

ICMP Compliance Checklist: Section 4, SLOT MACHINES
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 #	

ICMP - SLOTS - A. EQUIPMENT CONTROL/TESTING

- Licensees are responsible for ensuring that all gaming devices being offered for use at its gaming establishments are secure, completely and successfully tested, and properly configured to comply with Colorado Rules and Regulations (CLGR). Licensees are also ultimately responsible for ensuring that all required program media used in its gaming devices are approved for use in Colorado. The same requirements apply to all gaming devices, irrespective of prior ownership or use, whether in or outside Colorado.

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SLOT DATABASE

- Licensees must submit a current, complete and accurate slot floor database in a manner determined by the Division, once every thirty-day period. The slot floor database must have, at a minimum, the required information as displayed in the Slot Data Form found in the Forms section of Section 4 / Slot Machines. The required data field information in the slot floor database must be listed exactly as the Slot Data Form header text.

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All slot database files must be made available to Division staff immediately upon request.

SLOT METERS

- Soft and/or system (if applicable) meter readings must be taken for coin in, coin out, coin drop, bill in, attendant paid jackpot, attendant paid progressive payout, attendant paid cancelled credits, machine paid progressive payout, voucher in, voucher out, machine paid external bonus and attendant paid external bonus, cashable electronic promotion in, non-cashable electronic promotion in, and non-cashable electronic promotion out for each event listed in the ICMP. Meters are captured so proper statistical reports can be generated. Interview the licensee personnel responsible for meter readings to determine their understanding.

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- Soft and/or system meter readings, whichever is applicable, must be recorded. To rely on system meter readings the machine must have passed testing and be communicating with

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the system. Meters must be recorded, prior to removing devices from the floor, prior to denomination changes, when devices are placed in service, when devices are taken out of service for any reason that would affect the meter retention (this is to ensure meters are accurately retained), when accessing the computer components of the slot machine, (which could cause any of the meters to reset, including, but not limited to, RAM clears), and when converting or re-configuring a machine. Note: The coin in meter for each progressive on a multi-game or multi-denomination slot machine must also be recorded in the above situations, with the exception of each drop. Interview the licensee personnel responsible for meter readings to determine their understanding of this procedure.

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- All applicable soft or system meter information must be captured for each drop. For example, voucher in and voucher out do not need to be recorded for a non-ticketing machine. Meters are recorded for each machine on the gaming floor, including machines out of service. If meters cannot be recorded for machines out of service at the time of the drop, meters must be recorded prior to placing the machine in service. Interview the licensee personnel responsible for meter readings to determine their understanding of this procedure.

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MACHINE REMOVALS

- Prior to removing a machine from the floor, the Slot Department must notify the Accounting Department, in writing, of the machine(s) being removed from the floor. Interview the licensee personnel responsible for machine removals to determine their understanding of this procedure. Review paperwork to determine if the required information is obtained.
- The machine contents must be dropped in accordance with the emergency drop procedures outlined in the Table Games and Slot Drop and Count Procedures section. Interview the licensee personnel responsible for machine removals to determine their understanding of this procedure.

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ICMP - SLOTS - B. MACHINE ACCESS

- A slot machine access log must be maintained inside each slot machine. The handwriting must be legible and discernable to a person reviewing the log. Select a sample of machines and review the machine access log to determine compliance with this procedure.
- A kiosk machine access log must be maintained inside each kiosk. The handwriting must be legible and discernable to a person reviewing the log. Select a sample of machines and review the machine access log to determine compliance with this procedure.
- Each person who accesses a slot machine or kiosk for any defined event (as outlined in the ICMP) shall make an entry on the log. Interview the licensee personnel responsible for accessing slot machines and kiosks to determine their understanding of this procedure.
- There only needs to be one description of any uninterrupted event on the log for each person involved in the resumed event and not for each opening of the door for each

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person(s). No description is required when removing the BV stacker during drop. Interview the licensee personnel responsible for accessing slot machines and kiosks to determine their understanding of this procedure.

5. All logs must reflect the title of the form, licensee name and device number. Minimum required information for each entry is date, time, employee initials, and license number of the individual accessing the machine, and the reason for access. Entries are to be complete, accurate, and legible. Select a sample of machines and review the machine access log to determine compliance with this procedure.

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6. If a door is opened twice by the same individual during a hopper fill, the log may be signed once with an entry of "fill x2". If two individuals opened the door during a hopper fill, the log must be completed by each individual upon their respective access. Before locking the door, authorized staff may remove a coin from the hopper to play off the machine's tilt light. Interview the licensee personnel responsible for accessing slot machines to determine their understanding of this procedure.

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7. Licensees must have procedures for documenting tilt resets, which can be performed without accessing the interior of the machine. Documentation must include date, time, employee initials, employee license number, and reasons for the tilt. Entries shall be complete, accurate, legible, and must be made available to the Division upon request. If an approved computerized system produces this information, including identification of the attending employee, the system report does not need to be initialed. Interview licensee personnel responsible for tilt resets to determine their understanding of this procedure.

