

Downstream Authority of the Quapaw Tribe of Oklahoma Regular Meeting
March 30, 2011

Meeting Called to Order: 10:55am

ROLL CALL:	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

DCR –Jack Brill/ Steve

US Health Records – Jim Philips, Jim Lewis

Ozark Public Television – Norma Scott

US Healthrecords

- General discussion
 - o Fayetteville, AR
 - o Interdisciplinary records
 - o Developed from the practitioners point of view
 - Originally built for dental records
 - o Sharing one chart through a web interface
 - o Migrating into the medical side
 - o Investor of 3 million needed
 - o HIPA compliant
 - o Patient can control what the doctor sees

Ozark Public Television

- Funding for children's programming
 - o Federal and state funding has been cut
 - o \$50,000 requested
 - o K is for Kids campaign
 - o Money goes directly to purchasing programming

NYC Trip

- TFA – no for now
- John Thompson, \$10,000 retainer
 - o April 1-Dec 2011
- Banks interested in financing

Consensus of the DDA to allow QTGA employees to use the learning center.

Policies

- See attached
- 6310.20.01 - Downstream W2G Audit Procedure

Motion made by DDA Secretary Larry Ramsey to approve the presented policy. Motion seconded by DDA Treasurer Ranny McWatters. Vote: JB: yes; LR: Yes; RM: yes; MR: yes; TS: yes (5 yes, 0 no, 0 abstaining, 0 absent) Motion Carries.

- 1100.09.02 - Table Game Inventory

Motion made by DDA Member Marilyn Rogers to approve the presented policy. Motion seconded by DDA Member Tamara Smiley. Vote: JB: yes; LR: Yes; RM: yes; MR: yes; TS: yes (5 yes, 0 no, 0 abstaining, 0 absent) Motion Carries.

- 1400.12.02 - Currency Payouts – Revised

Motion made by DDA Member Tamara Smiley to approve the presented policy. Motion seconded by DDA Secretary Larry Ramsey. Vote: JB: yes; LR: Yes; RM: yes; MR: yes; TS: yes (5 yes, 0 no, 0 abstaining, 0 absent) Motion Carries.

- 1400.52.02 - Chip Handling and Chip Payout-Revised

Motion made by DDA Secretary Larry Ramsey to approve the presented policy. Motion seconded by DDA Treasurer Ranny McWatters. Vote: JB: yes; LR: Yes; RM: yes; MR: yes; TS: yes (5 yes, 0 no, 0 abstaining, 0 absent) Motion Carries.

- 1600.01.01 - Surveillance Standards

Motion by DDA Treasurer Ranny McWatters to approve the Policy as presented. Seconded by DDA Member Marilyn Rogers. Vote: JB: yes; LR: Yes; RM: yes; MR: yes; TS: yes (5 yes, 0 no, 0 abstaining, 0 absent) Motion Carries.

- 6310.22.01 - Downstream Table Games Audit Procedure

Motion made by DDA Member Marilyn Rogers to approve the presented policy. Motion seconded by DDA Member Tamara Smiley. Vote: JB: yes; LR: Yes; RM: yes; MR: yes; TS: yes (5 yes, 0 no, 0 abstaining, 0 absent) Motion Carries.

- 1500.08.01 - Soft Count EGM Processing

Motion made by DDA Member Tamara Smiley to approve the presented policy. Motion seconded by DDA Secretary Larry Ramsey. Vote: JB: yes; LR: Yes; RM: yes; MR: yes; TS: yes (5 yes, 0 no, 0 abstaining, 0 absent) Motion Carries.

- 1400.28.02 - TRU Testing-Revised

Motion made by DDA Secretary Larry Ramsey to approve the presented policy. Motion seconded by DDA Treasurer Ranny McWatters. Vote: JB: yes; LR: Yes; RM: yes; MR: yes; TS: yes (5 yes, 0 no, 0 abstaining, 0 absent) Motion Carries.

Facilities

- DCR Learning Center Budget
 - o Recap attached
- Window leakage
 - o Faulty caulk in the efes at expansion joints
 - o Vendor will repair at their cost
 - o Start in approx 2 weeks, take approx 2 months to complete
- Pavilion Sprinkler
 - o One bid received from Marmic \$48,000
 - o Waiting on 2 more bids

Upgrade gifts

- Gold
 - o Chip/dip, cheese plate, salad bowl, serving tray
 - o 3 year progression



- Silver
 - o CD Jukebox – sample presented

Consensus of the DDA to go with upgrade gifts as presented

Q Club Brochure

- See attached

Consensus of the DDA to approve revised rewards brochure

Security

- Tribal personnel issues – to meet with the DDA

Entertainment Update

- Sept 16 concert ideas
 - o Def Leppard
 - o Josh Turner
 - o Journey
 - o Molly Hackett – Outlaws
 - o Trisha Yearwood
 - o The Perry Band/Steel Magnolias

Joplin Workshop

- Issues with the linen – they are outsourcing
- Set meeting for John and Bob B

Donations

- Ozark Safari Club International/Columbia College, Fort Leonard Wood MO – room and dinner - YES
- Combat Veterans Motorcycle Association, Sarcoxie MO – room and dinner - YES
- Ozark Writers League, Marshfield MO – room and dinner - YES
- Frontenac Rotary – room and golf for two - YES
- American Legion Post 341, Bella Vista AR – room and dinner - YES
- Silver Haired Legislature/Area Agency on Aging, Joplin MO – any monetary donation - \$1,000 SAMS card
- Big Brothers and Big Sisters of the Ozarks, Springfield MO – room and dinner - YES
- Community Safety Net/Galena PD - \$1617.00 provide books for safety classes for school children - NO
- Fredonia Golf Club, Fredonia KS - \$200 tee box sponsorship - NO
- Harley-Davidson Tech Training Center, Frontenac KS – room and dinner - NO
- Drury Women's Golf, Monett MO – room and golf for 2; goodie bag items (120 women golfers) - YES
- United Way of the Ozarks, Springfield MO – two night stay with dinner – YES
- Pittsburgh State University – \$150 sponsorship BIG Event - YES
- Vietnam Vets Legacy Vets Motorcycle Club, Garfield AR – room and dinner - YES
- Musicians for Community, Joplin MO – Pavilion Use and discounted food and beverage for a Benefit concert for Children's Miracle League of Joplin - YES
- Human Society of the Branson Tri-Lakes Area, Branson MO – room and dinner - YES
- Hope 4 You – Race 4 Hope \$150 team sponsorships (6 teams), pallet of water for race day, \$1000 Ruby Sponsorship - YES
 - o Logo on t-shirt
 - o Booth space at Event
 - o Marketing and Media recognition
 - o Banner displayed at event

Adjourn 3:50

Quapaw Tribal Gaming Agency



Date Received	3/11/11
Comments	
Reviewed By	3/10/11 MK 3/11/11
Approved	Tentative
Not Approved	Final

Policy and Procedure Submission

Policy Name and Number: Chip Handling and Chip Payouts Policy #1400.52.02	Department: Cage	Submission Date: 3/11/2011
Narrative Description: To establish policy and procedures for chip handling and chip payouts in the Cage area. This is a revision to policy #1400.52.01 to reflect the change in dollar threshold for Supervisor verification.		DCR/QTGA Tracking: POLICIES & PROCEDURES DDA APPROVED MAR 30 2011

DCR Compliance Authorization

Signature: Stephan BTH 2551

Date: 3/10/11

Department Director Authorization

Signature: [Signature]

Date: 3/11/11

General Manager Authorization

Signature: [Signature]

Date: 3/11/11

QTGA Authorization

Signature: Barbara Cellin

Date: 3/24/11

CHIP HANDLING AND CHIP PAYOUTS	Policy No: 1400.52.02	Issue Date: 3/24/2011
PURPOSE: To establish policy and procedures for chip handling and chip payouts in the Cage area.		

DCR Compliance – ITEM Tracking	Date
Issue Date	3/24/2011
Compliance Review	3/15/2010
QTGA Submission	3/25/2010
QTGA Return	4/8/2010
Compliance Review	4/15/2010
QTGA Submission	4/22/2010
QTGA Final Approval	4/29/2010
GM Approval	4/16/2010
DDA Final Approval	5/14/2010
Compliance Review	3/9/2011
QTGA Submission	3/11/2011
GM Approval	3/11/2011
QTGA Approval	3/24/2011
DDA Final Approval	3/30/2011

POLICY

1. The Casino Cage Front Line windows and the Casino Poker Cage will exchange chips for currency. The Casino Poker Cage will also sell chips for currency.
2. The procedures for chips exchanged for currency, chip cutting (breakdown of chips in a specified manner for surveillance cameras) and payout procedures are as follows:
 - a. When sorting and cutting the chips, always start with the largest denomination and work down to the smallest, moving from left to right. (Left-handed Cashiers must also move from left to right.)
 - b. Chips are stacked by cutting small stacks and then bringing them up to a barrel. There are 20 chips of the same denomination to a barrel.
 - i. \$1000 chips are stacked five high for \$5,000 and a barrel is worth \$20,000.
 - ii. \$500 chips are stacked four high for \$2000 and a barrel is worth \$10,000.
 - iii. \$100 chips are stacked five high for \$500 and a barrel is worth \$2000.

