

Downstream Authority of the Quapaw Tribe of Oklahoma Regular Meeting  
February 18, 2013

**Meeting Called to Order:** 3:03 pm

<b>ROLL CALL:</b>	John Berrey, Chairman	Present
	Larry Ramsey, Secretary	Present
	Ranny McWatters, Treasurer	Present
	Marilyn Rogers, Member	Present
	Tamara Smiley, Member	Present

**DECLARATION OF QUORUM:** announced by Larry Ramsey  
Tim B, Jani

Policies

- 1200.28.02 – EGM Hold Percentage Variance

Motion by DDA Secretary Larry Ramsey to approve policy as presented. Seconded by DDA Treasurer Ranny McWatters. Vote JB: y; RM: y; LR: y; MR: absent; TS: y (4 yes, 0 no, 1 absent) motion carries.

- 6200.02.02 – QClub Enrollment Procedures

Motion by DDA Treasurer Ranny McWatters to approve policy as presented. Seconded by DDA member Tamara Smiley. Vote JB: y; RM: y; LR: y; MR: absent; TS: y (4 yes, 0 no, 1 absent) motion carries.

- 1400.45.02 – Cage Variance Policy

Motion by DDA Member Tamara Smiley to approve policy as presented. Seconded by DDA Secretary Larry Ramsey. Vote JB: y; RM: y; LR: y; MR: absent; TS: y (4 yes, 0 no, 1 absent) motion carries.

Cattlebarron's Ball

- American Cancer Society
- Previous
  - \$10,000 cash
  - \$13,900 entertainment
  - \$3200 auction packages
  - 250, \$20 Qplays
  - 700, \$10 Qplays
  - \$5500 golf

Motion by DDA Secretary Larry Ramsey to approve a donation of \$50,000 (cash and trade) for 2013. Seconded by DDA Treasurer Ranny McWatters. Vote JB: y; RM: y; LR: y; MR: absent; TS: y (4 yes, 0 no, 1 absent) motion carries.

Banquet Linens

- \$7,000 destroyed
- Armark
- Jani to pursue replacement/repayment

Accident Updates

- Learning center – child finger caught in door, still working with doctors
- Stella McGowen – filing for dismissal

#### Nurse Practitioner

- Started today
- Monday –Friday 8-5

#### Host Office

- Working on reconfiguration in new (on floor) office
- Working on wireless for hosts on floor (tablets)
- Red Oak Hosted Dinner on 2/24

#### June Player Party

- Options presented – Pontoon boat
- \$37,441 – dealer cost for boat/trailer/motor
- Larry to check on pricing

#### Donations

Francisco Community Fundraiser	60 Buffalo Grille	hotel	150 spa
Francisco Community Fundraiser	60 Buffalo Grille	hotel	Golf for 2
Woodruff Foundation	150 Red Oak	hotel	150 spa
Woodruff Foundation	60 Buffalo Grille	hotel	
Neosho Schools - Carver Elem	60 Buffalo Grille	hotel	
Sugar Creek Gobblers	60 Buffalo Grille	hotel	
Joplin Schools - Jefferson Elem	60 Buffalo Grille	hotel	
Comm For Helping the Washburns	60 Buffalo Grille	hotel	
Barton Chamber of Commerce	60 Buffalo Grille	hotel	
A Sporting Chance	60 Buffalo Grille	hotel	
Hospice Compassus	60 Buffalo Grille	hotel	
St. Vincent dePaul Catholic School	60 Buffalo Grille	hotel	
Missouri State University	60 Buffalo Grille	hotel	
Republic Special Olympics	60 Buffalo Grille	hotel	
Greater Springfield Dental	150 Red Oak	hotel	
Soroptimist of Carthage	60 Buffalo Grille	hotel	
Mt Vernon Elementary	Golf for 4		
McDonald County FFA Alumni/Booster	60 Buffalo Grille	hotel	

#### Land Purchase

- 5 acre parcel
- Tim Walsh
- \$160,000 for 5 acres with clear title
- Offer \$125

Adjourn 4:56 pm

# Quapaw Tribal Gaming Agency



Date Received	2/13/13 BM
Comments	
Reviewed By	
Approved	Tentative
Not Approved	Final

## Policy and Procedure Submission

<b>Policy Name and Number:</b>  EGM – Hold Percentage Variances Policy #1200.28.02	<b>Department:</b>  EGM	<b>Submission Date:</b>  2/5/2013
<b>Narrative Description:</b>  To establish a policy and procedures for investigating EGM hold percentage variances.  This is a revision to version #1200.28.01 to reflect current operating procedures as well as update the PAR worksheet.		<b>DCR/QTGA Tracking:</b>  POLICIES & PROCEDURES DDA APPROVED FEB 18 2013

