

NATIONAL INDIAN GAMING COMMISSION
MICS AUDIT CHECKLIST
SURVEILLANCE-TIER B (SVB)

#	MICS QUESTION	YES	NO	W/P REF	MICS	COMMENT
General						
1.	Is the surveillance system maintained and operated from a staffed surveillance room and does it provide surveillance over (all) gaming areas? (Observation)	_____	_____	_____	542.33(a)	
2.	Is the entrance to the surveillance room located so that it is not readily accessible by either gaming operation employees who work primarily on the casino floor, or the general public? (Observation) (Describe in Comment Section the location of surveillance room.)	_____	_____	_____	542.33(b)	
3.	Is access to a surveillance room limited to surveillance personnel, key employees and other persons authorized in accordance with the surveillance department policy? (Observation and inquiry)	_____	_____	_____	542.33(c)	
4.	Is the surveillance room access policy approved by the Tribal gaming regulatory authority? (Review TGRA approval)	_____	_____	_____	542.33(c)	
5.	Do authorized surveillance personnel maintain sign-in logs of authorized persons entering the surveillance room? (Inquiry and review other-sign-in logs)	_____	_____	_____	542.33(c)	
6.	Does surveillance room equipment have total override capability over all other satellite surveillance equipment located outside the surveillance room? (Inquiry)	_____	_____	_____	542.33(d)	
7.	Does the surveillance system include date and time generators that possess the capability to display the date and time of recorded events on video and/or digital recordings and does the displayed date and time not significantly obstruct the recorded view? (Observation and review other-complete Video/ Digital Recording-Tier B worksheet)	_____	_____	_____	542.33(e)	

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8.	Does the surveillance department strive to ensure staff is trained in the use of the equipment, knowledge of the games, and house rules? (Inquiry) (Training should be routine and documented)	_____	_____	_____	542.33(f)	
9.	Is each camera required by the standards in this section installed in a manner that will prevent it from being readily obstructed, tampered with or disabled by customers or employees? (Observation)	_____	_____	_____	542.33(g)	
10.	Does each video camera possess the capability of having its picture displayed on a video monitor and recorded? (Observation and inquiry)	_____	_____	_____	542.33(h)	
11.	Does the surveillance system include sufficient numbers of monitors and recorders to simultaneously display and record multiple gaming and count room activities, and record the views of all dedicated cameras and motion activated dedicated cameras? (Observation) (Describe in Comment Section the entire Surveillance system, ie. total number of cameras, monitors, quads, VCR's, matrix's, etc.)	_____	_____	_____	542.33(h)	
12.	Is a reasonable effort made to repair each malfunction of surveillance system equipment within seventy-two (72) hours after the malfunction is discovered? (Inquiry and review supporting documentation)	_____	_____	_____	542.33(i)	
13.	Is the Tribal gaming regulatory authority notified of any camera(s) that has malfunctioned for more than twenty-four (24) hours? (Inquiry and review supporting documentation)	_____	_____	_____	542.33(i)	
14.	In the event of a dedicated camera malfunction, does the gaming operation and/or the surveillance department provide immediate alternative camera coverage or other security measures, such as additional supervisory or security personnel, to protect the subject activity? (Inquiry) (Describe in Comment Section the typical alternative camera coverage and/or security measures)	_____	_____	_____	542.33(i)(1)	

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(j) Bingo						
15.	Does the surveillance system possess the capability to monitor the bingo ball drawing device or random number generator, which shall be recorded during the course of the draw by a dedicated camera with sufficient clarity to identify the balls drawn or numbers selected? (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above)	---	---	---	542.33(j)(1)	
16.	Does the surveillance system monitor and record the bingo game board and the activities of the employees responsible for drawing, calling, and entering the balls drawn or numbers selected? (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above)	---	---	---	542.33(j)(2)	
(k) Card games						
17.	Does the surveillance system record the general activities in each card room and is the system capable of identifying the employees performing the different functions? (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above)	---	---	---	542.33(k)	
(l) Progressive card games						
18.	Are progressive card games with a progressive jackpot of \$25,000 or more monitored and recorded by dedicated cameras that provide coverage of the following: (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above)	---	---	---	542.33(l)(1)(i)	
	The table surface, sufficient that the card values and card suits can be clearly identified?	---	---	---		