- iv. \$25 chips are stacked four high for \$100 and a barrel is worth \$500.
 - v. \$5 chips are stacked five high for \$25 and a barrel is worth \$100.
 - vi. \$3 chips are stacked five high for \$15 and a barrel is worth \$60.
 - vii. \$1 chips are stacked 5 high for \$5 and a barrel is worth \$20.
- c. When the Cage Cashier arrives at a total, the Cage Cashier will, in a clear voice, verbalize that total to the patron. If the patron has any doubt as to the accuracy of the total, the Cage Cashier will re-cut the chips and verbalize the total of each barrel and stack. If the Cage Cashier is in doubt as to the total, the Cage Cashier will call a Cage Supervisor and ask the Cage Supervisor to verify the transaction.
 - d. All cash outs of \$3,000 or greater require a Cage Supervisor or higher to verify.
 - e. All monies will be counted three times before payout – once from the drawer, once in the hand, and once during the payout process.
 - f. The Cage Cashier will pull the cash from the drawer starting with the largest bills, working down to the smallest (left to right) (Left handed cashiers will also work from left to right). The Cage Cashier will use the least number of bills as possible (unless instructed otherwise by the patron) and recount silently to herself or himself before the payout.
 - g. Before payout, the Cage Cashier will look again at the chips to ensure accuracy, verbalize the total to be paid to the patron, count the currency while in the hand, then count the currency out loud to the patron, placing it on the counter. The Cage Cashier will “fan” the currency from left to right in order for the Surveillance camera to verify that the payout is correct.
 - h. If the payout involves a full strap, the strap will be counted to the patron as follows:
 - i. Fan \$100 bills on the counter in \$1000 increments (10) bills. Counting 1-2-3-4-5-6-7-8-9-1000. Then push the bills to one neat stack, drop down about two inches and begin again, counting 11-12-13-14-15-16-17-18-19-2000, etc. Proceed with the next stack of bills. At \$5000, the Cashier will scoop the \$5000 and make one neat stack and begin with the next stack.
 - i. If a new denomination is part of the count out, drop down about two inches and count the new denomination out in this manner.
 - j. All currency payouts will be from hand to counter. A Cage Cashier shall never pay directly into the hands of the patron.

- k. The verification from a Cage Shift Supervisor and/or Surveillance will be required as follows on all transactions that require a cash payout in the following amounts:
 - i. \$3,000 - \$4,999 Cage Supervisor or above.
 - ii. \$5000 and above – Cage Supervisor or above and Surveillance.
- l. It is the Cage Supervisor's responsibility to call Surveillance to make them aware of the payout.
- m. Verification means that the Cage Cashier has a pre-determined payout and a Cage Supervisor will verbalize their total without any prior knowledge as to what the Cage Cashier's pre-determined amount is. When both parties agree, the payout may proceed. If there is a disagreement, both parties must always recount the chips.
- n. The Cage Supervisor making the verification must stay and watch the payout process to ensure that the payout is correct. Each party will be held accountable in the event of an incorrect payout.
- o. If the payout is incorrect and the patron is paid incorrectly, both parties will split the variance and the disciplinary actions will be the same for both.
- p. All cash outs of \$3000 or greater (both single cash outs and aggregated cash outs) must be logged on the MTL log (Multiple Transaction Log). (Policy #1400.23.01).

Quapaw Tribal Gaming Agency



Date Received	3/11/11
Comments	
Reviewed By	MK 3/11/11
Approved	Tentative
Not Approved	Final

Policy and Procedure Submission

Policy Name and Number: Currency Payouts Policy #1400.12.02	Department: Cage	Submission Date: 3/11/2011
Narrative Description: To establish policies and procedures for paying out currency at the Cage Cashier windows. This is a revision to policy #1400.12.01 to reflect changes in the dollar threshold for Cage Supervisor verification.		DCR/QTGA Tracking: POLICIES & PROCEDURES DDA APPROVED MAR 30 2011

DCR Compliance Authorization

Signature: Stephanie Ball 2551

Date: 3/10/11

Department Director Authorization

Signature: [Signature]

Date: 3/11/11

General Manager Authorization

Signature: [Signature]

Date: 3/11/11

QTGA Authorization

Signature: Barbara Collins

Date: 3/24/11

Currency Payouts	Policy No: 1400.12.02	Issue Date: 3/24/2011
PURPOSE: To establish policies and procedures for paying out Currency at the Cage Cashier window.		

DCR Compliance – ITEM Tracking	Date
Issue Date	3/24/2011
Compliance Review	2/1/2009
QTGA Submission	7/15/2009
QTGA Return	11/6/2009
Compliance Review	3/22/2010
QTGA Submission	4/1/2010
QTGA Return	4/12/2010
Compliance Review	4/19/2010
QTGA Submission	4/22/2010
QTGA Return	4/29/2010
Compliance Review	5/3/2010
QTGA Submission	5/6/2010
QTGA Final Approval	5/13/2010
GM Approval	5/4/2010
DDA Final Approval	5/14/2010
Compliance Review	3/9/2011
QTGA Submission	3/11/2011
GM Approval	3/11/2011
QTGA Final Approval	3/24/2011
DDA Final Approval	3/30/2011

POLICY

All Cage Cashiers and above shall count and verify all currency before placing it into a window. Verified currency will be paid out of a Cage Window in a certain way in order to ensure consistency and for Surveillance review.

PROCEDURE

1. All Currency is verified before it is placed in the cash drawer. The verified cash is kept in the top drawer and is set up from left to right beginning with the loose hundreds, loose twenties, loose tens, loose fives, and loose ones.
2. The fifties are clipped together and kept to the side in a clear container. All torn or mutilated money is also clipped together and placed in the clear container.

3. The verified bundles of currency are placed in the back of the drawer by denomination left to right beginning with the hundreds, twenties, tens, fives and ones.
4. The Currency Payout procedure is as follows:
 - a. Place the redeemable item in the designated, marked off area on the Cage Window.
 - b. Determine the amount of the payout.
 - c. Verbalize the amount to the patron.
 - d. All currency leaving the Cage Cashier's drawer will be counted three (3) times. Once as the Cashier pulls it from the drawer, once in the hand of the Cashier and once while paying the patron.
 - e. Pull the currency from the cash drawer, starting with the highest bills, working down to the smallest (counting silently to self).
 - f. Use the least amount of bills as possible (unless instructed otherwise by the patron).
 - g. Count the currency again before payout. All bills are paid out face up. (The direction of the head on the bill does not matter.)
 - h. Look again at the item being cashed out to ensure the count is accurate.
 - i. Repeat the amount to the patron.
 - j. Verbally, count out loud, to the patron. (Example: 1,2,3,4,5,6,7,8,9,1000-1100,12,13,14,15,16,17,18,19,2000-2100 etc. \$1900 is 1900 not one thousand nine hundred dollars.)
 - k. Fan the bills from left to right and lay out as follows:
 - i. Hundreds (\$100) from left to right and stack in piles of \$1000 (If the payout is more than a \$1000 in hundreds, at the end of each \$1000 in bills, stack that row, drop down an inch and begin counting out your next \$1000 in bills.)
 - ii. At \$5000 the piles are combined to make one neat stack and begin with the next group. (Example if there is \$10,000 counted out, at the end, the Cashier will have two stacks at \$5000 each.)

- iii. Drop down another inch and begin counting the twenties or next denomination of bills.
 - iv. All other bills are counted in the same manner.
- l. Full straps should always be counted out to a Patron.
- m. Always pay on the counter in front of the Patron.
- n. Never place currency directly in the hands of the Patron.
- o. Never pay over the top of chips, EZ-Pay tickets, checks, etc. Place these items in the marker area on the counter.
- p. If redeeming multiple EZ-Pay tickets, hand count the number of tickets and compare this to the number in the computer system.
- q. If the Patron leaves the window, stop counting and begin the count again after the Patron returns.
- r. If the Cashier becomes confused while counting the currency, the Cashier is to stop, pull the currency back and begin the count out process again.
- s. Cash payouts on the Frontline Windows, High Limit Windows, and the Poker Room require a Cage Supervisor verification at \$3000 or greater.
- t. Cash payouts in the Jackpot Window require a Cage Supervisor verification at \$15,000 or greater.
- u. Cash payouts of \$5000 and greater (in any area of the cage) require Surveillance notification.
- v. Cash payouts of \$3000 and greater are logged on the Multiple Transaction Log. (See policy #1400.23.01, Multiple Transaction Log)
- w. Cash payouts involving checks are logged on the Multiple Transaction Log and the Negotiable Instrument Log (pg. 4)(See policy #1400.24.01, Negotiable Instrument Log) along with a copy of the Patron's Driver's License and a copy of the check.
- x. Cash payouts of \$10,000.01, either single or accumulative, require a copy of the Patron's Driver's License, copy of Social Security card or W-9 completed and the completion of a Currency Transaction Report (See policy 1400.22.01, Currency Reporting for Casinos).