### DCR Compliance Authorization

Signature: Stephanie Hardy 2551

Date: 1/31/13

### Department Director Authorization

Signature: Robert S. Meacham 621

Date: 2-2-13

### General Manager Authorization

Signature: Joni Cummins

Date: 2-12-13

### QTGA Authorization

Signature: Barbara Collins

Date: 2/15/13

<b>EGM - Hold Percentage Variances</b>	<b>Policy No:</b> 1200.28.02	<b>Issue Date:</b> 2/15/2013
<b>PURPOSE:</b> To establish policy and procedures for investigating EGM hold percentage variances.		

<b>DCR Compliance – ITEM Tracking</b>	<b>Date</b>
Issue Date	2/15/2013
Compliance Review	11/23/2009
QTGA Submission	11/25/2009
QTGA Final Approval	12/31/2009
GM Approval	1/19/2010
DDA Final Approval	1/27/2010
Compliance Revisions to #1200.28.01	11/2/2012
QTGA Submission	11/2/2012
QTGA Return	11/13/2012
Compliance Review	12/17/2012
QTGA Submission	12/20/2012
QTGA Return	1/10/2013
Compliance Review	1/28/2013
QTGA Submission	2/5/2013
GM Approval	2/12/2013
QTGA Approval	2/15/2013
DDA Approval	2/18/2013

### **POLICY**

1. Electronic Gaming Machine (EGMs) that have experienced at least 100,000 wagering transactions, large variances of three percent (3%) or more between theoretical hold and actual hold shall be investigated.
2. The Income Audit Department creates a Variance report (pg. 4-5) that lists EGMs on the Casino floor which have at least a three (3%) variance between their theoretical and actual holds and have at least 100,000 wagering transactions.
  - a. Variance report is created monthly for the previous month.
  - b. Variance report identifies EGMs that are showing a three percent (3%) variance, with at least 100,000 wagering transactions, for life to date (LTD) machine period, that are showing variances in the previous month.
3. A member of the Income Audit Department e-mails the Variance report to the EGM Technical Manager.

- a. Variance report is sent to the EGM Technical Manager on or before the 15<sup>th</sup> day of the month.
  - b. EGM Technical Manager or EGM Technical Supervisor will filter the Variance report to show only the EGMs that meet the 3% and 100,000 wagering transaction criteria.
4. EGM Technical Manager or EGM Technical Supervisor compares theoretical hold percentages (THP) listed on the Variance report to THP listed in the Slot Master.
5. EGM Technical Manager or EGM Technical Supervisor will add a comment column to the Variance report and note discrepancies in that column.
6. EGM Technical Manager or EGM Technical Supervisor identifies recurring variance EGMs by reviewing previous month's Variance report to see if EGMs continue to be listed.
  - a. Differential between games played meters for recurring EGMs on current and previous month's Variance report will be evaluated to determine if 100,000 additional games have been played to warrant further investigation.
    - i. Further investigation and the results will be noted in the comments section of the Variance report.
7. EGM Technical Manager or EGM Technical Supervisor identifies new EGM entries in the Variance report.
  - a. Volatility index and confidence intervals will be researched to determine if the variance is in an expected range and noted in the comments section of the Variance report for reference. The information will factor into a determination for further investigation.
    - i. Note: It is not unusual for high volatility games to exceed a 3% hold variance.
8. EGM Technical Manager or EGM Technical Supervisor issues a PAR Variance worksheet (pg. 6) to an EGM technician(s).
  - a. PAR Variance worksheet(s) are issued for EGM's with variances that have not been rationalized with the previous steps.
  - b. PAR Variance worksheet(s) contains information concerning the asset numbers listed on the variance report and the following:
    - i. Denomination(s)
    - ii. Hold Percentage(s)

- iii. Max Bet (Identified in Description column)
    - iv. Line configuration (Identified in Description column)
    - v. Program number
    - vi. EGM Technician Initials, Badge number and Date
    - vii. Verifying EGM Technician Initials, Badge number and Date
  - c. The PAR Variance worksheet requests verification of information concerning the asset numbers listed on the variance report.
    - i. Machine number
    - ii. Location
    - iii. Manufacturer/Vendor
    - iv. Description
- 9. EGM Technician completes and returns PAR Variance worksheet to EGM Technical Manager or Supervisor.
- 10. EGM Technical Manager or EGM Technical Supervisor verifies data on the PAR Variance worksheet to information in the Slot Master.
- 11. EGM Technical Manager or EGM Technical Supervisor will note discrepancies in the comments section on the PAR Variance report.
- 12. EGM Technical Manager or EGM Technical Supervisor will correct the PAR in the Slot Master if the PAR was set up in the Slot Master incorrectly.
- 13. EGM Technical Manager or EGM Technical Supervisor completes the Variance report.
  - a. Findings or determination for each EGM listed on the Variance report are documented in the corresponding comments section of the report, as well as resolution of the finding.
  - b. Completed Variance report is returned to the Income Audit Department (sender) via email.