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19.	Are progressive card games with a progressive jackpot of \$25,000 or more monitored and recorded by dedicated cameras that provide coverage of the following: (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above) An overall view of the entire table with sufficient clarity to identify customers and dealer?	_____	_____	_____	542.33(1)(1)(ii)	
20.	Are progressive card games with a progressive jackpot of \$25,000 or more monitored and recorded by dedicated cameras that provide coverage of the following: (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above) A view of the posted jackpot amount?	_____	_____	_____	542.33(1)(1)(iii)	
(m) Keno						
21.	Does the surveillance system possess the capability to monitor the keno ball-drawing device or random number generator, which shall be recorded during the course of the draw by a dedicated camera with sufficient clarity to identify the balls drawn or numbers selected? (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above)	_____	_____	_____	542.33(m)(1)	
22.	Does the surveillance system monitor and record general activities in each keno game area with sufficient clarity to identify the employees performing the different functions? (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above)	_____	_____	_____	542.33(m)(2)	
(n) Pari-mutuel						
23.	Does the surveillance system monitor and record general activities in the pari-mutuel area, to include the ticket writer and cashier areas, with sufficient clarity to identify the employees performing the different functions? (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above)	_____	_____	_____	542.33(n)	

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(o) Table games						
24.	If the gaming operation is offering four (4) or more table games, does the surveillance system provide the following: (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above) At a minimum, 1 pan-tilt-zoom camera per 2 tables or alternatively, 1 dedicated camera per table and 1 pan-tilt-zoom camera per 4 tables?	_____	_____	_____	542.33(o)(1)	
25.	If the gaming operation is offering four (4) or more table games, is the surveillance system capable of recording the following: (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above) Sufficient clarity to identify customers and dealers?	_____	_____	_____	542.33(o)(1)(i)	
26.	If the gaming operation is offering four (4) or more table games, is the surveillance system capable of recording the following: (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above) Sufficient coverage and clarity to simultaneously view the table bank and determine the configuration of wagers, card values, and game outcome?	_____	_____	_____	542.33(o)(1)(ii)	
27.	If the gaming operation is offering three (3) or fewer table games, then the following standards apply: (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above) Does the gaming operation comply with standards in questions 24-26? Or	_____	_____	_____	542.33(o)(2)(i)	
28.	If the gaming operation is offering three (3) or fewer table games, then the following standards apply: (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above) Does the surveillance system provide one (1) overhead camera for each table game?	_____	_____	_____	542.33(o)(2)(ii)	

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29.	Do all craps tables have two (2) dedicated cross view cameras covering both ends of the table? (Observation and review other-complete Video/Digital Recording-Tier B worksheet at question 7 above)	—	—	—	542.33(o)(3)	
30.	Do all roulette games have one (1) overhead dedicated camera covering the roulette wheel and also have one (1) dedicated camera covering the play of the table? (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above)	—	—	—	542.33(o)(4)	
31.	Do all big wheel games have one (1) dedicated camera viewing the wheel? (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above)	—	—	—	542.33(o)(5)	
(p) Progressive table games						
32.	Is each progressive table game with a potential progressive jackpot of \$25,000 or more recorded by dedicated camera(s) that provide coverage of: (Observation and review other-complete Video/Digital Recording-Tier B worksheet at question 7 above)	—	—	—	542.33(p)(1)(i)	
	The table surface, sufficient that the card values and card suits can be clearly identified?					
33.	Is each progressive table game with a potential progressive jackpot of \$25,000 or more recorded by dedicated camera(s) to provide coverage of: (Observation and review other-complete Video/Digital Recording-Tier B worksheet at question 7)	—	—	—	542.33(p)(1)(ii)	
	An overall view of the entire table with sufficient clarity to identify customers and dealer?					