- y. All Cash In transactions are treated in the same manner for Title 31 purposes. (See policy #1400.26.01, Title 31 Compliance with Cage Procedures)

DOWNSTREAM CASINO RESORT				TITLE 31 NEGOTIABLE INSTRUMENT LOG (NIL)			
From 6:00 am to 5:59 am		Gaming Date _____		Page ____ of ____			
Name (Last, First, M)	Time	Type of Instrument	Name of Bank	Check #	Dollar Amount	Transaction Type	Signature & #
Street Address							
City, State & Zip							
Name (Last, First, M)	Time	Type of Instrument	Name of Bank	Check #	Dollar Amount	Transaction Type	Signature & #
Street Address							
City, State & Zip							
Name (Last, First, M)	Time	Type of Instrument	Name of Bank	Check #	Dollar Amount	Transaction Type	Signature & #
Street Address							
City, State & Zip							
Name (Last, First, M)	Time	Type of Instrument	Name of Bank	Check #	Dollar Amount	Transaction Type	Signature & #
Street Address							
City, State & Zip							

SUPERVISOR REVIEW: Day Shift: _____ Signature &# Swing Shift: _____ Signature &# Grave Shift: _____ Signature &#	CHECK TYPES BC= Business Check PC= Personal Check OB = Official Bank Check MR = Marker EC = E-Check	CC= Cashier Check TC = Traveler's Check DS = Downstream Check BW = Bank Wire CA = Cash Advance CA = Credit Card Advances MR = Marker BW = Bank Wire
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Quapaw Tribal Gaming Agency



Date Received	3/11/11
Comments	
Reviewed By	3/21/11 3/24/11
Approved	Tentative
Not Approved	Final

Policy and Procedure Submission

Policy Name and Number: Downstream Casino Resort (DCR) Table Games Audit Procedure Policy #6310.22.01	Department: Income Audit	Submission Date: 3/10/2011
Narrative Description: To establish policy and procedures that outline how Income Auditors are to audit the Table Games revenue for the prior gaming day of DCR.		DCR/QTGA Tracking: POLICIES & PROCEDURES DDA APPROVED MAR 30 2011

DCR Compliance Authorization

Signature: Stephani Barth 2551

Date: 3/9/11

Department Director Authorization

Signature: M. Ken [Signature]

Date: 3/9/11

General Manager Authorization

Signature: [Signature]

Date: 3/11/11

QTGA Authorization

Signature: Barbara Collins

Date: 3/25/11

DOWNSTREAM CASINO RESORT (DCR) TABLE GAMES AUDIT PROCEDURE	Policy No: 6310.22.01	Issue Date: 3/25/2011
PURPOSE: To establish policies and procedures that outline how Income Auditors are to audit the Table Games revenue for the prior gaming day of the Downstream Casino Resort.		

DCR Compliance – ITEM Tracking	Date
Issue Date	3/25/2011
Compliance Review	8/13/2010
QTGA Submission	8/16/2010
QTGA Return	9/16/2010
Compliance Review	9/30/2010
Compliance Review	3/4/2011
QTGA Submission	3/10/2011
GM Approval	3/11/2011
QTGA Final Approval	3/25/2011
DDA Final Approval	3/30/2011

PROCEDURE

1. Soft count Paperwork
 - a. Wait for soft count to bring the paperwork from the Table Games drop.
 - b. Sort the paperwork by table. Then organize them by pit.
2. Run Reports from Cage and Table Accounting (CTA).
 - a. Run the Fill-Credit Detail report (pg. 7).
 - b. Run the Opener-Closer Detail report (pg. 8).
3. Match Fills and Credits
 - a. Do a 10-key tally by pit for the fills and credits.
 - b. Match fills and credits totals to the Fill-Credit Detail report.
 - c. Check each fill and credit off of the Fill-Credit Detail report as the totals are verified.
 - i. If a fill or credit is missing, look in the chip bank paperwork, make a copy of it, and put the copy with the table games paperwork. If the missing fill

or credit is not with the chip bank paperwork, find a Table Games Supervisor or above and investigate what happened.

- ii. If it was not a true fill or credit, it must be voided. Copies from the chip bank of the voided fill or credit must be made.

4. Match Openers and Closers

- a. Do a 10-key tally by pit for the openers and closers.
- b. Check the tally amounts of the openers and closers to the Opener-Closer Detail report.

5. Check each opener and closer off of the Opener-Closer Detail report as they are verified.

- a. Do not change an opener amount. Only a closer amount may be changed within CTA.
- b. If the opener on the report differs from the opener slip, double-check the previous day audit to see if the closer was verified correctly.
- c. The previous day may have to be reopened to change the closer so that the opener will match correctly. If this is necessary, rerun end of day reports from the previous day and update the Table Games spreadsheets.

6. Opener Closer Documentation – Verification

- a. If any of the following **Opener** verifications are missing, circle it, and write an exception:
 - i. Signatures, including badge numbers of the Opening Dealer, Opening Supervisor, Closing Dealer, and Closing Supervisor must be present on the bottom of the opener.
 - ii. The total must be correct.
 - iii. An open and close time must be present.
 - iv. A date must be present.
 - v. A table number must be present.
 - vi. The correct shift must be present.

- b. If any of the following **Closer** verifications are missing, circle it, and write an exception:
 - i. Only the signatures, including badge numbers of the Closing Dealer and Closing Supervisor are required.
 - ii. The total must be correct.
 - iii. An open and close time must be present.
 - iv. A date must be present.
 - v. A table number must be present.
 - vi. The correct shift must be present.
 - c. Staple the openers, closers, fills and credits together by table.
7. Open the gaming day and perform the audit within CTA.
- a. Go to the Table Fills tab.
 - i. Sort by Pit. Then verify the fills by pit total to the verification from step 3.
 - b. Go to the Table Jackpots tab. There is never anything in this tab. This is an automatic check mark.
 - c. Go to the Table Credits tab.
 - i. Sort by Pit. Verify that the fills by pit total to the verification from step 3.
 - d. Tally the Soft Count Currency Drop Report and Table Ante Drop Report verified by soft Count.
 - i. When these sheets are tallied, add up the quantity of each chip type, then multiply by the value of the chip (denomination) to get the totals.
 - ii. Sign off on both the Table Games Drop and Table Games Ante sheets.
 - e. Go to the Drop Variance tab.
 - i. Change the checkmark to All Dropped, not just Exceptions.

- ii. Make sure that the total drop shown matches the total for the Soft Count Currency Drop Report verified above.
 - iii. If the totals do not match, go through the Multi-Pocket Currency Sorter (MPS) tape and match the totals on there by table number. Some table information does not transfer over cleanly into CTA.
 - iv. If the totals are still incorrect, manually apply cash based on good judgment. The best practice is to look for a table that had an ante drop but had a zero or very small table drop. Apply the cash there. It may be necessary to take cash away from one table and apply some of it to another table if the tables got comingled in soft count, and one got overstated and one got understated.
 - v. Accept the totals on all tables, even poker (should be zero) and tables with no play (should also be zero).
- f. Go to the Opener/Closer tab.
- i. Update the closers in this tab if it is necessary.
 - ii. It is a **must** to zero the poker closer out every day in CTA. It always has \$300 in it. It needs to be zero. Poker is not done through CTA.
 - iii. All of this information should have been verified from the Opener-Closer Detail report from step d. Check the "Complete" button to note that everything is verified.
- g. Before Closing:
- i. Run the Soft Drop Daily – Summary and print it out.
 - ii. Double-check the denomination breakdown of the totals on the Soft Drop Daily - Summary versus the Soft Count Currency Drop Report. Ensure that the same amount of each denomination is on both reports. If the amounts do not match, go back into the Drop Variance tab and adjust a table so that the breakdown matches.
 - iii. Once it is corrected, run a new Soft Drop Daily – Summary.
 - iv. The day may now be closed.
- h. Run the Master Gaming by Pit – Summary

- i. Print PDF on Legal Paper
- ii. Export to Excel – ‘Data only’
- iii. Open the Master Gaming Macro Template in the Table Games folder.
- iv. Copy the ‘Data only’ Master Gaming report into the macro template.
- v. Run the macro to auto-sort the data. Copy and paste the information into the Table Games Daily Entry excel file.

8. Ante Information

- a. Key in the Ante information from the Table Ante Drop sheet verified by soft count. Tally and sign, including badge number.
 - i. This information is not in CTA to double check. Watch data entry closely.
 - ii. Match the table game numbers to the Table Games Daily Entry excel file carefully. They are not necessarily in order.

9. Save and Email

- a. Save the Table Games Daily Entry excel file.
- b. Print 2 copies of the audit day column. Keep one with the audit and put one in the audit book/binder.
- c. Email the Table Games Daily Entry file to the Income Audit Supervisor and Income Audit Lead before emailing anyone from Table Games. Let the Income Audit Supervisor and Income Audit Lead double-check and give approval before emailing the Table Games Daily Entry excel file “One Day Column” to the Table Games Director.
- d. Once the approval is received from the Income Audit Supervisor and Income Audit Lead, email the “One Day Column” to the Table Games Director, Income Audit Supervisor, and Income Audit Lead
- e. Do not email the entire Table Games Daily Entry excel file. Only email the one day column. This saves email space and allows the file to be opened easier on portable devices with email.