# Example of a Variance report from Income Audit – pg. 1 of 2

Denom	Mach #	Location Description	Days on Floor	Metered Coin In	Legacy Coin Out	Actual Bill Drop	Actual Coin Drop	Actual Voucher Drop	Actual Total Drop	Non-Deductible Bonus	Adjusted Total Drop	Actual Fills	Attendant Payouts	Tickets Issued
\$0.01	152333	035509 3X2X SUPER 76 SR50L500C	258	189,387.79	172,760.26	45,775.00	0.00	109,941.07	155,716.07	0.00	155,716.07	0.00	6,333.00	139,071.74
\$0.01	152588	042402 BREAK THE ICE SR30L600C	137	313,723.20	277,017.75	77,537.00	0.00	135,931.32	213,468.32	0.00	213,468.32	0.00	30,517.50	176,762.87
\$5.00	604175	023204 BRGN DRGN 3R1L3C	236	3,540,845.00	3,057,430.00	809,223.00	0.00	1,570,496.82	2,379,719.82	0.00	2,379,719.82	0.00	538,070.00	1,896,054.82
\$0.01	151841	033702 BUFFALO XRP SR1034WY400C	615	1,418,108.15	1,271,145.25	284,407.00	0.00	591,263.46	875,670.46	0.00	875,670.46	0.00	19,274.85	810,996.14
\$0.01	151594	030606 DBL DIA SR9L180C	875	1,567,720.60	1,372,228.54	97,686.00	0.00	255,676.42	353,362.42	0.00	353,362.42	0.00	0.00	310,852.28
\$0.01	150209	021404 DBL GLD SR9L180C	1,565	2,308,141.90	2,108,411.76	581,602.00	0.00	797,391.75	1,378,993.75	0.00	1,378,993.75	0.00	5,914.77	1,012,737.49
\$0.01	152578	041708 DBL RL RCH DVL SR50L200C SAP2	139	252,977.60	263,182.33	72,011.00	0.00	170,937.19	242,948.19	0.00	242,948.19	0.00	17,340.63	213,152.92
\$0.01	151999	043803 DIA VAULT 3R30L150C LP3	481	1,360,564.08	1,196,029.55	296,678.00	0.00	628,804.53	925,482.53	0.00	925,482.53	0.00	94,238.50	770,929.09
\$0.01	151206	014408 DRGNFLY SR243WY250C	1,264	1,745,071.95	1,578,412.88	604,936.00	0.00	1,585,384.61	2,190,320.61	0.00	2,190,320.61	0.00	20,603.15	1,966,499.62
\$0.05	350337	031405 FREE SPIN OF FRTN SR9L180C	208	3,397,836.35	3,219,345.23	496,278.00	0.00	754,263.93	1,250,541.93	0.00	1,250,541.93	0.00	110,903.65	1,071,743.41

Example of a Variance report from Income Audit – pg. 2 of 2

Actual Win	Actual Hold%	Theo Hold%	Var %	Projected Curr Var	3%	Games
10,311.33	8.44	8.45	-3.01	-5,700.57		
					X	209,172 Checks good, volatility index = 17.316 at 100,000 pulls there is a 5.47% +/- variance, RTP range between 85.11 & 97.06%.
6,187.95	1.97	8.11	-6.14	-19,262.60	X	223,885 Checks good, volatility index = 21.99 at 100,000 pulls there is a 5.95% +/- variance, RTP range between 83.14 & 97.04%.
-54,405.00	-1.54	2.75	-4.29	-151,902.25	X	448,838 Class 2 - CDS
45,399.47	3.20	8.10	-4.90	-69,487.30	X	2,312,030 Checks good
42,510.14	2.71	8.96	-6.25	-97,982.54	X	2,719,069 Checks good
360,341.49	15.61	8.81	6.80	156,953.65	X	3,684,896 Checks good
12,454.64	4.25	8.02	-3.77	-11,045.26	X	277,014 Checks good, volatility index = 7.85 at 100,000 pulls there is a 2.48% +/- variance, RTP range between 89.49% & 94.46%.
60,314.94	4.43	7.57	-3.14	-42,721.71	X	1,914,765 Removed From Floor
203,217.84	11.65	8.46	3.19	55,667.80	X	3,119,448 Checks good
67,894.87	2.00	6.21	-4.21	-143,048.91	X	904,770 Class 2 - CDS