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34.	<p>Is each progressive table game with a potential progressive jackpot of \$25,000 or more recorded by dedicated camera(s) to provide coverage of: (Observation and review other-complete Video/Digital Recording-Tier B worksheet at question 7)</p> <p>A view of the progressive meter jackpot amount? Note: If several tables are linked to the same progressive jackpot meter, only one meter need be recorded.</p>	_____	_____	_____	542.33(p)(1)(ii)	
(q) Gaming machines						
35.	<p>Do all gaming machines offering a payout of more than \$250,000 monitored and recorded by a dedicated camera(s) to provide coverage of: (Observation and review other-complete Video/Digital Recording-Tier B worksheet at question 7 above) (Note: Does not apply to In-house progressive machines with a base jackpot amount of less than \$100,000 or Wide Area Progressive machines with a base jackpot amount less than \$1.5 million.)</p> <p>All customers and employees at the gaming machine?</p>	_____	_____	_____	542.33(q)(1)(i)	
36.	<p>Do all gaming machines offering a payout of more than \$250,000 monitored and recorded by a dedicated camera(s) to provide coverage of: (Observation and review other-complete Video/Digital Recording-Tier B worksheet at question 7 above) (Note: Does not apply to In-house progressive machines with a base jackpot amount of less than \$100,000 or Wide Area Progressive machines with a base jackpot amount less than \$1.5 million.)</p> <p>The face of the gaming machine, with sufficient clarity to identify the payout line(s) of the gaming machine?</p>	_____	_____	_____	542.33(q)(1)(ii)	

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37.	Do all In-house progressive gaming machines with a base jackpot amount of more than \$100,000 monitored and recorded by dedicated camera(s) that provide coverage of the following: (Observation and review other-complete Video/Digital Recording-Tier B worksheet at question 7 above) All customers and employees at the gaming machine?	_____	_____	_____	542.33(q)(2)(i)	
38.	Do all In-house progressive gaming machines with a base jackpot amount of more than \$100,000 monitored and recorded by dedicated camera(s) that provide coverage of the following: (Observation and review other-complete Video/Digital Recording-Tier B worksheet at question 7 above) The face of the gaming machine, with sufficient clarity to identify the payout line(s) of the gaming machine?	_____	_____	_____	542.33(q)(2)(ii)	
39.	Do all Wide-area progressive gaming machines with a base jackpot amount of more than \$1.5 million monitored and recorded by dedicated camera(s) that provide coverage of the following: (Observation and review other-complete Video/Digital Recording-Tier B worksheet at question 7 above) All customers and employees at the gaming machine?	_____	_____	_____	542.33(q)(3)(i)	
40.	Do all Wide-area progressive gaming machines with a base jackpot amount of more than \$1.5 million monitored and recorded by dedicated camera(s) that provide coverage of the following: (Observation and review other-complete Video/Digital Recording-Tier B worksheet at question 7 above) The face of the gaming machine, with sufficient clarity to identify the payout line(s) of the gaming machine?	_____	_____	_____	542.33(q)(3)(ii)	

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41.	Notwithstanding questions 35-40, if the gaming machine is a multi-game machine, has the gaming operation developed and implemented alternative procedures to verify payouts? (Inquiry and review policies and procedures) (Indicators of compliance: Procedures should include the ability to verify game outcome from historical data originating within the gaming device or computerized game server, verification of game program e.g. Kobitron EPROM's, hard drives, etc.)	_____	_____	_____	542.33(q)(4)	
42.	Has the gaming operation received approval for the alternative procedures to verify payouts? (Review TGRA approval)	_____	_____	_____	542.33(q)(4)	
(r) Cage and vault						
43.	Does the surveillance system monitor and record a general overview of activities occurring in each cage and vault area, with sufficient clarity to identify employees within the cage and customers and employees at the counter areas? (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above)	_____	_____	_____	542.33(r)(1)	
44.	Is each cashier station equipped with one (1) dedicated overhead camera covering the transaction area? (Observation)	_____	_____	_____	542.33(r)(2)	
45.	Is the surveillance system used as an overview for cash transactions and does this overview include the customer, the employee and the surrounding area? (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above)	_____	_____	_____	542.33(r)(3)	

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(s) Fills and credits						
46.	Is the cage or vault area in which fills and credits are transacted monitored and recorded by a dedicated camera or motion activated dedicated camera that provides coverage with sufficient clarity to identify the chip values and the amounts on the fill and credit slips? (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above) (Note: Controls provided by a computerized fill and credit system may be deemed an adequate alternative to viewing the fill and credit slips.)	_____	_____	_____	542.33(s)(1)	
(t) Currency and coin						
47.	Does the surveillance system monitor and record with sufficient clarity all areas where currency or coin may be stored or counted? (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above)	_____	_____	_____	542.33(t)(1)	
48.	Does the surveillance system provide for the following: (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above) Coverage of scales sufficiently clear to view any attempted manipulation of the recorded data?	_____	_____	_____	542.33(t)(2)(i)	
49.	Does the surveillance system provide for the following: (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above) Monitoring and recording of the table games drop box storage rack or area by either a dedicated camera or a motion detector activated camera?	_____	_____	_____	542.33(t)(2)(ii)	