10. Place all table games paper work (including all reports) in an envelope. Write the gaming day and "Table Games" on the outside. Put the envelope in the audit day box with all of the other daily audits.
11. All audit work shall be made available to the Quapaw Tribal Gaming Agency upon request.

Downstream Casino Resort Full-Credit Detail Reporting Period: 09/30/2010 to 09/30/2010

Verd : 14 ID#: 35
 Page: 1 of 2

Type	Date	Amount	Shift	Document ID	Manual Number	Current Status	Started At	Completed At	Cashier	Floor Person	Dealer	Runner
FIL	09/30/2010 03:14:36AM	\$1,060.49	PM Day	10038799	Complete	UT 12:00	Chip Bank		JACOBS, Jay	JACOBS, Jay		West, Andrea
FIL	09/30/2010 03:08:57AM	\$2,070.49	PM Day	10038800	Complete	BU 14:00	Chip Bank		Riley, John	Riley, John		West, Andrea
FIL	09/30/2010 03:00:34AM	\$890.49	PM Day	10038801	Complete	DOB 14:00	Chip Bank		Riley, John	Riley, John		West, Andrea
FIL	09/30/2010 09:09:10AM	\$2,120.49	PM Day	10038802	Complete	BU 14:00	Chip Bank		Piedger, Elisha	Piedger, Elisha		West, Andrea
FIL	09/30/2010 09:53:47AM	\$3,090.49	PM Day	10038803	Complete	TP 16:00	Chip Bank		Piedger, Elisha	Piedger, Elisha		West, Andrea
FIL	09/30/2010 09:27:02AM	\$4,560.00	Cage Day	10038804	Complete	Main Bank 2	Chip Bank		McCoy, Paula	McCoy, Paula		West, Andrea
FIL	09/30/2010 11:09:29AM	\$2,270.49	PM Day	10038805	Complete	BU 10:00	Chip Bank		Fluney, James	Fluney, James		Collins, Rebecca
FIL	09/30/2010 11:09:54AM	\$2,770.49	PM Day	10038806	Complete	UT 16:00	Chip Bank		Fluney, James	Fluney, James		Collins, Rebecca
FIL	09/30/2010 11:12:21AM	\$170.49	PM Day	10038807	Complete	CT 16:00	Chip Bank		Fluney, James	Fluney, James		Collins, Rebecca
FIL	09/30/2010 01:36:34PM	\$720.49	PM Day	10038808	Complete	BU 14:00	Chip Bank		Piedger, Elisha	Piedger, Elisha		Collins, Rebecca
FIL	09/30/2010 02:15:14PM	\$2,365.49	PM Day	10038809	Complete	BU 11:00	Chip Bank		McCormick, Melissa	McCormick, Melissa		Collins, Rebecca
FIL	09/30/2010 02:16:17PM	\$425.00	PM Day	10038810	Complete	DOB 14:00	Chip Bank		McCormick, Melissa	McCormick, Melissa		Collins, Rebecca
FIL	09/30/2010 02:31:33PM	\$1,420.49	PM Day	10038811	Complete	UT 14:00	Chip Bank		McCormick, Melissa	McCormick, Melissa		Collins, Rebecca
FIL	09/30/2010 05:33:44PM	\$2,625.49	PM Day	10038812	Complete	DOB 14:00	Chip Bank		Bell, Lloyd	Bell, Lloyd		Collins, Rebecca
FIL	09/30/2010 05:36:57PM	\$845.00	PM Day	10038813	Complete	TP 10:00	Chip Bank		Healey, Amber	Healey, Amber		Collins, Rebecca
FIL	09/30/2010 06:00:01PM	\$940.49	PM Day	10038815	Complete	BU 10:00	Chip Bank		Brady, Andy	Brady, Andy		Collins, Rebecca
FIL	09/30/2010 06:06:41PM	\$645.49	PM Day	10038816	Complete	CT 16:00	Chip Bank		McCormick, Melissa	McCormick, Melissa		Collins, Rebecca
FIL	09/30/2010 07:27:43PM	\$2,165.49	PM Day	10038817	Complete	DOB 14:00	Chip Bank		Ringlin, Ivy	Ringlin, Ivy		Collins, Rebecca
FIL	09/30/2010 07:56:23PM	\$785.49	PM Day	10038818	Complete	BU 14:00	Chip Bank		Dhooghe, Jordan	Dhooghe, Jordan		Collins, Rebecca
FIL	09/30/2010 08:12:37PM	\$60.49	PM Day	10038819	Complete	DOB 14:00	Chip Bank		Dhooghe, Jordan	Dhooghe, Jordan		Collins, Rebecca
FIL	09/30/2010 09:12:08PM	\$10,000.49	PM Day	10038820	Complete	DOB 14:00	Chip Bank		Bell, Lloyd	Bell, Lloyd		Red, Charlotte
FIL	09/30/2010 09:49:11PM	\$10,000.49	PM Day	10038821	Complete	DOB 14:00	Chip Bank		Bell, Lloyd	Bell, Lloyd		Red, Charlotte
FIL	09/30/2010 09:54:44PM	\$840.49	PM Day	10038822	Complete	TP 16:00	Chip Bank		Burd, Chris	Burd, Chris		Red, Charlotte
FIL	09/30/2010 09:55:07PM	\$350.49	PM Day	10038823	Complete	BU 14:00	Chip Bank		Burd, Chris	Burd, Chris		Red, Charlotte
FIL	09/30/2010 10:09:46PM	\$3,265.49	PM Day	10038824	Complete	BU 10:00	Chip Bank		Ringlin, Ivy	Ringlin, Ivy		Red, Charlotte
FIL	09/30/2010 10:17:26PM	\$245.00	PM Day	10038825	Complete	UT 16:00	Chip Bank		Ringlin, Ivy	Ringlin, Ivy		Red, Charlotte
FIL	09/30/2010 10:18:50PM	\$125.00	PM Day	10038826	Complete	BU 10:00	Chip Bank		Ringlin, Ivy	Ringlin, Ivy		Red, Charlotte
FIL	09/30/2010 10:37:33PM	\$2,440.49	PM Day	10038827	Complete	BU 14:00	Chip Bank		Burd, Chris	Burd, Chris		Red, Charlotte
FIL	09/30/2010 11:37:40PM	\$2,165.49	PM Day	10038828	Complete	BU 10:00	Chip Bank		Burd, Chris	Burd, Chris		Red, Charlotte
FIL	09/30/2010 11:38:31PM	\$10,000.49	PM Day	10038829	Complete	BU 14:00	Chip Bank		Burd, Chris	Burd, Chris		Red, Charlotte
FIL	09/30/2010 11:40:19PM	\$2,360.49	PM Day	10038830	Complete	TP 16:00	Chip Bank		Burd, Chris	Burd, Chris		Red, Charlotte
FIL	09/30/2010 11:46:28PM	\$10,000.49	PM Day	10038831	Complete	DOB 14:00	Chip Bank		Bell, Lloyd	Bell, Lloyd		Red, Charlotte
FIL	09/30/2010 11:48:13PM	\$20,000.49	PM Day	10038832	Complete	DOB 14:00	Chip Bank		Bell, Lloyd	Bell, Lloyd		Red, Charlotte

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Printed: 10/01/2010 09:47:06AM

Downstream Casino Resort

Opener-Closer Detail

Reporting Period: 09/30/2010

Ver#: 5 ID#: 10

Page: 1 of 3

Pit	Location	Inventory Type	Shift	Inventory		Date	Amount
				ID			
Pit 1	BJ103	Open Shift	Day	115755		09/30/2010 02:58:52AM	\$16,100.00
Pit 1	BJ103	End Shift	Day	115902		10/01/2010 02:58:35AM	\$15,200.00
Pit 1	BJ104	Open Shift	Day	115779		09/30/2010 03:09:23AM	\$38,505.00
Pit 1	BJ104	End Shift	Day	115889		10/01/2010 02:55:59AM	\$24,800.00
Pit 1	BJ108+3	Open Shift	Day	115765		09/30/2010 03:02:14AM	\$10,400.00
Pit 1	BJ108+3	End Shift	Day	115905		10/01/2010 02:58:48AM	\$5,700.00
Pit 1	BJ110+3	Open Shift	Day	115767		09/30/2010 03:02:36AM	\$15,200.00
Pit 1	BJ110+3	End Shift	Day	115911		10/01/2010 03:01:08AM	\$11,400.00
Pit 1	BJ1B101	Open Shift	Day	115771		09/30/2010 03:09:03AM	\$13,406.50
Pit 1	BJ1B101	End Shift	Day	115892		10/01/2010 02:56:32AM	\$11,200.00
Pit 1	BJ1B102	Open Shift	Day	115777		09/30/2010 03:09:18AM	\$35,684.25
Pit 1	BJ1B102	End Shift	Day	115887		10/01/2010 02:54:18AM	\$37,200.00
Pit 1	CF109	Open Shift	Day	115773		09/30/2010 03:09:09AM	\$13,638.50
Pit 1	CF109	End Shift	Day	115907		10/01/2010 02:59:52AM	\$11,400.00
Pit 1	CR-111	Open Shift	Day	115775		09/30/2010 03:09:13AM	\$88,691.00
Pit 1	CR-111	End Shift	Day	115921		10/01/2010 03:09:22AM	\$88,691.00
Pit 1	DDBJ105	Open Shift	Day	115757		09/30/2010 02:59:45AM	\$28,900.00
Pit 1	DDBJ105	End Shift	Day	115897		10/01/2010 02:57:15AM	\$23,500.00
Pit 1	TP106	Open Shift	Day	115781		09/30/2010 03:09:28AM	\$10,738.00
Pit 1	TP106	End Shift	Day	115923		10/01/2010 03:09:30AM	\$10,425.00
Pit 1	UT107	Open Shift	Day	115763		09/30/2010 03:01:18AM	\$10,400.00
Pit 1	UT107	End Shift	Day	115899		10/01/2010 02:58:13AM	\$10,400.00