### Example of PAR Worksheet

Nov 2012 PARVAR Worksheet

[illegible]

# Quapaw Tribal Gaming Agency



Date Received	2/8/13
Comments	
Reviewed By	BKC
Approved	Tentative
Not Approved	Final

## Policy and Procedure Submission

<b>Policy Name and Number:</b>  Enrollment Procedures Policy #6200.02.02	<b>Department:</b>  Q-Club	<b>Submission Date:</b>  2/8/2013
<b>Narrative Description:</b>  To establish policy and procedures to enroll new members into the Q-Club.  This is a revision to #6200.02.01 to allow new Q-Club card sign ups to receive \$5 in Q-play and a free buffet.		<b>DCR/QTGA Tracking:</b>  POLICIES & PROCEDURES DDA APPROVED FEB 18 2013

### DCR Compliance Authorization

Signature: Stephanie Hardy 2551

Date: 2/8/13

### Department Director Authorization

Signature: [Signature]

Date: 2-8-13

### General Manager/Assistant General Manager Authorization

Signature: [Signature]

Date: 2-8-13

### QTGA Authorization

Signature: [Signature]

Date: 2/8/13

<b>Enrollment Procedures</b>	<b>Policy No:</b> 6200.02.02	<b>Issue Date:</b> 2/8/2013
<b>PURPOSE:</b> To establish policy and procedures to enroll new members into the Q-Club.		

<b>DCR Compliance – ITEM Tracking</b>	<b>Date</b>
Issue Date	2/8/2013
Compliance Review	8/11/2010
QTGA Submission	8/16/2010
QTGA Return	9/9/2010
Compliance Review	6/10/2011, 9/23/2011
QTGA Submission	9/29/2011
GM Approval	9/29/2011
QTGA Final Approval	10/21/2011
DDA Final Approval	11/1/2011
Compliance Revisions to #6200.02.01	2/1/2013
QTGA Submission	2/1/2013
QTGA Return	2/5/2013
Compliance Review	2/6/2013
QTGA Submission	2/6/2013
QTGA Submission	2/8/2013
GM Approval	2/8/2013
QTGA Approval	2/8/2013
DDA Approval	2/18/2013

### **PROCEDURE**

1. Ask the patron if they have ever had a card with Downstream Casino Resort (DCR) or Quapaw Casino. If they have not, ask for valid photo identification (ID). Refer to Universal ID Acceptance Policy (#6320.15) for information regarding acceptable forms of ID. Some of the acceptable forms of ID are:
  - a. U.S. Passport
  - b. Foreign Passport (written in English)
  - c. U.S. State Driver's License including Canadian Driver's License
  - d. U.S. State issued ID Card
  - e. U.S. Green Card (Permanent Resident) or Alien registration card with U.S. Issued Visa

- f. Special circumstances – A paper driver's license as long as the patron is able to provide a photo ID. Paper ID can be scanned into Patron's account until the new ID is presented.
  - g. Special circumstances – States that place a sticker on the back with address changes or change in expiration.
- 2. Non-acceptable forms of ID are:
  - a. Any form of photo ID that is expired
  - b. Any foreign forms of photo ID or driver's license except Canadian Driver's License
- 3. NOTE: If a patron wins a jackpot and is required to submit ID to collect their winnings, they will not collect it if they do not have a valid photo ID as referenced in the Universal ID Acceptance Policy (#6320.15) and the No ID Jackpots Processed in the Cage Policy (#1400.71).
- 4. NOTE: If a patron withdraws money from the ATM and it requires them to withdraw the cash at the Cage, the Cage will not release the funds if the patron does not have a valid photo ID.
- 5. Check patron's ID to verify that the patron is 18 years of age or older.
- 6. Go into the Patron Management System and select F3 to verify that the patron does not have a Q-Club account with DCR or Quapaw Casino.
- 7. If the Patron does not have a Q-Club account, place valid photo ID face down on scanner.
- 8. Select the type of photo ID from the drop down menu.
- 9. After the ID is scanned, ask the patron if the address on their ID is their correct mailing address. If not, make appropriate changes.
- 10. Verify that all the information transferred correctly from the Patron's ID to Patron Management. Any information that did not transfer correctly needs to be changed manually.
- 11. Ask Patron for their phone number, email address and a four digit PIN number.
- 12. If there is a possible duplicate account, that name will pop up. Compare the information on the possible duplicate account with the patron's information. If their information matches up and it is the same person, explain to the patron that they already have a

Q-Club account and then reprint their Q-Club card. If it is not the same person, hit ignore and have a Q-Club Supervisor override it.

