

**NATIONAL INDIAN GAMING COMMISSION**  
**MICS AUDIT CHECKLIST**  
**CARD GAMES (CG)**

#	MICS QUESTION	YES	NO	W/P REF	MICS	COMMENT
<b>(b) Standards for drop and count.</b>						
1.	For the procedures of card games drop and count, complete with §542.21, §542.31, or §542.41 (as applicable). (N/A and YES answers only)	_____	_____	_____	542.9(b)	
<b>(c) Standards for supervision.</b>						
2.	Is supervision provided at all times the card room is in operation by personnel with authority equal to or greater than those being supervised? (Observation and inquiry)	_____	_____	_____	542.9(c) (1)	
3.	Are exchanges between table banks and the main card room bank (or cage, if a main card room bank is not used) in excess of \$100 authorized by a supervisor and evidenced by the use of a lammer (written authorization not required) (Note: A lammer is not required if the exchange of chips, tokens, and/or cash takes place at the table.)? (Inquiry)	_____	_____	_____	542.9(c) (2)	
4.	Are exchanges from the main card room bank (or cage, if a main card room bank is not used) to the table banks verified by the card room dealer and the runner? (Observation and inquiry)	_____	_____	_____	542.9(c) (3)	
5.	If applicable, are transfers between the main card room bank and the cage properly authorized and documented? (Inquiry and review supporting documentation)	_____	_____	_____	542.9(c) (4)	
6.	Is a rake collected or ante placed in accordance with the posted rules? (Observation and inquiry)	_____	_____	_____	542.9(c) (5)	
<b>(d) Standards for playing cards.</b>						
7.	Are playing cards (new playing cards) maintained in a secure location to prevent unauthorized access and to reduce the possibility of tampering? State the location in Comment Section.) (Observation and inquiry)	_____	_____	_____	542.9(d) (1)	

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8.	Are used cards maintained in a secure location until marked, scored, or destroyed, in a manner to prevent unauthorized access and reduce the possibility of tampering? (State the location in Comment Section). (Observation and inquiry)	_____	_____	_____	542.9(d) (2)	
9.	Has the gaming operation received approval for the manner in which the used cards are maintained? (Review TGRA approval)	_____	_____	_____	542.9(d) (2)	
10.	Has the gaming operation established a reasonable time period, which shall not exceed seven (7) days, within which to mark, cancel, or destroy cards from play? (Note: This standard shall not apply where playing cards are retained for an investigation.) (State the time period Comment Section) (Review supporting documentation) (Time period should be documented)	_____	_____	_____	542.9(d) (3)	
11.	Has the gaming operation received approval for the time period within to mark, cancel or destroy cards? (Review TGRA approval)	_____	_____	_____	542.9(d) (3)	
12.	Has the gaming operation complied with the established time period within which to mark, cancel, or destroy cards from play? (Note: this standard shall not apply where playing cards are retained for an investigation.) (Review supporting documentation)	_____	_____	_____	542.9(d) (3)	
13.	Is a card control log maintained that documents when cards are received on site, distributed to and returned from tables and removed from play by the gaming operation? (Review supporting documentation) (Perpetual inventory records required)	_____	_____	_____	542.9(d) (4)	
<b>(e) Plastic cards.</b>						
14.	If the gaming operation uses plastic cards (not plastic-coated cards), are the cards routinely inspected, and washed or cleaned and not used more than 3 months? (Inquiry and review supporting documentation)	_____	_____	_____	542.9(e) )	

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15.	Has the gaming operation received approval for the manner and time frame in which plastic cards are routinely inspected, washed or cleaned? (State the time frame in Comment Section) (Review TGRA approval)	___	___	___	542.9(e)	
<b>(f) Standards for shills.</b>						
16.	Does the issuance of shill funds have the written approval of the supervisor? (Inquiry/ review supporting documentation)	___	___	___	542.9(f) (1)	
17.	Are shill returns recorded and verified on the shill sign-out form? (Inquiry/ review supporting documentation)	___	___	___	542.9(f) (2)	
18.	Is the replenishment of shill funds documented? (Inquiry/ review supporting documentation)	___	___	___	542.9(f) (3)	
<b>(g) Standards for reconciliation of card room bank.</b>						
19.	Is the amount of the main card room bank counted, recorded, and reconciled on at least a per shift basis? (Examination of records-complete Card Games Inventory worksheet)	___	___	___	542.9(g) (1)	
20.	At least once per shift, are the table banks that were opened during that shift counted, recorded, and reconciled by a dealer or other person, and a supervisor, and attested to by their signatures on the check-out form? (Examination of records-complete Card Games Inventory worksheet at 19 above.)	___	___	___	542.9(g) (2)	
<b>(h) Standards for promotional progressive pots and pools.</b>						
21.	Are all funds contributed by players into the pools returned when won in accordance with the posted rules with no commission or administrative fee withheld? (Review other- detailed general ledger records for selected months pertaining to increases and decreases to pool balances. Decreases supported by only winning payout documentation. Increases supported by count documentation.)	___	___	___	542.9(h) (1)	

