – limitations on liability – posting of notice (Optional, but recommended)**

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Display in a conspicuous place in the establishment a notice (signage) substantially saying, "ANY GAMING LICENSEE, OR ANY OFFICER, EMPLOYEE, OR AGENT THEREOF WHO HAS PROBABLE CAUSE TO BELIEVE THAT ANY PERSON HAS VIOLATED ANY PROVISION PROHIBITING CHEATING IN LIMITED GAMING MAY DETAIN THAT PERSON IN THE ESTABLISHMENT." Review the posted notice to determine compliance with this requirement.

COLORADO LIMITED GAMING REGULATIONS (CLGR)

RULE 3 – APPLICATIONS, INVESTIGATIONS AND LICENSURE

1. **CLGR 30-313 (2) Licensed premises – location.**

- a. No limited gaming shall be conducted or permitted outside of the licensed premises.
- b. All persons participating in limited gaming must stand or sit within the licensed premises.
- c. No licensee shall permit any person to conduct or participate in limited gaming who is not within the licensed premises.
- d. All slot machines, poker tables, blackjack tables, craps tables and roulette tables offered for use by the public, and all dealers and patrons playing such devices, must be located within the licensed premises. Review patron activity to determine compliance with these requirements.

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REQUIREMENTS FOR POSTED GAMING MAPS

- (1) The licensee shall generate computer-derived maps for each floor of the casino, which shall be of a scale that is a minimum of 3/32 of an inch (3/32") to a foot. The maps shall assure accuracy of square footage calculations and visibly distinguish gaming areas from non-gaming areas. A map of a scale that is a minimum of 3/32" to a foot shall be available for inspection upon request by an employee of the Division. Review maps to determine compliance with this requirement.
- (2) As an alternative, the licensee can prominently post a copy of computer-derived maps, which measure at least 8 ½ by 11 inches for each floor of the casino. No fewer than one map per every 1,000 square feet of gaming area will be posted within or adjacent to the gaming area of that floor. The posted maps will be to proper scale and cannot be reduced to fit a smaller page or frame. Review posted maps to determine compliance with this requirement.
- (3) The following notice will be printed on, or posted adjacent to, each of the posted floor maps. "Shaded areas on this floor plan of the _____ Casino represent those areas licensed for limited gaming activities. Any person conducting or participating in limited gaming must stand or sit within the licensed area as indicated on this map,

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under the rules of the Colorado Limited Gaming Control Commission.” Review posted maps to determine compliance with this requirement.

2. **CLGR 30-318 Licensed premises – modification.**

Any retail licensee may change the configuration of its licensed premises upon prior approval of the Division. Application to modify the licensed premises must be made on forms furnished by the Division. No application to modify the licensed premises of any licensee shall be approved unless the licensed premises as modified, meets all the requirements of article 30 of title 44, C.R.S., and the rules and regulations promulgated thereunder. (Note: The draft must be approved before changes to the licensed premises can be made.) Review last configuration change to determine compliance with this requirement.

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RULE 4 - RIGHTS AND DUTIES OF LICENSEES

1. **CLGR 30-404 List of personnel.**

Prior to opening for business, a retail licensee must furnish to the Director on a form, or other medium required by the Division, a list of all persons, permanently or temporarily on property, licensed and unlicensed, including birth dates, employed by the retail licensee. Additionally, the retail licensee must by the first day of each month submit changes to its lists of employees, unless the Director, in writing, demands more frequent notification or allows less frequent notification. (Note: Gaming Industry Bulletin 39 has additional information on who is required to be included in the monthly submissions.) Review most recent Revenue Online submission and ensure recent employee changes were accurately updated to determine compliance with this requirement.

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2. **CLGR 30-405 (5) Information to be furnished by licensee.**

All licensed manufacturers, distributors, operators, and retailers must report to both the local Division office and the Division’s Golden office on a form, or other medium, required by the Division, the movement of slot machines. This notification must be made by both the recipient and sender of the devices on a weekly basis identifying any movement of devices to and from any location for that week. Check the serial number on the slot machine device inventory spreadsheet submitted to the Division to the serial number on the slot machine. Perform this check on a minimum of 25 machines.

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3. **CLGR 30-409 Support and key licensee identification.**

Every person licensed as a key or support licensee must wear in plain view identification issued by the Commission or Division. This section shall not apply to proposition players playing in poker games or to employees engaged in undercover security operations for the licensee, except that such licensees must have their license identification badges in their possession while working and must present them to division employees upon demand. Check to see if there are procedures in place to ensure employees do not work without a valid gaming license.