13. Print the Q-Club Card.
14. Issue the promotional item offered by utilizing the F12 coupon on the computer to redeem the promotional item of five dollars (\$5.00) Q Play and a free buffet.
15. Retrieve the Q-Club Card from the embosser, ask the patron if they want a bungee cord and if they do, place the Q-Club card on the bungee.
16. Hand the patron their Q-Club card along with their photo ID and a Q-Club brochure.

#### **ELIGIBILITY CRITERIA**

1. Patron must be at least 18 years of age or older to be eligible for a Q-club card.
2. Patron cannot have an active Q-Club card account with DCR or Quapaw Casino.
3. Patron must have a valid photo ID at the time of sign up. Refer to Universal ID Acceptance Policy (#6320.15) for information regarding acceptable forms of ID.

# Quapaw Tribal Gaming Agency



Date Received	2/13/13 <i>BN</i>
Comments	
Reviewed By	
Approved	Tentative
Not Approved	Final

## Policy and Procedure Submission

<b>Policy Name and Number:</b>  Variance Policy Policy #1400.45.02	<b>Department:</b>  Cage	<b>Submission Date:</b>  2/5/2013
<b>Narrative Description:</b>  To establish policy and procedures for variances in the Cage Department.  This is a revision to version #1400.45.01 to reflect changes in the variance structure in the Cage Department.		<b>DCR/QTGA Tracking:</b>  POLICIES & PROCEDURES DDA APPROVED FEB 18 2013

### DCR Compliance Authorization

Signature: Stephanie Hardy 2551

Date: 1/28/13

### Department Director Authorization

Signature: *[Signature]*

Date: 1/28/13

### General Manager Authorization

Signature: *[Signature]*

Date: 2/12/13

### QTGA Authorization

Signature: Barbara Collins

Date: 2/13/13

<b>Variance Policy</b>	<b>Policy No:</b> <b>1400.45.02</b>	<b>Issue Date:</b> 2/13/2013
<b>PURPOSE:</b> To establish policy and procedures for variances in the Cage Department.		

<b>DCR Compliance – ITEM Tracking</b>	<b>Date</b>
Issue Date	2/13/2013
QTGA Submission	7/08/2009
QTGA Return	11/06/2009
Compliance Review	11/30/2009
QTGA Submission	12/11/2009
QTGA Return	12/21/2009
Compliance Review	6/21/2010
QTGA Submission	6/24/2010
QTGA Return	7/21/2010
Compliance Review	7/29/2010
QTGA Submission	7/29/2010
QTGA Return	8/4/2010
Compliance Review	8/5/2010
QTGA Submission	8/5/2010
QTGA Return	9/2/2010
Compliance Review	9/3/2010
QTGA Submission	9/9/2010
QTGA Return	9/20/2010
Compliance Review	9/23/2010
QTGA Submission	9/30/2010
QTGA Return	10/7/2010
Compliance Review	10/8/2010
QTGA Submission	10/14/2010
GM Approval	10/15/2010
QTGA Final Approval	10/25/2010
DDA Final Approval	12/6/2010
Revisions to #1400.45.01	10/29/2012
QTGA Submission	10/29/2012
QTGA Return	11/6/2012
Compliance Review	12/13/2012
QTGA Submission	12/21/2012
QTGA Return	1/10/2013
QTGA Submission	2/5/2013
GM Approval	2/12/2013
QTGA Approval	2/13/2013
DDA Approval	2/18/2013

## **VARIANCE POLICY**

1. Team Members who are in a position that requires handling of cash or cash equivalent are directly responsible for funds issued to them and for cash, credit card, e-checks, personal checks, chips, promo paid out, gift card transactions etc. Negligence in a Team Member's cash handling responsibilities will lead to disciplinary action as prescribed in the following variance policy.
2. Variances are cash or cash equivalent differences; either overages or shortages that occur when the Team Member's till amount does not match the total drop amount. Overages and shortages will not be allowed to compensate in the variance calculation. Example: If a Team Member was \$20.00 short last week and \$20.00 over this week the total will be \$40.00, not 0. The amount of unresolved variances are added together no matter if they are over or short.
3. There are two types of variances. The first is a one shot variance. This is a single variance. The second would be an accumulated variance. This is the amount of all variances in a calendar month except one shot variances of \$100.00 or over do not count in the accumulated total.
4. Coachings for variances will remain active for one year from the date of the variance. After one year the coaching will roll off and become inactive and not count against the Team Member. Variance coachings are retained in the Team Member's permanent file separate from other disciplinary coachings.