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8. The drop cabinet is the cabinet under the slot machine which contains the drop bucket or coins. If the slot machine does not operate with coin, the cabinet is considered a slot cabinet or may be referred to as a slot stand. At no point is it allowable to utilize the drop cabinet for storage when the machine is operated with coin or if the cabinet contains drop funds. A slot cabinet may be used as a storage area if it is not used to secure drop funds and must be keyed differently than a drop cabinet. Interview the licensee slot personnel to determine their understanding of this procedure. Select a sample of machines to verify compliance with this procedure.

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9. When it is necessary to perform maintenance on a drop cabinet, a security escort must be present to ascertain whether the drop cabinet contains coins. If it does, security must remain in the area and observe the maintenance procedure until maintenance is completed and the drop cabinet is locked, in order to verify and warrant the continued security of funds inside the cabinet. Interview the licensee slot and security personnel to determine their understanding of this procedure.

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10. At times the BV is accessed to clear a jam, settle a patron dispute, or for other reasons. The BV stacker problem can be fixed at the slot machine with the slot technician/attendant and security person present, as long as the stacker contents are not accessed. If the stacker contents are accessed in order to fix the problem, the BV stacker is taken to the cage by the

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slot technician/attendant and security person. The process of fixing the BV and accessing the BV stacker contents is performed under surveillance at the cage. The slot technician/attendant and the security person shall remain with the BV stacker from the time it is removed from the machine until it is returned to the machine. Observe or interview slot and security personnel to determine compliance and their understanding of this procedure.

11. Alternatively, when the contents of the BV are accessed in order to clear a jam, settle a dispute, or for any other reason outside the BV drop and count process, the process of fixing the BV and accessing the contents may be performed at the machine under the following conditions:

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- The gaming manager checks out the BV content key and proceeds to the slot machine.
- The licensee must ensure adequate camera coverage prior to accessing the BV funds. Surveillance coverage must be sufficient to identify the individuals accessing the funds and when the funds are accessed. This may be accomplished through the use of a PTZ and/or stationary camera.
- The BV problem is corrected in the presence of the slot technician/attendant, security, and gaming manager.

Observe or interview slot and security personnel to determine compliance and their understanding of this procedure.

12. In case more than one BV needs to be repaired successively, the BV content key may be maintained between repairs; however, once the successive repairs are complete, the BV content key must be immediately returned by the gaming manager to the gaming manager locked box #2. Observe or interview slot and security personnel to determine compliance and their understanding of this procedure.

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ICMP - SLOTS - C. DEVICE REQUIREMENTS

1. All gaming devices must be configured correctly to comply with CLGR. This includes the accurate setting of all device options, configurations, and real-time clock display. Interview slot personnel to determine the procedures in place are adequate to ensure compliance with this requirement.

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2. Each gaming device must have a unique asset number associated with the gaming device. If the game theme, denomination or par is changed, a unique asset number must be assigned to the converted gaming device and all transactions properly associated to that new device asset number. Interview slot personnel to determine their understanding and compliance with this requirement.

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3. A legible copy of each slot machine's respective par sheet, indicating the probability of hitting each award and the associated pay for each award available, must be maintained

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either inside each slot machine secured in its specific slot cabinet/stand or stored as an electronic file on a portable storage device maintained and secured by the licensee. Select a sample of machines to verify the par sheet is located within the machine or stored as an electronic file.

4. The licensee must maintain a device history log for each gaming device, including ticket redemption kiosks that document information about, and changes or modifications to the device. This log may be secured inside each slot machine and kiosk or stored electronically on a portable device. Select a sample of machines and kiosks to verify the history log is available and complete.

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5. Licensees must have procedures in place which allows for the electronic version of the par sheets and device history logs to be maintained and secured on a portable device by the licensee. The procedures must also allow for the electronic files to be accessible to casino licensees, which can be viewed at each individual gaming device or kiosk immediately upon request by the Division.

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6. The BV release key must be keyed differently than all other slot machine doors. Request the BV release key and verify it is keyed differently by inserting the key into the various other slot machine door locks on a sample of different slot machines based on manufacturers.

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7. All slot machines shall be operated and stored in a secure manner to prevent unauthorized access to their contents and component parts. All spare component parts shall be stored in a secure location to prevent unauthorized access, tampering, or theft. Select a sample of machines on the floor to verify the security of the machine and component parts. Observe the storage area(s) for off floor machines and spare component parts to verify they are adequately secured.

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Pursuant to CLGR 30-1231 regarding the security of machine logic and memory devices, the phrase “secured in the machine” shall mean that the slot machine itself is to be considered a secured compartment and there need not be any other secured compartment within the slot machine itself that in which the internal logic is to reside to satisfy this regulation.

ICMP – SLOTS – D. DEVICE RECEIPT, REMOVAL, INVENTORY & DESTRUCTION

1. Slot machines may be stored on the casino premises or at an offsite location, as long as the Division knows the location of the machines, the storage facility is secure, and the licensee has properly reported the movement of those devices. Interview licensee personnel responsible for reporting device movements to determine their understanding of this procedure.

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2. Pursuant to Section 44-30-803 CRS, movement of any device to another establishment (e.g., different licensee, on-site/off-site storage, etc.) must be reported to the Division. Please reference the Division’s web-based device tracking system to comply with this requirement. All slot machines placed within approved designated gaming floor space areas (other than

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devices used for non-gaming, promotional purposes) must be reported to the Division as “on-floor” status in the Division’s device tracking system. All slot machines placed outside of approved designated gaming floor space areas must be reported to the Division as “storage” in the Division’s device tracking system. Slot machine destruction requirements can be found on the Division’s web site at www.colorado.gov/revenue/gaming. Select a sample of machine moves to verify the information in Revenue Online is correct.