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22.	Are the rules governing promotional pools conspicuously posted? (Observation)	_____	_____	_____	542.9(h) (2)	
23.	Do the posted rules governing promotional pools designate the following: (Observation)  The amount of funds to be contributed from each pot?	_____	_____	_____	542.9(h) (2)(i)	
24.	Do the posted rules governing promotional pools designate the following: (Observation)  What type of hand it takes to win the pool (e.g., what constitutes a "bad beat")?	_____	_____	_____	542.9(h) (2)(ii)	
25.	Do the posted rules governing promotional pools designate the following: (Observation)  How the promotional funds will be paid out?	_____	_____	_____	542.9(h) (2)(iii)	
26.	Do the posted rules governing promotional pools designate the following: (Observation)  How/when the contributed funds are added to the jackpots?	_____	_____	_____	542.9(h) (2)(iv)	
27.	Do the posted rules governing promotional pools designate the following: (Observation)  Amount/percentage of funds allocated to primary and secondary jackpots, if applicable?	_____	_____	_____	542.9(h) (2)(v)	
28.	Are promotional pool contributions not placed in or near the rake circle, in the drop box, or commingled with gaming revenue from card games or any other gambling game? (Observation and inquiry)	_____	_____	_____	542.9(h) (3)	
29.	Is the amount of the jackpot conspicuously displayed in the card room? (Observation)	_____	_____	_____	542.9(h) (4)	
30.	At least once a day, is the posted pool amount updated to reflect the current pool amount? (Observation and inquiry)	_____	_____	_____	542.9(h) (5)	

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31.	At least once a day, are increases to the posted pool amount reconciled to the cash previously counted or received by the cage by personnel independent of the card room? (Examination of records)	_____	_____	_____	542.9(h) (6)	
32.	Are all decreases to the pool properly documented, including a reason for the decrease? (Examination of records)	_____	_____	_____	542.9(h) (7)	
<b>(i) Promotional progressive pots and pools where funds are displayed in the card room.</b>						
33.	Where promotional progressive pots and pools are displayed in the card room, the following standards shall apply: (Observation)  Are promotional funds displayed in the card room placed in a locked container in plain view of the public?	_____	_____	_____	542.9(i) (1)	
34.	Where promotional progressive pots and pools are displayed in the card room, the following standards shall apply: (Observation and inquiry)  Are persons authorized to transport the locked container precluded from having access to the contents keys?	_____	_____	_____	542.9(i) (2)	
35.	Where promotional progressive pots and pools are displayed in the card room, the following standards shall apply: (Observation and inquiry)  Is the contents key maintained by personnel independent of the card room? (State the department in Comment Section.)	_____	_____	_____	542.9(i) (3)	
36.	Where promotional progressive pots and pools are displayed in the card room, the following standards shall apply: (Observation and inquiry)  At least once a day, is the locked container removed by two persons, one of whom is independent of the card games department, and transported directly to the cage or other secure room to be counted, recorded, and verified? (State the department in Comment Section.)	_____	_____	_____	542.9(i) (4)	

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37.	Where promotional progressive pots and pools are displayed in the card room, the following standards shall apply: (Observation and inquiry) Is the locked container returned to the card room where the posted pool amount is updated to reflect the current pool amount?	—	—	—	542.9(i) (5)	
<b>(j) Promotional progressive pots and pools where funds are maintained in the cage.</b>						
38.	Where promotional progressive pots and pools are maintained in the cage, the following standards shall apply: (Observation) Are promotional funds removed from the card game placed in a locked container?	—	—	—	542.9(j) (1)	
39.	Where promotional progressive pots and pools are maintained in the cage, the following standards shall apply: (Observation and inquiry) Are persons authorized to transport the locked container precluded from having access to the contents keys? (This typically refers to the bad beat pool drop box attached to the table.)	—	—	—	542.9(j) (2)	
40.	Where promotional progressive pots and pools are maintained in the cage, the following standards shall apply: (Observation and inquiry) Is the contents key maintained by personnel independent of the card room? (State the department in Comment Section.)	—	—	—	542.9(j) (3)	
41.	Where promotional progressive pots and pools are maintained in the cage, the following standards shall apply: (Observation and inquiry) At least once a day, is the locked container removed by two persons, one of whom is independent of the card games department, and transported directly to the cage or other secure room to be counted, recorded, and verified, prior to accepting the funds into cage accountability? (State the department in Comment Section.)	—	—	—	542.9(j) (4)	

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42.	Is the posted pool amount updated to reflect the current pool amount? (Observation and inquiry)	_____	_____	_____	542.9(j) )5)	
<b>(a) Computer applications.</b>						
43.	If the gaming operation is utilizing any computer applications with alternative documentation and/or procedures, did the gaming operation receive approval for such procedures? (Review TGRA approval)	_____	_____	_____	542.9(a) )	