## **DISCIPLINE**

1. Discipline for variances applies to all areas of the Casino Cage Department, including Cashiers in the Main Bank, Chip Bank, Jackpot Window, Poker Cashiers and Front Line Cashiers.
2. Discipline for variances and failure to secure company funds is progressive, i.e. Cashier could receive a verbal for a variance of \$100.00 and if the Cashier then has three occurrences of failure to obtain a patron's signature the Cashier would receive a 1<sup>st</sup> written. If the Cashier has another variance for \$125.00, the Cashier would receive a 2<sup>nd</sup> written, etc. and each step following would be a progressive discipline.
3. The following is the sequence of disciplinary actions issued for one shot and monthly accumulated variances of \$100 or greater:



Range	1 <sup>st</sup> Occurrence	Occurrence	Progressive Coaching
\$100.00 - \$249.99	Verbal warning	1 <sup>st</sup> occurrence	Verbal warning
		2 <sup>nd</sup> occurrence	1st written warning
		3 <sup>rd</sup> occurrence	2nd written warning and one day suspension
		4 <sup>th</sup> occurrence	Final written warning and two day suspension
\$250.00-499.99	Written warning and one day suspension	1 <sup>st</sup> occurrence	Verbal warning and one day suspension
		2 <sup>nd</sup> occurrence	Written warning and two day suspension
		3 <sup>rd</sup> occurrence	Suspension pending investigation
\$500 or over	Suspension	All occurrences	Suspension pending investigation and termination may result

### **GENERAL VARIANCES PROCEDURES**

1. \$0.01 - \$4.99 – The following is needed:
  - a. Variance printout obtained from the Cage computer software
2. \$5.00 - \$99.99 – The above plus the following is needed:
  - a. Advise supervisor or above – till will be audited
  - b. Handwritten variance fact sheet – White to Shift Manager; Yellow with till; Pink to Team Member
3. \$100.00 - \$249.99– All of the above plus the following:
  - a. Copy of all paperwork in till (one copy)
  - b. Copy of Global session report (one copy)
  - c. Copies given to Cage Shift Manager for review
  - d. Team Member needs to let Cage Supervisor know of anything that might account for the variance and Cage Supervisor can notate on variance fact sheet

- e. Z-Tape of tickets in/tickets out (titos)
4. \$250.00 - \$499.99- All of the above plus the following:
- a. One copy of all paperwork in till for Surveillance (total two copies)
  - b. One copy of Global session report for Surveillance (total two copies)
  - c. Exception would be the distribution of the copies of the hand written variance fact sheet - White to Surveillance; Yellow with till; Pink to Cage Shift Manager with one copy of all paperwork. Since all the copies of the variance fact sheet are being used, if the Cashier would like a copy please make one with the copy machine.
  - d. One complete copy of all paperwork brought to Surveillance
  - e. Call Surveillance to advise of the variance
  - f. Surveillance Review request completed and sent by e-mail to Surveillance. Make sure to talk with Team Member and notate on Surveillance request times, description, name and any information about what the variance could be.
  - g. Call to Cage Manager to advise of variance.
5. \$500.00 or over - All of the above plus the following:
- a. Advise Team Member they will be suspended pending investigation
  - b. Ask Team Member for their DCR badge
  - c. Walk Team Member out

#### **SUSPENSION PENDING INVESTIGATION**

1. Results of all pending investigations will be reviewed by the Cage Manager, who will make a coaching recommendation, up to and including termination, to the CFO for approval. Once approved, the Cashier will be contacted by a member of Cage Management to review the results of the investigation and execute the coaching resolution prior to returning to work. The Cashier will be asked to remain off property during any investigation. Failure to do so may result in coaching, up to and including termination.
2. Further Action –Quapaw Tribal Gaming Agency (QTGA): Nothing in this policy prevents the QTGA from taking further action as it may deem necessary. All investigations are subject to review by QTGA at its request.

3. Further Action –General: Nothing in this policy prevents Cage Management, the Downstream Development Authority, or any other entity from taking further action as it may deem necessary.
4. This policy is designed to outline a general system of controls for variance review. It is not intended to be a complete course of action. Each file will be reviewed independently and is subject to action pursuant to said review.