ICMP – SLOTS – E. TESTING

1. Coins needed to perform slot testing may be obtained from the hopper by authorized personnel. The access log must denote the number of coins removed from the hopper. Observe the process or interview slot and cage personnel to determine their understanding of this procedure.

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2. Bills needed to perform any aspect of slot machine testing are disbursed from the cage as a miscellaneous disbursement. The machine numbers of the slot machines being tested must be documented in writing on the miscellaneous reimbursement. Observe the process or interview slot and cage personnel to determine their understanding of this procedure.

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3. Once the machine testing has been completed, any funds remaining as a result of the testing must be receipted into the cage as a miscellaneous receipt, which must include a reference to the machine number. Observe the process or interview slot and cage personnel to determine their understanding of this procedure.

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4. Bills from BV malfunctions (i.e., BV jams) obtained from the machine, must be receipted into the cage as a miscellaneous receipt. The miscellaneous receipt must also note the machine number. Alternatively, bill(s) from the BV jam can be returned to the BV stacker by following the procedures as listed under (B) Machine Access. Observe the process or interview slot and cage personnel to determine their understanding of this procedure.

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ICMP – SLOTS – F. E-PROM DUPLICATION

1. Most manufacturers’ software is protected by federal copyright and patent laws. Licensees must ensure that they are complying with all applicable laws when duplicating or using duplicated software.

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ICMP – SLOTS - I. JACKPOT PAYOUTS, ADDITIONAL PAYOUTS & SLOT FILLS

Jackpot payouts, as referred to in this subsection, include attendant paid jackpots, attendant paid cancelled credits, attendant paid progressive payouts, and attendant paid external bonus payouts.

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1. The design of slips for jackpot payouts, additional payouts and slot fills, is at the licensee’s discretion. However, at a minimum, the payout form/documentation (minimum 2-part form from an automated gaming systems or cage system; 3-part form for a manual process) must meet the ICMP criteria. Review jackpot payout and fill slips and verify the required information is included on the slips.

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2. Licensees who have received written approval from the Division for the use of its gaming system may process payouts of less than \$1,200 without a verifier. Processing of the jackpot payout without a verifier applies only to jackpot payouts recognized by the system that do not require an override or manual intervention. Jackpot payouts that require an override, an additional payout, or are not recognized by the system, must be processed with a licensed employee as the verifier. Observe the process or interview slot personnel to determine their understanding of this procedure.

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3. Licensees who have received written approval from the Division for the use of its gaming system may process system generated payouts of less than \$5,000 during the time the patron is playing machine credits not associated with the specific payout amounts. If this process is used, a payout request form must be completed prior to resetting the machine and the patron must play off the machine. Observe the process or interview slot personnel to determine their understanding of this procedure, also verify the payout request forms meet the minimum standards as outlined in the ICMP.

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4. Licensees must have written procedures that adequately prevent a patron from claiming a jackpot already paid or one in the process of being paid. Procedures must include verification that the payout request forms (original and copy) agree to the jackpot slip. Verify the written procedures are available to all applicable employees.

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5. Licensees who have received written approval from the Division for the use of its gaming system may process slot fills without a verifier. Processing the fill without a verifier applies only to fill events recognized by the system that does not require an override or manual intervention. Observe the process or interview slot and cage personnel to determine their understanding of this procedure.

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6. Licensees must have written procedures that adequately address overrides to system-generated information on any jackpot payout/fill slips. The written procedures must be available to those individuals who are involved in the override process. A supervisory or management employee (i.e., shift manager or gaming manager) must independently authorize system overrides, with the exception of rounding to the next denomination or dollar. The individual that initiates the transaction cannot be the individual that authorizes the override. A physical verification by the supervisory or management employee must be performed to determine that the override is appropriate. Authorization is provided once verification is completed. Additionally, the Accounting Department must review all overrides for reasonableness and proper authority. This review must be evidenced on the supporting documentation by the reviewer’s initials and date of the review. Observe the process and interview slot and cage personnel to determine their understanding of this

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procedure.

7. Upon completion of a jackpot payout to the patron, the patron is requested to play off the machine. If the patron declines to play off the machine, the licensee must have adequate procedures in place to prevent a patron from claiming a jackpot already paid (i.e., take a coin from the hopper or obtain the minimal amount of funds from the cashier cage to play off the machine). Observe the process or interview slot and cage personnel to determine their understanding of this procedure.

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8. Some slot machines allow patrons who have won credits greater than the hopper lockout amount to continue playing these credits once the slot attendant resets the game. If a jackpot of \$1,200 or more occurs on one of these slot machines, a W-2G must still be completed. Note: The licensee must replace the lock shipped with the machine with a licensee specific key before these games can be played. Observe the process or interview slot and cage personnel to determine their understanding of this procedure.