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4. **CLGR 30-414 Player rules.**

A retail licensee must post the following rules on the licensed areas (ensure posting by pit area, as well as other areas in the casino):

- a. Players and other persons present in the gaming area must be at least 21 years of age;
- b. No side bets are permitted;
- c. No credit may be extended;
- d. It is unlawful to claim unattended or unearned credits and money on gaming devices;
- e. It is unlawful to participate in limited gaming activities while intoxicated, and,
- f. Federal law prohibits the use of casino chips and tokens outside this establishment for any monetary purpose (i.e., rule must be posted at least at all cashier cages).

Review posted rules to determine compliance with this requirement.

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5. **CLGR 30-417 Patron disputes.**

In a patron dispute, a licensee must notify the disputing patron that the patron has a right to contact the Division regarding the dispute. If a licensee refuses payment of alleged winnings to a patron, the licensee and the patron are unable to resolve the dispute to the patron's satisfaction, or the dispute involves at least \$1,250, the licensee must immediately notify the Division. The slot machine shall *not* be reset or altered (i.e. no further play) until a Gaming investigator has arrived (see Notification Requirements). Review most recent patron dispute to determine compliance with this procedure.

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6. **CLGR 30-418 Special rules of conduct.**

A retail licensee may establish rules of conduct for players and spectators on its licensed site. Any such rules must be posted. The Director shall have the authority to immediately terminate any or all of such rules in any retail establishment.

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ICMP - GENERAL – C. OTHER MATTERS

The most recent version of ICMP, CLGR and Act along with any approved variances must be made available at all times to all personnel. This information may be maintained electronically; however, in the event that the electronic format is not available the licensees must have a hard copy of the ICMP, CLGR, and Act along with any approved variances available and readily accessible in a designated area. Any approved variance must clearly indicate the Division's approval, including the approval date and indication of the individual(s) who approved the variance. Check to ensure a hard copy of the ICMP, CLGR, and Act along with any approved variances is readily accessible in a designated area.

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ICMP - GENERAL – E. KEY EMPLOYEES

1. For group A licensees – A key employee is not required to be on the licensee’s premises at all times, but must be available at all times gaming is being conducted. Available as defined by the Division is able to be present on the licensee’s premises within fifteen (15) minutes of any request.

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For group B and C licensees – A key employee must be on the licensee’s premises at all times while open for the business of conducting limited gaming. For the purposes of this section, premise is defined as the gross building area as reflected on the casino’s gaming map. A key employee may go outside of the licensed premise within 5’ (five feet) of a door. For commonly owned casinos, physically connected by a wall with an opening between the casinos, key employees may go between the casinos.

Ensure the licensee has maintained compliance with this requirement.

ICMP - GENERAL – H. GAMBLING PAYMENT INTERCEPT

1. An IRS W-2G form is required if:
 - a. The winnings (not reduced by the wager) are \$1,200 or more from a slot machine,
 - b. The winnings (reduced by the wager or buy-in) are more than \$5,000 from a poker tournament,
 - c. The winnings for certain table games (reduced by the wager) are \$600 or more, and at least 300 times the amount of the wager.

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Prior to making a payment to a winner, the licensee shall obtain the name, address, and social security number of the patron from the W-2G, or a substantially equivalent form, to be filed with the United States Internal Revenue Service and submit the required information to the GPI registry operator. Note: In some circumstances, the registry needs to be searched only once per gaming day for a winning patron.

Interview the licensee’s front line employees to determine their understanding of this procedure.

Searcher Requirement

1. If the licensee is unable to access the registry for a period of 24-hours for any reason, the licensee must notify CI during business hours at 1-800-970-3468 ext. 0 or after business hours at Partnersupport@www.colorado.gov. If the outage continues for over 72 hours the licensee must notify the Division at dor_coloradocasinos@state.co.us. During any acceptable period of inaccessibility of the registry to a licensee, the licensee may handle its payments to cash prize payment winners without recourse to the

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provisions of the Gambling Payment Intercept Act, except that the licensee must maintain a listing of cash prize payment winners during the inaccessibility period and maintain documentation explaining why the licensee was not accountable for the period of inaccessibility.