### **SECURING COMPANY FUNDS, ASSETS AND PAPERWORK**

1. Company funds, documents, paperwork and property handled improperly or incompletely will result in progressive discipline beginning with a written warning for each type of infraction. If a variance occurs as a result, a variance discipline will also be issued for the following:
  - a. Failure to secure company funds, property or assets
  - b. Failure to obtain or ensure signatures on documents
  - c. Failure to verify paperwork or reports accurately
2. The progressive discipline for violations of the above infractions within a 12 month disciplinary period is as follows:

<b>Occurrences Within a 12 Month Period</b>	<b>Progressive Discipline</b>
1 – 3	Verbal warning
4 – 6	Written warning
7 – 9	Written warning + one day suspension
10 – 12	Written warning + two day suspension
13 – 15	Final warning + three day suspension
16	Termination

3. The above should be used as guidelines. Further disciplinary action may be issued depending on the severity of the infraction.
4. If facts and/or evidence indicate that a Cashier has removed company assets illegally or has not taken the appropriate steps to safeguard these assets, the Cashier may be placed on an investigative suspension until the facts and/or evidence can be reviewed by the Cage Manager. Once reviewed, a decision will be rendered on the status of the Cashier's standing with the company.
5. A "Statement of Understanding" (pg. 12) is to be completed and signed by all Cage Team Members. The Cashier shall retain a copy and return the signed copy to the Cage Manager within 48 hours of receipt.

6. The following types of variances will be subject to the variance policy:

- a. Variances within the Cage Operations – Variances between the banks or with a front window. For example, chip transfer, even exchange, etc.
- b. Variances within DCR – Variances occurring between the cage and a bank outside of the cage operation. For example, chip fill/credit, Poker Cage, F&B etc.
- c. Variances with financial institutions – For example, IBC Bank, Loomis, etc.
- d. Variances with patrons – For example, Payouts, Global Payments, Wire Transfer, etc.

### **VARIANCES**

1. Any one shot or accumulated variances that have received a progressive coaching, will remain active for one year from the date of the variance. An example would be, a Cashier's current status in their variance file is a final written. The first coaching the Team Member received has reached one year and has rolled off, so each coaching will roll back a step in progressive coaching. For example:
  - a. Verbal - is one year old so it rolls off the Team Member's variance record
  - b. 1<sup>st</sup> written – rolls back to a verbal
  - c. 2<sup>nd</sup> written – rolls back to a first written
  - d. Final written – rolls back to a second written

### **VARIANCE REDUCTION PROGRAM**

1. DCR offers Team Members a special reduction program for variances in the Cage Department. If a Team Member does not have an accountable variance for three (3) months, the Team Member can request to remove the first active written coaching on their variance record. When that variance is approved to be removed, all other variances will roll back a step in progressive coaching. Example is same as in Variance section above.
2. Examples of accountable variances are:
  - a. A one shot variance of over \$5.00 (\$5.01 and over)
  - b. Accumulated variances of over \$10.00 (\$10.01 and over) in a calendar month

3. The Team Member can keep track of their variances and use the Variance Reduction Program Form (pg. 10). A Cage Supervisor or Cage Shift Manager can also advise the Team Member that they are eligible to reduce their variances.
4. The Team Member will need to fill out the form and give it to their Cage Supervisor or Cage Shift Manager for final approval.

### **PROBATIONARY PERIOD**

A Team Member in a cash handling position has a 30 day probationary period. During this 30 day period the following disciplinary action chart will be used. Upon completion of the 30 day period, the Team Member's variance record will be reviewed. If the Team Member has been accurate with the monies entrusted to them, any variances for the first 30 days will be inactive and will not count against the Team Member. If it is determined the Team Member needs additional training, then additional training will be provided and the Team Member will be placed on an action plan for an additional 30 days. Upon completion of the action plan the Team Member will be reviewed again and if the Team Member has been accurate with the monies entrusted to them, any variances during the first 30 days will be inactive and will not count against the Team Member. If the Team Member is found to be negligent in their cash handling responsibilities, disciplinary action will be issued up to and or including termination.

<b>RANGE</b>	<b>1ST OCCURRENCE</b>	<b>OCCURRENCE</b>	<b>COACHING</b>
\$100.00 - \$249.99	Informational	1st occurrence	Informational
		2nd occurrence	Verbal warning
		3rd occurrence	1st written & and one day suspension
		4th occurrence	2nd written warning & two day suspension
\$250.00 to \$499.99	1st written	1st occurrence	1st written & and one day suspension
		2nd occurrence	2nd written and two day suspension
		3rd occurrence	Final written Pending investigation
\$500.00 or over	Suspension	All occurrences	Suspension pending investigation and termination may result

It is important that all documents are signed or initialed by the patron, as required. The following chart shows the disciplinary action for failing to obtain signatures or initials (as applicable).