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9. The original (white) of the payout or fill slip, and the payout request form, if applicable, is deposited in the locked accounting box or hand delivered directly to the Accounting Department upon completion of the transaction. Multiple slips may be routed simultaneously; however, the slips must remain under the control of the slot attendant, in plain sight, until routed to accounting. For multiple processing/routing of slips, the licensee must have written procedures to minimize potential errors by employees and must ensure employees are knowledgeable of the procedures. The procedures must also include the number of slips processed and routed at the same time and must be prominently posted in the Slot Department and cashier cage. The yellow copy of the slip is retained by the cashier, documenting funds leaving the cage. Interview the slot and cage personnel to determine their understanding of this procedure. Verify the written policy is posted and includes all the required information.

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10. Payouts (computerized or manual process), including jackpots, fills, cancelled credits, progressive payouts, external bonus payouts, and additional payouts, shall be controlled and completed in a manner that precludes any one individual from initiating and producing a fraudulent payout form, obtaining the funds, forging signatures on the payout form, routing all parts of the form, and misappropriating the funds. Observe the process and interview slot and cage personnel to determine compliance with this requirement.

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11. For payouts of less than the denomination value of tokenized machines, licensees may use a tokenized credit payout slip (or a manual jackpot payout slip) to document the payout. When a tokenized machine requires a payout of less than its denomination value, the slot attendant shall complete the payout slip with the date, time, machine number, and amount. The attendant shall then sign the slip and present it to the patron for redemption at the cage. When the patron redeems the slip at the cage, both the patron and cashier must sign the slip. Interview the slot and cage personnel to determine their understanding of this procedure.

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12. The slip must be alphanumerically numbered and reflect the date, time, machine number, amount of payout, and signatures of slot attendant, patron, and cashier. A log must be maintained to record the sequence of slips as they are checked out. Review paperwork to verify the required information is obtained.

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13. Licensees who utilize an automated gaming system to generate jackpot payout slips may continue to use the system-generated slip and process the payout. Licensees who continue to use the system generated slip for these payouts of less than the denomination value of tokenized machines do not need to have a verifier involved to verify the payout, verify the meters, or sign the slip. Interview the slot and cage personnel to determine their understanding of this procedure.

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14. For abandoned credits left on tokenized machines in an amount less than the tokenized amount, the slot attendant may key off the credits on the machine. Interview the slot personnel to determine their understanding of this procedure.

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15. Any money found by employees (i.e., in the coin return, in the tray, or on the floor), and any abandoned credits on a slot machine that do not meet the criteria addressed above, should be receipted into the cage as miscellaneous receipts. Interview the slot personnel to determine their understanding of this procedure.

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ICMP – SLOTS – J. POUCH PAYS

Jackpot payouts, as referred to in this subsection, include attendant paid jackpots, attendant paid cancelled credits, attendant paid progressive, and attendant paid external bonuses.

1. Licensees who have received written approval from the Division for the use of its gaming system are allowed to make change for patrons, pay promotional coupons, and pay slot machine jackpot payouts via pouch pay. The following criteria for jackpot payments must be adhered to:

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- Only system generated jackpots may be paid. Transactions which require override authorization that includes additional payouts may not be paid via a pouch pay.
- Jackpots under \$1,200 may be paid via a pouch pay.
- If communication between the slot machine and the system is down, no jackpot payments may occur via a pouch pay. The jackpot payment must occur through the cage.

Interview the slot and cage personnel to determine their understanding of these requirements. Verify the licensee received approval to rely on its system.

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POUCH PAY/BANK CHECK OUT PROCEDURES – FROM THE CASHIER CAGE TO THE FLOOR PERSON

1. Pouch pay banks (funds) are a part of the cashier cage accountability and must be documented on the Daily Cash Summary. Pouch pay banks are maintained in the cashier cage or in an alternate locked and secured area (pouch cabinet) under surveillance coverage. Verify the banks are properly recorded and secured. Observe the process to determine compliance with this procedure.

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2. Imprest banks/pouches may be prepared prior to check out, as long as the imprest amount is reflected on the Daily Cash Summary. The cashier preparing or disbursing the bank to the floor person performs an inventory of the bank and completes an imprest bank inventory form. A miscellaneous disbursement form is completed by the cashier to support that the funds are leaving the cage. The inventory form is attached to the miscellaneous disbursement form. Observe the process to determine compliance with this procedure.

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3. The cashier gives the floor person an imprest bank/pouch and completes the paid out portion of the miscellaneous disbursement form by documenting the date, shift, dollar amount of the bank, and validation device identifier (if applicable). Observe the process to determine compliance with this procedure.

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4. The floor person recounts the imprest bank/pouch. If there are no discrepancies, both the cashier and the floor person sign the imprest bank inventory and miscellaneous disbursement forms. The cashier maintains the bank imprest inventory form and the miscellaneous disbursement form. Observe the process to determine compliance with this procedure.

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5. Pouch pay banks may be disbursed from the cage to an alternate locked and secured area (pouch cabinet) under surveillance coverage. Adequate controls must be in place to ensure the licensee’s assets are secured. Licensees must have adequate written controls in place for pouch pay banks maintained in a pouch cabinet to ensure assets are secured. Two licensed individuals must count and complete an inventory sheet at the beginning and end of the shift in which the pouch is utilized. Observe the process to determine compliance with this procedure.