Pit 1

Pit 2	BJ204	Open Shift	Day	115726		09/30/2010 01:00:00AM	\$15,712.75
Pit 2	BJ204	End Shift	Day	115860		10/01/2010 01:00:00AM	\$15,712.75
Pit 2	BJ205	Open Shift	Day	115740		09/30/2010 01:00:00AM	\$15,238.25
Pit 2	BJ205	End Shift	Day	115874		10/01/2010 01:00:00AM	\$15,238.25
Pit 2	BJ207	Open Shift	Day	115728		09/30/2010 01:00:00AM	\$15,765.25
Pit 2	BJ207	End Shift	Day	115862		10/01/2010 01:00:00AM	\$15,765.25
Pit 2	BJ208	Open Shift	Day	115730		09/30/2010 01:00:00AM	\$13,528.75
Pit 2	BJ208	End Shift	Day	115864		10/01/2010 01:00:00AM	\$13,528.75
Pit 2	BJ209	Open Shift	Day	115732		09/30/2010 01:00:00AM	\$7,991.00
Pit 2	BJ209	End Shift	Day	115866		10/01/2010 01:00:00AM	\$7,991.00
Pit 2	BJ210	Open Shift	Day	115734		09/30/2010 01:00:00AM	\$13,065.00
Pit 2	BJ210	End Shift	Day	115868		10/01/2010 01:00:00AM	\$13,065.00
Pit 2	CF202	Open Shift	Day	115744		09/30/2010 01:00:00AM	\$16,256.50
Pit 2	CF202	End Shift	Day	115878		10/01/2010 01:00:00AM	\$16,256.50
Pit 2	DDBJ206	Open Shift	Day	115742		09/30/2010 01:00:00AM	\$18,245.75
Pit 2	DDBJ206	End Shift	Day	115876		10/01/2010 01:00:00AM	\$18,245.75
Pit 2	TP203	Open Shift	Day	115736		09/30/2010 01:00:00AM	\$16,567.00
Pit 2	TP203	End Shift	Day	115870		10/01/2010 01:00:00AM	\$16,567.00
Pit 2	UT201	Open Shift	Day	115738		09/30/2010 01:00:00AM	\$15,707.00
Pit 2	UT201	End Shift	Day	115872		10/01/2010 01:00:00AM	\$15,707.00

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Printed: 10/01/2010 09:47:20AM

Quapaw Tribal Gaming Agency



Date Received	2/28/11
Comments	
Reviewed By	MK 3/3/11 JB 3/4/11
Approved	Tentative
Not Approved	Final

Policy and Procedure Submission

Policy Name and Number: Downstream Casino Resort (DCR) W2G Verification Audit Procedure Policy #6310.20.01	Department: Income Audit	Submission Date: 2/28/2011
Narrative Description: To establish policy and procedures that outline how Income Auditors are to audit the W2G tax liability for the prior gaming day of DCR.		DCR/QTGA Tracking: POLICIES & PROCEDURES DDA APPROVED MAR 30 2011

DCR Compliance Authorization

Signature: Steph. B. A. 2551

Date: 2/25/11

Department Director Authorization

Signature: [Signature]

Date: 2/25/11

General Manager Authorization

Signature: [Signature]

Date: 2/25/11

QTGA Authorization

Signature: [Signature]

Date: 3/10/11

Downstream Casino Resort (DCR)W2G Verification Audit Procedure	Policy No: 6310.20.01	Issue Date: 3/10/2011
PURPOSE: To establish policies and procedures that outline how Income Auditors are to audit the W2G tax liability for the prior gaming day of Downstream Casino Resort (DCR).		

DCR Compliance – ITEM Tracking	Date
Issue Date	3/10/2011
Compliance Review	8/13/2010
QTGA Submission	8/16/2010
QTGA Return	9/10/2010
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
QTGA Return	10/25/2010
Compliance Review	2/24/2011
QTGA Submission	2/28/2011
GM Approval	2/25/2011
QTGA Final Approval	3/10/2011
DDA Final Approval	3/30/2011

PROCEDURE

1. Verification and Completeness Process:

- a. Print the W2G report from the Audit Reports section of Machine Accounting for the previous calendar day (Not the game day). W2Gs are to be sorted by calendar day.
- b. The Electronic Gaming Machine (EGM) auditor will give all copies of W2Gs to another EGM auditor in charge of verifying the W2Gs, or designee.
- c. Sort all W2Gs numerically and keep them separated by calendar day.
- d. Verify the following fields. Check the physical slips against the W2G report. Mark them off as they are verified.
 - i. Slip number;
 - ii. Social security number;

- iii. Name;
 - iv. Address (No P.O. Boxes)
 - v. Jackpot Amount;
 - vi. Tax Withholding if applicable;
 - vii. Patron's signature present.
1. If any errors are found, such as random characters in the name/address field, or wrong/mismatched fields, find an EGM attendant and have the EGM attendant make corrections and reprint the W2G.
 2. In some cases, the patron may need to be contacted to get the correct data. After corrections are made, mail the patron a corrected W2G and have them return the signed copy.
 3. Once the day is verified, wrap the W2G report around the W2G slips for the day, clearly mark the date on the paper, and keep them in a monthly W2G box separate from the other audit paperwork.

2. Balancing the Tax Liability:

- a. Open Machine Accounting – Don't open a day/period.
 - i. Go to the Audit Reports.
 - ii. Select the W2G report
 1. Set the date type to Accounting;
 2. Set the date range for a month to date (through only the last closed gaming day);
 3. Hit 'OK', and then export it to Excel;
 4. Filter the Federal Withholding column to exclude 0.00;
 5. Copy and paste special – values, to the 'Paste Special from W2G Report' worksheet of the Monthly W2G workbook.

- iii. Select the Handpay report:
 - 1. Set the date range for a month to date (through only the last closed gaming day);
 - 2. Hit 'OK' and then export it to Excel;
 - 3. Copy and paste the whole sheet into the 'Paste from Handpay Report' worksheet of the Monthly W2G workbook.
- b. Open the Monthly W2G workbook:
 - i. The "Balance W2G" sheet will be used to actually balance the tax liability. This is the only sheet used to enter data.
 - ii. On the right side of the sheet, enter the total daily values of the taxes withheld according to the Main Bank Activity workbook, per calendar day.
 - iii. Enter the slip number for each slip on the first page into column A.
 - iv. Group these first by the date that it was paid by the bank, and then group the AJMs by game day.
 - v. There will be formulas that fill in the other fields except for the FJP and AJM columns. Type the amount in the appropriate column depending on if it was paid by the bank or by an AJM.
 - vi. Total every day, showing the AJM total and the FJP total. Then color match the FJP total to the Bank totals from step ii above.
- c. Complete the Reconciliation:
 - i. At month end, verify that the totals pasted from the Main Bank Activity workbook actually match the total from the Main Bank Activity workbook. Sometimes bank lines change and errors happen.
 - ii. Verify that the totals from the FJP line and the AJM line match the totals from the W2G report.
 - iii. Run the W2G report for the whole month, and make sure the total on the last page matches the total that is pasted into the workbook.

- iv. Run the Missing W2G Reconciliation report in Machine Accounting and verify that it is zero. If it is not zero, verify that we have a 1042-S for this jackpot. If we do not, investigate what is causing the out of balance error.
 - 1. If there is a 1042-S, make sure the 1042-S is accounted for on the first page of the workbook, after all of the other W2G information. Total the W2Gs separately from the 1042-S.
 - 2. Machine Accounting does not hold the 1042 information. They are done manually. The information is handwritten by an EGM attendant.
 - 3. Keep copies of any 1042-S paperwork with the regular W2Gs for the day.
- 3. All audit information shall be made available to QTGA upon request.