Interview the licensee’s front line employees to determine their understanding of this procedure.

2. When an unclaimed jackpot is claimed by a patron the licensee must verify whether the taxable jackpot winner is listed in the GPI registry. When performing a search the licensee must enter the required information listed below:

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- Social Security Number of Patron
- First Name of the Patron
- Last Name of the Patron
- Date of Birth
- Payout Amount (less taxes withheld if applicable)
- Reference Number

The licensee must enter a number in the reference field. The reference number may be the jackpot slip number, the W-2G number, or other number that will link the GPI Usage Report to the W-2G.

Verify that the required information is being entered when performing a search and ensure patrons who return to claim an unclaimed jackpot are searched prior to making a payment.

3. The licensee must check all last names provided by the patron and recorded on the form W-2G or substantially equivalent form, through the GPI database. The searcher will need to communicate through the outage/exception logs the need for multiple searches e.g., hyphenated or double surname) for a single W-2G transaction or omitted searches (e.g. system outage) to accounting staff for the search report to reconcile to the number of W-2Gs issued.

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The outage/exception logs must have the name of the casino, date, time, patron’s name, reference number, jackpot amount, reason, initial and license number of employees. The outage/exception log must be submitted to accounting whenever an outage/exception occurs, and, at minimum, monthly.

Licensee must navigate the search database properly to arrive at the Print Receipt page when a search results in a match. Procedures must be in place to ensure the patron receives his/her Notice(s) of Intercept Receipt and Intercept Gambling Winnings

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Letter(s) and accounting receives the Gambling Payment Intercept Receipt(s).
 Verify the licensee has written procedures in place, that they are being followed and that the outage/exception logs contain the information required by ICMP.

Payer Requirements

1. Upon verification that a cash payment winner is listed in the registry, the licensee must submit payment electronically to the registry operator in the amount intercepted by the end of the following business day. The licensee must have written procedures in place to verify all intercepts are identified and paid to the registry.

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Verify the licensee has written procedures in place and that they are being followed.

Administrator Requirements

1. Information provided to and accessed through the registry is considered confidential. Licensees shall have written procedures in place to ensure the confidentiality of the information and to restrict access to the system to individuals with job duties that require access to the registry. Licensees shall not allow employees to share account sign-ons or passwords.

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Check to see that written procedures are in place to restrict access. Verify that user and passwords are not being shared.

2. Each licensee must have an administrator, payer and searcher registered at all times. The licensee must also ensure that terminated employee (voluntary or involuntary) with access to the GPI application have their access disabled within three days of the employee's actual termination date. The three day window begins when the casino has constructive knowledge, either by the casino initiation or by the employee initiation that the employee is no longer working at the casino. The actual termination date is when the casino notified the employee that he/she is terminated (three day window begins immediately), or the employee notified the casino of his/her last day (the three day window begins at the end of the shift on the last day).

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Interview the licensee's Administrator to determine their understanding of this requirement.

Accounting Requirements

1. The licensee must have procedures in the Written Accounting Plan and written procedures for the applicable gaming departments/employees affected to ensure compliance with the Gambling Payment Intercept Act and Regulations.

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Verify that there are procedures in place and that they are being followed.

2. A review of each gaming day's GPI activity must be completed on a timely basis, not to exceed four (4) days from the gaming date being reviewed. The licensee must be able to support and/or explain missed or excessive searches. At a minimum, the procedures must include reviewing the GPI system outage/exception logs, CI GPI Usage Reports, and W-2Gs or W-2G reports. Review documents and process to ensure compliance with requirements.

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3. The accounting department must complete and print a report, in Excel format, to include information from the GPI Usage Report and W-2G forms or W-2G report. The report must be completed by the licensee each month prior to submission of the monthly gaming tax return. This report is a summary of GPI activity for a one month period. Information included on this report is all data from the CI GPI Usage Report and the reference number linking to the W-2G. All W-2G forms issued by the licensee during the month must be reflected by a search on the CI GPI Usage Report. Any variances between the CI GPI Usage Report and the W-2G forms issued must be adequately documented and explained. Reconciling items may include multiple searches due to hyphenated, double surnames, or system outages.

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Review documents and process to ensure compliance with requirements.

Additional Comments:

Review Recap		
	<i>Initial Review</i>	<i>Follow-up</i>
(1) Total items tested	_____	_____
(2) Total noncompliance items	_____	_____