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POUCH PAY FLOOR PERSON PAY PROCEDURES

Jackpot Payouts

1. The floor person follows the licensee’s procedures in order to signal the system to print the jackpot payout slip (i.e., insert slot card into machine’s card reader and key the jackpot amount). The floor person proceeds to the cashier cage or a jackpot workstation to retrieve both the white and yellow copies of the jackpot slip. If an override, additional payouts or a jackpot payout of \$1,200 or greater (large jackpot) is required, the payment is processed as described under the ICMP subsection H, Jackpot Payouts. Observe or interview licensee personnel to determine compliance with this procedure.

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2. If the jackpot payout is not an override or is less than \$1,200, the floor person indicates pouch pay on the cashier line. The floor person proceeds to the slot machine and compares the information printed on the jackpot slip to the slot machine, pays the patron, and signs the slip. Observe the process to determine compliance with this procedure.

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3. The original (white) is dropped in the locked accounting box and the yellow copy is maintained with the imprest bank/pouch to reconcile the funds. The licensee may follow its in-house procedures for payment of multiple jackpots or drop the slip immediately. Observe the process to determine compliance with this procedure.

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Tickets, Purchase Tickets and Slot Coupons

1. The floor person reviews the ticket, purchase ticket or slot coupon for distinguishing characteristics (e.g., thermal paper, reflects the licensee’s name, has not expired, etc.). The floor person scans the ticket or slot coupon using the validation device, verifies the amount agrees to the amount indicated on the validation unit, and validates the ticket or slot coupon in the system. Observe the process to determine compliance with this procedure.

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2. If no discrepancies are identified, the floor person pays the patron. The floor person maintains the ticket, purchase tickets or slot coupon with the imprest bank/pouch until the tickets, purchase tickets and or slot coupons are exchanged at the cashier cage. Observe the process to determine compliance with this procedure.

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3. If any discrepancies are identified, communication has been lost, or any suspicion of a problem with the ticket, purchase tickets or slot coupon is identified, the floor person is not allowed to process or pay the ticket, purchase ticket or slot coupon. The ticket or slot coupon is returned to the patron and the patron is directed to take the ticket, purchase ticket or slot coupon to the cashier cage for redemption. Observe or interview licensee personnel to determine compliance with this procedure.

C	N	2C	2N
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Even Money Exchanges

1. An even money exchange form is used to document the reimpress of the imprest bank/pouch. Observe the process to determine compliance with this procedure.

C	N	2C	2N
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2. The floor person prints or requests the cashier or key on duty to print a report that details the tickets, purchase tickets and slot coupons redeemed by that floor person during their shift. The floor person will reconcile their tickets, purchase tickets and slot coupons to this report. Observe the process to determine compliance with this procedure.

C	N	2C	2N
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3. The floor person completes the change bank exchange form totaling the jackpot payout slips, tickets, purchase tickets and slot coupons. The floor person gives the yellow copy of the jackpot payout slips, tickets, purchase tickets, slot coupons and report that details the tickets, purchase tickets and slot coupons redeemed by that floor person during their shift to the cashier, along with the even money exchange form. The cashier verifies the total amount of tickets, purchase tickets and slot coupons to the report and totals the jackpot

C	N	2C	2N
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ICMP Compliance Checklist: Section 4, SLOT MACHINES
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payout slips. Observe the process to determine compliance with this procedure.

- The cashier gives the funds to the floor person to reimpress their imprest bank/pouch. The floor person verifies the funds and agrees the amount to the amount requested on the even money exchange form. If no discrepancies are identified, both the cashier and floor person sign the even money exchange form indicating the proper completion of the form and receipt of the funds and documents. The floor person places the money in the imprest bank/pouch. The even money exchange form is maintained by the cashier completing the transaction. Observe the process to determine compliance with this procedure.

C	N	2C	2N
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Pouch Pay/Bank Check in Procedures – From the Floor Person to the Cashier Cage

- The floor person prints or requests the cashier or gaming manager to print a report that details the tickets, purchase tickets and slot coupons redeemed by that floor person during their shift or session. The floor person reconciles their tickets, purchase tickets and slot coupons to this report. If an even money exchange was performed during the shift and tickets, purchase tickets and slot coupons were exchanged with the cashier, this report may list all tickets, purchase tickets and slot coupons that were redeemed by the floor person during their shift. If this is the case, a reconciliation of current tickets, purchase tickets and slot coupons plus the tickets, purchase tickets and slot coupons already exchanged with the cage must be performed to ensure that all tickets, purchase tickets and slot coupons redeemed are accounted for. The report printed at the time of even money exchanges may be used to assist in the reconciliation. Licensee must ensure a procedure is in place in order for the floor person to perform an adequate reconciliation when tickets, purchase tickets and slot coupons have been previously exchanged with the cage during the shift. Observe the process to determine compliance with this procedure.

C	N	2C	2N
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- The floor person turns in their cash and yellow copy of the jackpot payout slips, tickets, purchase tickets, slot coupons and report to the cashier. The cashier counts the cash, verifies the tickets, purchase tickets and slot coupons to the report, and totals the jackpot payout slips. A new imprest bank inventory form is completed and the dollar amount of the inventory must tie to the original imprest bank/pouch inventory amount. Both the cashier and the floor person sign the inventory form and the cashier retains the form. Observe the process to determine compliance with this procedure.