Quapaw Tribal Gaming Agency



Date Received	3/10/11
Comments	
Reviewed By	JB3/21/11 MK 3/23/11
Approved	Tentative
Not Approved	Final

Policy and Procedure Submission

Policy Name and Number: Soft Count EGM Processing Policy #1500.08.01	Department: Count	Submission Date: 3/10/2011
Narrative Description: To establish policy and procedures for the counting of currency and other items that may be placed into the Bill Validator (BV) cans contained in the Electronic Gaming Machines.		DCR/QTGA Tracking: POLICIES & PROCEDURES DDA APPROVED MAR 30 2011

DCR Compliance Authorization

Signature: Stephani B. H. 2551

Date: 3/9/11

Department Director Authorization

Signature: [Signature]

Date: 3/9/11

General Manager Authorization

Signature: [Signature]

Date: 3/10/11

QTGA Authorization

Signature: Barbara Cellini

Date: 3/25/11

SOFT COUNT EGM PROCESSING	Policy No: 1500.08.01	Issue Date: 3/25/2011
PURPOSE: To establish procedures for the counting of currency and other items that may be placed into Electronic Gaming Machine (EGM) Cash Storage Boxes.		

DCR Compliance –	Date
Issue Date:	3/25/2011
Compliance Review	3/8/2011
QTGA Submission	3/11/2011
GM Approval	3/11/2011
QTGA Final Approval	3/25/2011
DDA Final Approval	3/30/2011

POLICY

The Soft Count Team shall count all monies dropped in EGM Bill Validator (BV) cans. The monies may consist of a combination of loose currency and Ticket In Ticket Out (TITO) vouchers. Upon completion of the count, a Cage Verifier shall independently count the monies and transfer them to the Main Bank following the Soft Count Drop Verification Procedures stated in Policy # 1500.03.01.

PROCEDURES

1. As each EGM BV can is placed on the Count table, Count Team Members shall unlock and in full view of the Surveillance cameras located in the Count Room, empty the contents of each EGM BV can onto the Count table into a separate clear bin for processing through the currency counting machine.
2. Immediately before the Count Team Member removes the contents of each EGM BV can, the EGM BV can shall be placed on the scanner base so that a footer ticket will be printed. As the contents of each EGM BV can are placed in a clear bin on the Count Table, the footer ticket will be placed behind that box's contents. Immediately after the contents of an EGM BV can are emptied into a clear bin on the Count table, the inside of the BV can shall be verified by a second Count Team Member, and placed in full view of a Surveillance camera, to assure that all contents of the EGM BV can have been removed. The EGM BV can shall then be locked and placed in the secured cart.
3. As the contents of each EGM BV can are counted, a Count Team Member shall manually record or cause a computer system to record, the following information for the Soft Count Currency Drop Report or other supporting documentation by EGM BV can number:
 - a. The amount of each denomination of currency counted;
 - b. The amount of all denominations of currency counted;

- c. The total amount of each TITO voucher; and
 - d. The gaming date of the items being recorded and the date the Master Gaming Report is being prepared or generated.
4. The Soft Drop Summary Report shall be generated by computer using the data obtained during the machine counting process in the Count Room. When processed through the MPS machine, a file will generate that ties together each EGM BV Can currency and/or TITO voucher contents, along with the EGM BV Can number and the EGM Asset number associated with that EGM BV Can. The following information on the reports will serve as documentation:
- a. The asset number of the EGM to which the EGM BV Can's unique identification number corresponds;
 - b. The amount of each denomination of currency counted;
 - c. The amount of all denominations of currency counted;
 - d. The total amount of currency counted for each EGM by denomination;
 - e. The total dollar amount of each denomination of coupon;
 - f. The total dollar value of all denominations of coupons;
 - g. The gaming date of the items being recorded and the total number of all EGM BV Cans opened and counted.
5. After preparation of the Soft Count Currency Drop Report (pg. 4), all Count Team members performing the counting functions shall sign and record his or her badge number on the report attesting to the accuracy of the information recorded thereon, and as evidence of their participation in the count. Any Count Team Member performing counting functions who enters or leaves the Count Room prior to the completion of the entire Count process shall also record on the Soft Count Currency Drop Report, or other approved document, his or her badge number and the time that he or she exited the Count Room, except that, if the person exiting the Count Room is unable to sign the document due to the nature of the emergency, the Count Room Supervisor or designee shall record the Team Member's name, badge number and time of exit and a notation describing the emergency on the document.
6. In the event of a manual count due to machine unavailability, a Count Team Member shall separate each denomination of currency and place it on the Count table in full view of Surveillance. The Count Team Member shall count the currency followed by a second Count Team Member who shall be unaware of the result of the original Count. The second Count Team Member, after completing this second Count, shall confirm the accuracy of the total, either verbally or in writing, with that reached by the first Count Team Member. A record of the count

shall be made and both Count Team Members who verified the count will sign with their badge number and name on the form or document used for recording individual BV can content data for the manual count.

7. Upon completion of the count, a Cage Verifier shall independently count the monies and transfer them to the Main Bank following the Soft Count Drop Verification Procedures stated in Policy #1500.03.01.



SOFT COUNT - CURRENCY DROP REPORT

ATTACH TAPE:

SLOT DROP TABLE GAMES DROP TRU KIOSK DROP OTHER:

COUNT DATE: _____ GAMING DATE: _____ TRANSFER TIME: _____

DENOM	\$100.	\$ 50.	\$ 20.	\$ 10.	\$ 5.	\$ 2.	\$ 1.
BUNDLED							
STRAPPED							
LOOSE							
OTHER							
TOTAL DROP							
TOTAL REPORTS							
VARIANCE							
TOTAL - # OF TICKETS							
TOTAL - \$ VALUE							
TICKETS							

Count Team Signature/LIC #

Recorder Signature /LIC #

Main Bank /LIC #

TGA/LIC#

Income Audit /LIC #

SP 20075

Quapaw Tribal Gaming Agency



Date Received	3/17/11
Comments	
Reviewed By	MK 3/18/11 JD 3/21/11
Approved	Tentative
Not Approved	Final

Policy and Procedure Submission

Policy Name and Number: Surveillance Standards Policy #1600.01.01	Department: Surveillance	Submission Date: 3/18/2011
Narrative Description: To establish policy and procedures for the Surveillance Department to protect the assets and integrity of Downstream Casino Resort. This is a revised version based off QTGA comments provided to us on 3/11/2011.		DCR/QTGA Tracking: POLICIES & PROCEDURES DDA APPROVED MAR 30 2011

DCR Compliance Authorization

Signature: Stephani B. 2551

Date: 3/17/11

Department Director Authorization

Signature: [Signature]

Date: 3/17/11

General Manager Authorization

Signature: [Signature]

Date: 3/17/11

QTGA Authorization

Signature: Barbara Collins

Date: 3/24/11

SURVEILLANCE STANDARDS	Policy No: 1600.01.01	Issue Date: 6/1/2008 Revised Date: 3/17/2011
PURPOSE: To establish standards for the Surveillance of Downstream Casino Resort in order to protect the assets and integrity of the Downstream Casino Resort.		

DCR Compliance – ITEM Tracking	Date
Issue Date	6/1/2008
Compliance Review	7/8/2009
QTGA Submission	7/8/2009
QTGA Return	8/5/2009
Compliance Revisions based on QTGA Review	12/10/2009
QTGA Submission	12/31/2009
QTGA Return	1/28/2010
Compliance Review	6/23/2010
QTGA Submission	7/1/2010
QTGA Return	7/28/2010
Compliance Review	10/5/2010
QTGA Submission	10/7/2010
QTGA Return	11/10/2010
Compliance Review	12/1/2010
QTGA Submission	12/2/2010
QTGA Return	1/6/2011
Compliance Review	2/25/2011
QTGA Submission	2/28/2011
QTGA Return	3/11/2011
Compliance Review	3/17/2011
QTGA Submission	3/18/2011
GM Approval	3/17/2011
QTGA Final Approval	3/24/2011
DDA Final Approval	3/30/2011

POLICY

The Minimum Internal Control Standards (MICS) identified in the Code of Federal Regulations identifies minimum internal control standards for surveillance for a Tier C gaming operation. Downstream Casino Resort (DCR) is a Tier C gaming operation and the MICS are identified in 25 CFR 542.43.

SURVEILLANCE

1. There shall be a recording and monitoring room in DCR. This room shall be for the exclusive use of the surveillance Team Members of the DCR, and shall be designated "Surveillance Room".
2. The Surveillance Room shall be in compliance with both of the following provisions:
 - a. The entrance shall be located outside of the general view of patrons and non-surveillance Team Members; and
 - b. Have access limited to Surveillance Room personnel and persons approved by the Quapaw Tribal Gaming Agency (QTGA) to enter the area (pg. 22). Access to the Surveillance Room by other authorized non-Surveillance persons shall be documented in a sign-in log (pg. 17) maintained by the Surveillance Department.
3. The Surveillance Room shall be staffed by qualified Surveillance Team Members of DCR at all times. Surveillance Team Members shall be trained in the use of the surveillance equipment and have knowledge of the Table Games house rules as well as knowledge of all DCR policies and procedures.
4. Subject to prior written approval of the QTGA, DCR may install different or new types of audio or visual recording of surveillance technology in DCR and related facilities for purposes of compliance with the MICS, Tribal Internal Control Standards (TICS), Compact and its Appendices.

DEDICATED DELIVERY STATION SPECIFICATIONS

1. The DCR shall provide a dedicated area for all of the following purposes:
 - a. Armored car cash deliveries and pickups; and
 - b. The delivery and pickup of chips and other valuables.
2. The structure shall be designated the "Delivery Station" and shall be covertly surveilled and monitored during all hours of operation. Surveillance shall be conducted when deliveries and pickups are made. A Department Manager shall notify surveillance via telephone prior to a scheduled delivery or pickup of chips and other valuables.