<b>OCCURRENCE</b>	<b>COACHING</b>
1st occurrence – 3 <sup>rd</sup> occurrence	Informational
4th occurrence – 6 <sup>th</sup> occurrence	Verbal warning
7 <sup>th</sup> occurrence to 8 <sup>th</sup> occurrence	1st written & and one day suspension
9 <sup>th</sup> occurrence to 10 <sup>th</sup> occurrence	2nd written warning & two day suspension



## **VARIANCE POLICY STATEMENT OF UNDERSTANDING**

**I have read and understand the Downstream Casino Resort Cage Variance Policy. I understand that I am expected to be careful and accurate. I am responsible for securing all company assets and funds at all times. I am responsible for obtaining signatures on all documents (where applicable). I understand failure to comply may result in progressive disciplinary action up to and including termination.**

---

**Print Name**

---

**Signature & Badge Number**

---

**Date**

### **VARIANCE REDUCTION PROGRAM**

I, Print Name certify that I have gone three months and not had an accountable variance. I have not had a one shot variance of over \$5.00 per calendar month and / or accumulated variances of over \$10.00 per calendar month.

Since I have achieved this goal I qualify for the "Variance Reduction Program" and I request to remove the variance I have on my variance record of :

\$ \_\_\_\_\_ the variance took place on the date of \_\_\_\_\_

To date this variance has not been recovered.

Requested by: \_\_\_\_\_ Badge # \_\_\_\_\_

Date: \_\_\_\_\_

Approved by: \_\_\_\_\_ Badge# \_\_\_\_\_

Date: \_\_\_\_\_

Current Standing of Team Member after Variance Reduction is completed (filled in by supervisor or shift manager.).

\_\_\_\_\_  
\_\_\_\_\_

Reviewed by: \_\_\_\_\_ Badge # \_\_\_\_\_

Date: \_\_\_\_\_



***Example of completed variance reduction request. Also include a copy of the Team Members variances and their variance status.***

**VARIANCE REDUCTION PROGRAM**

I, Suzie Team Member certify that I have gone three months and not had an accountable variance. I have not had a one shot variance of over \$5.00 per calendar month and / or accumulated variances of over \$10.00 per calendar month.

Since I have achieved this goal I qualify for the Variance Reduction Program and I request to remove the variance I have on my variance record of :

\$100.05 short the variance took place on the date of April 5, 2012

To date this variance has not been recovered.

Requested by: Suzie Team Member

Badge # 123456

Date: September 13, 2012

Approved by: Patty Team Member/Shift Manager

Badge # 009999

Date: September 14, 2012

Current Standing of Team Member after Variance Reduction is completed (filled in by supervisor or shift manager.).

Suzie was at a final written due to Variance Reduction Program Suzie is now at a second written.

Reviewed by: Beckie Team Member /Cage Manager

Badge # 007777

Date: September 15, 2012



## **PROBATION PERIOD VARIANCES**

**I have read and understand the Downstream Casino Resort Cage Probation Period Variance Policy. I understand that I am expected to be careful and Accurate. I am responsible for securing all company assets and funds at all times. I am responsible for obtaining signatures on all documents (where applicable). I understand failure to comply may result in progressive disciplinary action up to and including termination.**

---

**Print Name**

---

**Signature & Badge Number**

---

**Date**



## PROGRESSIVE COACHING FORM

EMPLOYEE NAME: Jim Cashier DEPT: Cage

JOB TITLE: Main Bank Cashier DATE: 11/17/2009

BADGE NUMBER: 1234

TYPE OF ENTRY:

<input type="checkbox"/>	Verbal
<input checked="" type="checkbox"/>	First Written
<input type="checkbox"/>	Second Written
<input type="checkbox"/>	Final Written
<input type="checkbox"/>	Termination
<input type="checkbox"/>	Suspension

### DETAILS OF ENTRY:

On 10/18/09 Jim had a one shot variance of \$100 short while working front line window # 6 all paperwork has been reviewed and his bank recounted. The reason for the variance has not been determined. Jim already has in his file, a verbal for a on shot variance of \$100 short issued on 8/14/09. This new variance is resulting in a 1st written.

Any further violations shall follow the cage variance policies and procedures up to and including termination.

### EMPLOYEE COMMENTS:

---

---

---

---

Employee Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Supervisor Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Witness Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
(If Necessary)

Manager Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
(Necessary on Termination)