C	N	2C	2N
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- The cashier completes the paid in portion of the miscellaneous receipt form documenting the date, shift, amount, and validation device identifier (if applicable) of the bank. The cashier and the floor person sign the miscellaneous receipt form. The imprest bank inventory forms and the miscellaneous receipt form, jackpot payout slips, tickets, purchase tickets, slot coupons and reports are maintained by the cashier, the amounts recorded on the Daily Cash Summary and forwarded to accounting with the cage paperwork for that shift. The imprest bank can be reimpressed prior to checking the bank into the cage. Observe the process to determine compliance with this procedure.

C	N	2C	2N
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4. If an overage or shortage occurs, the floor person completes an overage or shortage slip and the supervisor shall investigate any overages/shortages. If an overage occurs, the excess amount from the floor person’s bank is given to the cage cashier who records the overage as a separate line item on the Daily Cash Summary. If a shortage occurs, a shortage slip is prepared and given to the cage cashier. The cage cashier records the shortage as a separate line item on the Daily Cash Summary. Observe the process or interview cage personnel to determine compliance with this procedure.

C	N	2C	2N
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ICMP – SLOTS – K. SHORT PAYS

1. If a short pay occurs due to a machine malfunction, the short pay amount shall be disbursed from the cage as a miscellaneous disbursement and paid to the patron. Once the machine is fixed, the cash paid out of the slot machine shall be receipted back into the cage as a miscellaneous receipt. The machine number and explanation must be included on the miscellaneous disbursement and receipt forms. Interview the cage and slot personnel to determine their understanding of this procedure.

C	N	2C	2N
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ICMP – SLOTS – L. DISPUTED JACKPOTS AND PATRON DISPUTES

1. For any disputed jackpot, the floor supervisor or gaming manager must be called. If neither one of these individuals can resolve the dispute or if the dispute involves \$1,250 or more, the Division must be contacted. The slot machine shall *not* be reset or altered (i.e., no further play) until a gaming investigator has arrived. If the machine has been reset to allow the patron to continue playing credits not associated with the payout, the payout request form should be reviewed to assist in resolving the dispute; it may also be necessary to review slot system reports. Interview the slot and management personnel to determine their understanding of this requirement.

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2. Coins needed to resolve minor customer disputes may be obtained from the hopper by authorized personnel, if the dispute involves ten coins or less. If the resolution involves more than ten coins, the coins must be disbursed from the cage as a miscellaneous disbursement – short pay. Interview the cage and slot personnel to determine their understanding of this procedure.

C	N	2C	2N
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ICMP – SLOTS – M. UNCLAIMED JACKPOTS

1. An unclaimed jackpot receipt is completed when a patron is unable to provide proper identification for jackpot payouts greater than, or equal to, \$1,200. Observe the process or interview cage personnel to determine compliance with this procedure.

C	N	2C	2N
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2. The cashier completes the unclaimed jackpot receipt, a pre-numbered, three-part form. The cashier, patron and slot supervisor/key employee sign all three parts of the receipt. The cashier maintains the original (white) of the unclaimed jackpot receipt with the original (white) of the jackpot payout/fill slip. A photograph of the patron, at the time of winning,

C	N	2C	2N
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must also be attached to the cashier’s receipt. The photograph is used to verify the correct patron claims the jackpot. The patron retains the yellow copy of the unclaimed jackpot receipt. The pink copy of the unclaimed jackpot receipt is attached to the yellow copy of the jackpot/fill slip and is forwarded to accounting by the cashier with their cage paperwork. Observe the process or interview cage personnel to determine compliance with this procedure.

3. The licensee must have procedures in place to verify the legitimacy of the patron claiming payment of the unclaimed jackpot. Upon receipt of the patron’s copy, the rest of the receipt is completed with the cashier, patron, and slot supervisor/key employee signing the slip indicating payment. Licensees must verify whether the taxable jackpot winner is listed in the GPI registry when the patron claims the jackpot. The receipt is attached to the original (white) and photograph, and all paperwork is forwarded to accounting along with the cage paperwork. Observe the process or interview cage and floor personnel to determine compliance with this procedure.

C	N	2C	2N
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4. The licensee must have procedures in place to:
 - a) Track unclaimed jackpot receipts and related jackpot slips upon issuance,
 - b) Track which slips are still outstanding,
 - c) Track which slips are paid, and
 - d) Pay patrons if the paperwork has been dropped to accounting.

Review the licensee’s procedures to determine if it addresses these areas.

C	N	2C	2N
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ICMP – SLOTS – N. ADDITIONAL PAYOUTS

1. Prior to offering additional payouts to patrons, the licensee must notify the Division, in writing, at least seven days in advance, of the information outlined in the ICMP. Verify additional payout programs were approved by the Division and the required information was submitted.

C	N	2C	2N
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2. Each slot machine offering additional payouts must be clearly marked in such a manner as to inform all patrons of the information outlined in the ICMP. If the licensee is offering an item other than cash (e.g., car or motorcycle), the licensee may state the item(s) only and not the dollar amount, if the item is the only payout. If the patron has an option of the item or a dollar amount, then both awards must be posted. Verify the additional payout program is clearly identified or interview personnel involved with additional payouts to determine their understanding of this procedure.

C	N	2C	2N
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3. Additional payouts must be associated with attendant paid events and cannot be processed via a pouch pay or the use of a payout request form. Additional payouts may not be awarded with machine paid events. Observe or interview personnel involved with additional payouts to determine their understanding of this requirement.