REQUIRED SURVEILLANCE EQUIPMENT

1. Surveillance Room equipment shall have total override capability over all other satellite surveillance equipment located outside the Surveillance Room.

2. Each camera required by the standards in this section shall be installed in a manner that will prevent it from being readily obstructed, tampered with, or disabled by patrons or DCR Team Members.
3. There shall be a sufficient number of monitors and recorders to simultaneously display and record in the Surveillance Rooms in order to adequately protect patrons and ensure the integrity of the approved gaming operation. The Surveillance Room shall have appropriate capabilities to ensure that all surveillance cameras are accessible to all monitors in the Surveillance room. The following Surveillance procedures are required for table games:
 - a. At a minimum, the surveillance system shall consist of at least one pan-tilt-zoom camera per two tables, capable of recording:
 - i. Patrons and dealers with sufficient clarity for identification purposes;
 - ii. The table bank with sufficient coverage and clarity to simultaneously view the table bank and determine the configuration of wagers, card values, and game outcome.
4. Each table game shall have fixed and/or pan, tilt and zoom cameras which are in compliance with the requirements for surveillance equipment in this subdivision and which continuously monitor and record all games during all hours of gaming operations.
5. The craps table(s) shall have two dedicated cross view cameras covering both ends of the table.
6. The equipment utilized in the closed circuit television system shall, unless approved in writing by the QTGA, be in compliance with all of the following requirements:
 - a. Cameras shall be in compliance with all of the following requirements:
 - i. Have a minimum of 420 lines of resolution;
 - ii. Be installed in fixed positions and have a control or pan, tilt, and zoom capabilities; and
 - iii. Be installed as not readily accessible by the public and non-security personnel view to effectively and clandestinely monitor, in detail, from various points, the coverage described in this policy.
 - b. A camera that is utilized for observing chips, playing cards, and EGM's shall be equipped with lenses of sufficient magnification capabilities to allow the operator to clearly distinguish the value of all of the following:

- i. Chips;
 - ii. Playing cards;
 - iii. EGM reels and screens; and
 - iv. Patrons.
- c. A monitor shall be in compliance with all of the following requirements:
 - i. Meet or exceed the resolution requirements for recording cameras that have solid state circuitry;
 - ii. Have a date and time generator that is synchronized to a central clock which can be displayed on any of the monitors but does not significantly obstruct the recorded view, while recording on videotape, video photographs, or other means of electronic recording; and
 - iii. At a minimum, a monitor screen shall measure diagonally not less than twelve (12) inches.
- d. A recorder shall be in compliance with all of the following requirements:
 - i. Be capable of producing high quality, first generation photographic images that meet or exceed the resolution requirements for recording cameras. DCR's recordings are either 30 frames at 1 common image format (CIF) or 30 frames at 4 CIF format.
 - ii. Be capable of recording, in a QTGA-approved format, with high speed scanning and a flicker-less playback capability in real time;
 - iii. Be capable of recording the images depicted by every camera in the system; and
 - iv. There shall be a sufficient number of recorders to allow for the simultaneous recording of the coverage described in this subdivision, off-line playback, and duplication capabilities.
- e. A printer that is capable of printing photographs from surveillance-related recording equipment shall be provided and be in compliance with all of the following requirements:
 - i. Be capable of adjustment; and

- ii. Upon command, be capable of generating clear, color photographic copies of images depicted on the surveillance monitor screen or recording devices.
- f. A date and time generator shall be in compliance with all of the following requirements:
 - i. Be based on a synchronized central or master clock;
 - ii. Be capable of being recorded on DVR or other QTGA-approved medium and be visible on every video monitor; and
 - iii. Have a backup power supply so that the date and time generator remains accurate despite power interruptions.
- g. A wiring system shall be designed to prevent tampering and must be in compliance with both of the following requirements:
 - i. Be supplemented with a backup gas generator power source or diesel generator power source, or both, that automatically engages in case of a power failure; and
 - ii. Be capable of returning full power within seven (7) to ten (10) seconds after a power failure.
- h. Switchers for all surveillance cameras shall be capable of both manual and automatic sequential switching for the appropriate cameras.
- i. Both of the following shall be in reserve in the event of equipment malfunctions:
 - i. A minimum of one (1) backup pan, tilt and zoom camera; and
 - ii. One (1) video/audio recording device.
- j. Surveillance radio communications shall be accessible to the Security department and the QTGA.

AREAS OF SURVEILLANCE SYSTEM COVERAGE

- 1. All of the following areas shall be covertly monitored in accordance with this subdivision:
 - a. Live gaming and Electronic Gaming Machines;
 - b. Pits;

- c. Main Bank;
 - d. Poker cage;
 - e. High Limit Cage (Electronic Gaming);
 - f. Cage Cashier's Desk;
 - g. Count Rooms;
 - h. Cart Storage Room;
 - i. Ticket Redemption Units;
 - j. Automated Jackpot Machines;
 - k. Card Storage Room;
 - l. Card Destruction Room;
 - m. All actions involved in gaming fill and drop operations;
 - n. All ATMs on gaming floor;
 - o. Secured delivery station;
 - p. Credit Host Office; and
 - q. Detention Room.
2. The surveillance system shall provide an overall view of Gaming Tables that permits clear identification of all of the following:
- a. Dealers, including their name and Team Member number reflected on their identification badges;
 - b. Patrons;
 - c. Hands of all participants;
 - d. Facial views of all participants;
 - e. Facial views and the information reflected on their identification badges of all Pit Team Members;

- f. Activities of all Pit Team Members; and
 - g. Table number.
- 3. The playing surface of the tables shall be viewed with sufficient clarity to determine all of the following:
 - a. The value of all Chips;
 - b. Playing card suits and values; and
 - c. Game results.
- 4. The playing surface of the tables shall be viewed with sufficient clarity to clearly observe, in detail, all of the following:
 - a. Chip trays;
 - b. Cash receptacles (drop slots);
 - c. Tip boxes;
 - d. Card shuffle devices; and
 - e. Card dealing shoes.
- 5. The surveillance system shall be capable of providing a reasonably clear view of all of the following:
 - a. Activity by patrons and Team Members, alone or in concert, that may constitute violations of the MICS, TICS, Compact and its Appendices, the System of Internal Controls, cheating, stealing or any other illegal or unlawful act;
 - b. Failure of Team Members to follow proper procedures and internal controls;
 - c. Movement of cash, playing cards, and chips, throughout DCR. Upon notification of intended movement of any cash, playing cards, or chips, both of the following provisions shall be complied with:
 - i. The surveillance system personnel shall record the notification in the surveillance log (pg. 18); and

- ii. During the course of routine surveillance, the progress of the movement shall be monitored to ensure that all procedures and internal controls are followed.
- d. Areas where any of the following items are stored shall be continuously monitored by a dedicated camera capable of continuous recording, motion activation, or both:
 - i. Cash;
 - ii. Chips;
 - iii. Card storage and card destruction rooms;
 - iv. Required records maintained and stored on-site;
 - v. Electronic Gaming Machines.
- e. Areas where any of the following items are transported or stored shall be continuously monitored by a dedicated camera capable either of continuous recording, or motion activation, or both:
 - i. Chips;
 - ii. Cash;
 - iii. Cash Equivalents;
 - iv. Card Vault;
 - v. Card Destruction Room.
- f. Progressive card games with a progressive jackpot of \$25,000 or more shall be monitored and recorded by dedicated cameras that provide coverage of:
 - i. The table surface, sufficient to clearly identify the card values and card suits;
 - ii. An overall view of the entire table with sufficient clarity to identify patrons and Dealer, and
 - iii. A view of the posted jackpot amount.
- g. Wide-area progressive gaming machines offering a base payout amount of \$1 million or more and monitored by an independent vendor utilizing an on-line progressive

computer system shall be monitored and recorded by a dedicated camera(s) to provide coverage of:

- i. All patrons and Team Members at the gaming machine; and
- ii. The face of the EGMs, with sufficient clarity to identify the payout line(s) of the EGMs.

6. There are basic steps that shall be followed regarding any incident that may be criminal. They are as follows:

- a. Make sure that the recorders are in operation;
- b. Inform the Supervisor of what is going on – even if the incident is minor;
- c. Notify QTGA in the event of any illegal activity, such as cheating;
- d. Rely on Team Members of the Surveillance Department to assist in observation;
- e. Safeguard evidence;
- f. Maintain a logbook of all video recorded incidents of suspected criminal activity (pg. 19 and 23) and include the following information on the logbook:
 - i. Date of the suspected criminal activity;
 - ii. Name of the suspect;
 - iii. Exact times of any criminal incident(s) video recorded;
 - iv. Name of the operator of the recording equipment;
 - v. Date and time copy of the video was made;
 - vi. Brief narrative as to the type of criminal activity depicted upon the original video and copy, including but not limited to the following:
 - 1. Location within DCR of the suspected criminal activity;
 - 2. Name of the DCR game involved, if any;
 - 3. Name and Team Member badge number of any DCR Team Member who was present when the suspected criminal activity occurred;

4. Minimum-maximum wagers in effect at the appropriate time, if any, when the suspected criminal activity occurred;
5. Amount of money or gaming chips involved if any; and
6. Description of the criminal suspect, including his clothing and position at a particular gaming table.