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50.	Does the surveillance system provide for the following: (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above) Monitoring and recording of all areas where coin may be stored or counted, including the hard count room, all doors to the hard count room, all scales and wrapping machines and all areas where uncounted coin may be stored during the drop and count process?	_____	_____	_____	542.33(t)(2)(iii)	
51.	Does the surveillance system provide for the following: (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above) Monitoring and recording of soft count room, including all doors to the room, all drop boxes, safes, and counting surfaces, and all count team personnel?	_____	_____	_____	542.33(t)(2)(iv)	
52.	Does the surveillance system provide for the following: (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above) Continuous monitoring of the counting surface area by a dedicated camera during the soft count?	_____	_____	_____	542.33(t)(2)(iv)	
53.	Does the surveillance system provide for the following: (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above) Monitoring and recording of all areas where currency is sorted, stacked, counted, verified or stored during the soft count process?	_____	_____	_____	542.33(t)(2)(v)	
(u) Change booths.						
54.	Does the surveillance system monitor and record a general overview of the activities occurring in each gaming machine change booth? (Observation and review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above)	_____	_____	_____	542.33(u)	

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(v) Image retention						
55.	Are all video recordings and/or digital records of coverage provided by the dedicated cameras or motion-activated dedicated cameras required by the standards in this section retained for a minimum of seven (7) days? (Review other-complete Video/ Digital Recording-Tier B worksheet at question 7 above)	_____	_____	_____	542.33(v)(1)	
56.	Are recordings involving suspected or confirmed gaming crimes, unlawful activity, or detentions by security personnel, retained for a minimum of thirty (30) days? (Inquiry and review supporting documentation)	_____	_____	_____	542.33(v)(2)	
(w) Video library log						
57.	Is a video library log maintained to demonstrate compliance with the storage, identification, and retention standards required in this section? (Review supporting documentation)	_____	_____	_____	542.33(w)	
58.	If a comparable alternative procedure to the video library log is utilized, did the surveillance department receive approval? (Review TGRA approval)	_____	_____	_____	542.33(w)	
(x) Malfunction log						
59.	Do surveillance personnel maintain a log that documents each malfunction and repair of the surveillance system as defined in this section? (Review supporting documentation)	_____	_____	_____	542.33(x)(1)	
60.	If an alternative procedure is used to document malfunctions and repairs, did the surveillance department receive approval? (Review TGRA approval)	_____	_____	_____	542.33(x)(1)	

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61.	Does the malfunction log shall state the time, date, and nature of each malfunction, the efforts expended to repair the malfunction, and the date of each effort, the reasons for any delays in repairing the malfunction, the date the malfunction is repaired, and where applicable, any alternative security measures that were taken? (Review supporting documentation)	_____	_____	_____	542.33(x)(2)	
(y) Surveillance log						
62.	Do surveillance personnel maintain a surveillance log of all surveillance activities? (Review supporting documentation)	_____	_____	_____	542.33(y)(1)	
63.	Is the log maintained stored securely within the surveillance department? (Observation)	_____	_____	_____	542.33(y)(2)	
64.	Does the surveillance log contain, at a minimum, the following information: (Examination of records) Date?	_____	_____	_____	542.33(y)(3)(i)	
65.	Does the surveillance log contain, at a minimum, the following information: (Examination of records) Time commenced and terminated?	_____	_____	_____	542.33(y)(3)(ii)	
66.	Does the surveillance log contain, at a minimum, the following information: (Examination of records) Activity observed or performed?	_____	_____	_____	542.33(y)(3)(iii)	
67.	Does the surveillance log contain, at a minimum, the following information: (Examination of records) The name or license credential number of each person who initiates, performs, or supervises the surveillance?	_____	_____	_____	542.33(y)(3)(iv)	
68.	Do surveillance personnel also record a summary of the results of the surveillance of any suspicious activity? Note: The summary may be maintained in a separate log.	_____	_____	_____	542.33(y)(4)	