C	N	2C	2N
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4. For all additional payouts awarded, follow the procedures outlined for jackpots of \$1,200 or more. A W-2G must be completed when the total amount awarded is \$1,200 or more. When an additional payout is awarded, licensees must account for the payouts. Jackpot payout slips must be completed for these payouts as discussed in the preceding section. Regardless of the amount disbursed to the patron, the patron must sign the jackpot payout slip indicating receipt of the funds, after receipt of funds, for all additional payouts. If the patron's signature is not obtained, the additional payout is subject to denial for gaming tax purposes. Observe or interview personnel involved with additional payouts to determine their understanding of this requirement.

C	N	2C	2N
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5. If a licensee changes the top award and it exceeds the top award indicated on the par sheet, the excess must be submitted as an additional payout. Under no circumstances is the top award allowed to be lower than that indicated amount on the par sheet. Interview slot personnel involved with additional payouts to determine their understanding of this requirement.

C	N	2C	2N
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6. During the six-month period the licensee offers the additional payout, the licensee must ensure any changes to the additional payout program are communicated immediately to the Division, in writing. Updates to the additional payout program include changes to any of the information on the additional payout request form such as the deletion of slot machines, adding new machines, changing machine numbers, canceling the additional payout program, changing the award amount, changing the times and conditions of the additional payout program, etc. Interview personnel involved with additional payouts to determine their understanding of this procedure.

C	N	2C	2N
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7. The list of machines submitted to the Division should agree to the machines offering additional payouts on the gaming floor. Compare the list of approved machines offering additional payouts to the machines on the gaming floor. Note any differences and notify the Division.

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ICMP – SLOTS – O. PROGRESSIVE SLOT MACHINES

GENERAL

1. Each progressive slot machine game must be linked to a display showing the payoff. The payoff, referred to as the advertised amount, must be visible to all patrons playing a game that has the potential to win the progressive jackpot. Verify the progressives meet this requirement.

C	N	2C	2N
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TRANSFER OF PROGRESSIVE LIABILITY

1. Pursuant to CLGR 30-1244(12), no licensee may discontinue a progressive slot machine game until all of the advertised progressive amounts have been awarded, or the advertised progressive amount, minus the normal non-progressive award for the combination that would have awarded the progressive amount, is transferred to another progressive link within the licensed establishment. Interview slot personnel and determine his/her

C	N	2C	2N
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understanding of this requirement.

- Denomination changes are considered transfers. The licensee may change the denomination of a progressive slot machine game, or a progressive slot machine game bank, prior to a patron winning the progressive jackpot, provided that a documented progressive transfer has been completed. Licensees must maintain proper documentation of all progressive liability transfers. This documentation must be made available to Division personnel upon request. All progressive liability transfers must be documented at the time of the progressive discontinuance. Interview the slot personnel to determine their understanding of this requirement.

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RESET AMOUNT

- The reset amount for a progressive jackpot must be equal to, or greater than, the top award (base amount) shown on the par sheet of any machine on the link. If more than one progressive jackpot will be awarded (stand alone or linked), such as a progressive jackpot for both the top and second awards on the slot machine, the reset amount for each must be equal to, or greater than, the highest corresponding awards. Interview the slot personnel to determine their understanding of this requirement.
- After a progressive jackpot has been put into play, the advertised amount may not be lowered until won by a patron, unless the progressive is transferred or discontinued in a manner approved by the Division. Interview the slot personnel to determine their understanding of this requirement.

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C	N	2C	2N
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PROGRESSIVE CONTROLLER

- Pursuant to CLGR 30-1244(6), the Licensee must establish key control procedures to prevent unauthorized access to the progressive controller.

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ICMP – SLOTS – P. SLOT TOURNAMENT PROCEDURES

- An informational copy of the slot tournament rules, list of machines used in the tournament and machine set up must be provided to the Division at least five days prior to the scheduled start of the tournament. When the licensee is using a Colorado approved game program for tournaments, no description of how the machine will be disabled need be submitted to the Division. All required forms must be completed for all tournaments held. Interview personnel involved with slot tournaments to determine their understanding of this procedure.
- Immediately prior, and subsequent to, the slot tournament, soft or system meters must be read for all machines used in the slot tournament. No meters may increment during tournament play. Interview personnel involved with slot tournaments to determine their understanding of this procedure.
- Slot tournament entry fees are documented on a slot tournament entry fee log. The slot supervisor or their designee shall complete the information at the time the entry fee is

C	N	2C	2N
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C	N	2C	2N
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C	N	2C	2N
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collected with the name of patron and amount of the entry fee and/or the complimentary amount. Observe or interview personnel involved with slot tournaments to determine their understanding of this procedure.

4. If the entry fee is other than cash (e.g., toy, food, etc.), a dollar value is assigned to the item and is recorded as the entry fee and the total is reflected in the total non-cash column. A notation is made on the log stating the non-cash items received (e.g., toy, food, etc.). Observe or interview personnel involved with slot tournaments to determine their understanding of this procedure.

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5. At the end of the buy-in/sign-in period, the slot supervisor, or their designee, and another licensed individual shall independently recalculate the total entry fees collected, as shown on the log, count and verify the fees, and sign the log indicating proper completion and accuracy of the log. Any variances shall be noted. The count of the monies must be conducted in a secure area under surveillance. Observe or interview personnel involved with slot tournaments to determine their understanding of this procedure.

C	N	2C	2N
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6. The monies and entry fee log is then delivered to the cashier cage. The cashier shall count the funds to verify accuracy of the entry fee log. If the amounts do not agree, the cashier and slot supervisor, or their designee, shall investigate and resolve all differences. When the amounts agree, the cashier signs the log indicating receipt of the funds into the cage as slot tournament entry fees. The slot supervisor, or their designee, immediately deposits the slot tournament entry fee log in the locked accounting box. Observe or interview personnel involved with slot tournaments to determine their understanding of this procedure.

C	N	2C	2N
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7. The cost of all prizes and monies paid to the winner(s) must be recorded on a two-part form titled slot tournament prize form. This form shall be alphanumerically and sequentially numbered, and contain the information as outlined in the ICMP. The slot supervisor, or their designee, must sign both copies of the form, indicating accuracy of the form and disbursement of the prize. The patron must sign both copies upon receipt of the prize. The verifier (preferably from security) shall verify the amount paid to the patron agrees to the form and signs both copies of the form, indicating the amount stated on the form agrees to the amount given to the patron. Observe or interview personnel involved with slot tournaments to determine their understanding of this procedure.

C	N	2C	2N
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8. The verifier must immediately deposit the original (white) of the prize form in the locked accounting box. The yellow copy of the form shall be retained with the bank from which the prizes were disbursed. After all prizes are awarded, the yellow copy is placed in the locked accounting box by the individual disbursing the prizes. Observe or interview personnel involved with slot tournaments to determine their understanding of this procedure.

C	N	2C	2N
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ICMP – ACCOUNTING – A. GENERAL

1. Inquire about slot’s procedures for investigating variances on the statistical reports forwarded from the Accounting Department to the Slot Department. The licensee should have a process

C	N	2C	2N
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for investigating and documenting the variances. Inquire about the time it takes to receive the variances from accounting, getting the variances investigated, documented, and returned back to accounting.

2. Request the slot personnel demonstrate their methods for investigating coin, bill validator, ticket and jackpot variances. Document any areas of concern or deficiencies in the procedures used by the slot personnel.

C	N	2C	2N
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3. Determine if the Slot Department is current in processing variance investigations. Request the slot personnel show the oldest variances they are investigating. Document the date of the oldest investigations the slot personnel assigned the investigation.

C	N	2C	2N
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COLORADO LIMITED GAMING REGULATIONS (CLGR)
RULE 12 – GAMING DEVICES AND EQUIPMENT

1. **CLGR 30-1218 Ownership identification on gaming devices**

If the retail licensee is not responsible for the repairs, malfunctions, payment of winnings, or disputes regarding payments for a slot machine, the retailer must affix in a prominent place to each slot machine exposed for play, pursuant to the operator’s license or an agreement, a sign or label that identifies the person or persons responsible for repairs or malfunctions of the machine, payments of winnings, and disputes regarding payments. Select a sample of machines to determine compliance with this requirement.

C	N	2C	2N
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2. **CLGR 30-1230 Automatic light**

A light must be installed on the top of the slot machine that automatically illuminates whenever the interior of the slot machine is accessed. Video bar top slot machines do not need a light, but must display a message on the screen indicating that a door is open. Select a sample of machines to determine compliance with this requirement.

C	N	2C	2N
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3. **CLGR 30-1233 Rules of play**

The rules of play for a slot machine game must be displayable on the slot machine face glass or video screen. Rules of play must have approval of the Division. The Division may immediately disable a slot machine game from patron play if the rules of play are unavailable, incomplete, confusing, or misleading. Select a sample of machines to determine compliance with this requirement.

C	N	2C	2N
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4. **CLGR 30-1244 (11) Progressive slot machines defined**

A licensee may impose a limit on the jackpot of a progressive slot machine game if the limit imposed is greater than the current progressive jackpot displayed on the slot machine game at the time the limit is imposed. The licensee must inform the public with a prominently posted notice of progressive slot machine games with the limits. Select a sample of machines or interview slot personnel to determine compliance with this requirement.

C	N	2C	2N
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5. **CLGR 30-1248 Entry fee**

The tournament entry fee for each player may not exceed \$500 for the entire tournament, regardless of the number of qualifications or play-off rounds played. The tournament must be structured so that the minimum number of machine plays available to each player, without the accumulation of any winning credits, is equal to not less than the entry fee divided by five. Select a sample of machines or interview slot personnel to determine compliance with this requirement.

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6. **CLGR 30-1259 Incidental repairs**

A licensed manufacturer or distributor, operator, retailer, or associated equipment supplier may perform incidental repair on its gaming devices and associated equipment. All persons actually performing internal service or repairs must display a current Colorado gaming license. The licensee is responsible for ensuring that all service work, including the installation or repairs of component parts and associated equipment such as bill validators, ticket printers, gaming systems, kiosks or other parts which would significantly alter the current or subsequent operation of the gaming devices or associated equipment, are done correctly and are in compliance with Division requirements. Interview the slot personnel to determine their understanding of this requirement.

C	N	2C	2N
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Additional Comments:

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