SURVEILLANCE SYSTEM VIDEO RECORDING REQUIREMENTS

1. The Surveillance Department shall visually record all of the following activities:
 - a. Observed criminal activity;
 - b. Arrests or evictions;
 - c. Observed procedural violations by DCR Team Members;
 - d. Detention of persons by security department Team Members;
 - e. Emergency activities capable of being observed by the system;
 - f. Armored car cash deliveries and pickups and other delivery and pickups from the secured delivery station;
 - g. Any other activity deemed necessary by the QTGA to ensure compliance with the MICS, TICS, Compact, and its Appendices, and to ensure protection of Team Members, the public, and the integrity of gaming;
 - h. Soft Count procedures in their entirety;
 - i. Currency collection process, including table drops and EGM drops;
 - j. Main Banks, including the following:
 - i. The capability to monitor and record a general overview of the activities in each cage with sufficient clarity to identify patrons and Team Members, including the information reflected on Team Members' identification badges;
 - ii. One or more dedicated cameras to monitor, record, and identify, with sufficient clarity, the currency, coin, and Chip values, and the amounts of chips leaving the cage or chip room. Also, the amounts of credit slips and

fill slips in any area where fills and credits are transacted, as well as the information on the fill/credit slip itself shall be recorded;

- iii. Each cashier station shall be equipped with one dedicated overhead camera covering the transaction area.
- k. All activities in any area of the security office where a person may be detained and questioned by the security department. All security areas where a person may be detained and questioned shall display a notice clearly stating that the area is or may be under audio/video surveillance. Security shall notify surveillance any time there is a person detained or questioned. (See Security Policy #7400.08.01 for more detailed information.)
- l. Entrances and exits of DCR, including the entrances and exits of all of the following rooms in DCR:
 - i. Count Rooms;
 - ii. Surveillance Rooms; and
 - iii. Security rooms.
- m. The entrances and exits described in this subdivision shall have dedicated monitoring and recording devices that have sufficient clarity to identify any person using the entrances and exits.
- n. On-site maintenance and repair service, including complying with all of the following provisions:
 - i. Surveillance Department personnel shall be notified of any maintenance or repair of any gaming or money handling equipment in secured access areas by an access memo approved by QTGA;
 - ii. Notation of the service shall be made in the surveillance log (pg. 18); and
 - iii. All repairs shall be periodically monitored in conjunction with routine monitoring activities to ensure that proper controls and procedures are being followed by DCR personnel.

RETENTION OF RECORDED ACTIVITIES

1. A recorded activity (visual or audio) shall be retained and maintained for not less than fourteen (14) days and contain a date and time reading.

2. A copy of visual and/or audio recording of detention or questioning of a detained individual or Team Member shall be submitted to the QTGA by the Surveillance Department upon request. The recording shall contain a date and time reading and shall be marked with all of the following:
 - a. The date and time the recording was made;
 - b. The identities of the Team Member(s) responsible for the monitoring.
3. The original recordings involving suspected or confirmed gaming crimes, unlawful activity or detentions and questioning must be retained for a minimum of thirty (30) days.

DAILY SURVEILLANCE LOGS/VISITOR'S LOGS

1. The DCR shall maintain a daily surveillance log (pg. 18) in the Surveillance Room. A daily surveillance log shall be in compliance with all of the following provisions:
 - a. Be continuously maintained by surveillance personnel and retained for not less than five years;
 - b. Be changed with each shift change of personnel;
 - c. Be chronological; and
 - d. Contain, at a minimum, all of the following information:
 - i. The date;
 - ii. Time commenced and terminated;
 - iii. The identity of the Team Member making the entry, which is their DCR badge number;
 - iv. A summary of the results of the surveillance of any suspicious activity recorded. This is a brief daily log entry;
 - v. Detail whether the activity was monitored.
 - e. Unless otherwise directed by the QTGA, the surveillance log shall include entries for all of the following information and be retained for not less than five (5) years:
 - i. The notification of any maintenance or repair of any EGM, table game equipment, or money handling equipment;

- ii. Drop Box exchanges;
 - iii. Transfers of cash, chips, or cards;
 - iv. Any detention or questioning of patrons or Team Members by the security department, including the identity of the patrons or Team Members and the security department personnel involved.
 - v. The beginning, end, and any interruptions of the Soft Count;
 - vi. An observed violation of the MICS, TICS, Compact or of the DCR's System of Internal Controls;
 - vii. An observed criminal activity;
 - viii. Malfunction or repair of surveillance equipment;
 - ix. An emergency activity;
 - x. Surveillance conducted at the request of a DCR or QTGA Team Member; and
 - xi. Other notations deemed necessary by Surveillance Department personnel or the QTGA to ensure compliance with the MICS, TICS or Compact.
2. A visitor's log (pg. 17), which shall be in a book type ledger with pre-numbered pages, shall be in compliance with all of the following provisions:
- a. Include the signature and Team Member badge number of anyone other than Surveillance Room personnel on duty, who access the Surveillance Room;
 - b. Identify all visitors by name, title or position and badge number;
 - c. State the department or agency the visitor represents;
 - d. State the reason for access to the room;
 - e. Provide the date and time of arrival and departure from the room; and
 - f. Be retained not less than ninety (90) days.
3. Surveillance personnel shall log all CD/DVD leaving the surveillance room, for example, CD/DVDs that are requested by the QTGA, Security, or outside law enforcement. The log (pg. 20) shall include:

- a. Date/Time;
- b. CD/DVD number;
- c. Incident number (if applicable);
- d. Type of coverage on the CD/DVD;
- e. Where the CD/DVD is going;
- f. Who is taking the CD/DVD; and
- g. Signed approval, including badge number of a surveillance supervisor.

Only copies should be released to outside parties. If an original is required to be released, then a copy should be made of it before it is released.

- 4. All Surveillance Room recordings, logs, and reports shall be in compliance with both of the following provisions:
 - a. Be retained in a manner to allow them to be easily retrieved by any of the following:
 - i. Time;
 - ii. Date;
 - iii. Location and type of activity.
 - b. A copy of all Surveillance Room logs and reports are to be furnished to the QTGA upon request.

SURVEILLANCE EQUIPMENT; MAINTENANCE AND MALFUNCTIONS

- 1. The DCR shall inform the QTGA in advance in writing if surveillance equipment is expected to be out of service due to maintenance.
- 2. Unless otherwise directed by the QTGA, the Surveillance Department shall replace equipment expected to be out of service for more than thirty (30) minutes with alternate camera coverage or, at the discretion of the QTGA, shall cover the equipment with live surveillance. In the event that there is a malfunction of surveillance system equipment required by the standards of this section, reasonable effort shall be made to repair such equipment within seventy-two (72) hours after the malfunction is discovered.

3. QTGA shall be notified of any camera(s) that has malfunctioned for more than twenty-four (24) hours. For secured areas, QTGA Compliance Agent or above shall be notified of a camera malfunction if it has been more than 8 hours. Secured areas will include:
 - a. Cage;
 - b. Count Room; and
 - c. Card storage and destruction rooms.
4. QTGA will periodically inspect the Surveillance Room to ensure all of the following:
 - a. All equipment is working properly;
 - b. Camera views are not blocked or distorted by improper lighting or obstructions;
 - c. All required surveillance capabilities are in place.
5. Surveillance personnel shall maintain an Equipment Failure Report that documents each malfunction and repair of the surveillance system (pg. 21). The Equipment Failure Report shall state:
 - a. The time and date;
 - b. Nature of each malfunction;
 - c. Operator name and badge number;
 - d. Equipment number;
 - e. The efforts expended to repair the malfunction;
 - f. The date the malfunction is repaired and
 - g. Any alternative security measures that were taken will the equipment was not in operation.
6. This log shall be available to QTGA upon request.

SURVEILLANCE PLAN

1. A surveillance plan shall include both of the following:
 - a. A floor plan or schematic detailing the placement of all surveillance equipment.

- b. A detailed description of the surveillance system and its equipment.
- 2. The DCR shall submit all of the following alteration information in writing to the QTGA no less than ten (10) days before the institution of the proposed alteration:
 - a. Details of a proposed change, including the floor plan;
 - b. The reason for the change; and
 - c. Expected results of the change.
- 3. The QTGA shall determine if the floor plan needs to be amended as a result of the DCR's proposed alterations. The DCR can commence operations if a surveillance plan is approved in writing by the QTGA. The DCR shall not commence operations or institute alterations without the prior written approval of the QTGA.

SURVEILLANCE OF TEAM MEMBERS

A DCR Team Member whose duties will be monitored in accordance with this subdivision shall be informed before commencing his or her duties that his or her surveillance is a requirement of employment. This is mentioned to all DCR Team Members in the New Hire Orientation.

COMMUNICATIONS EQUIPMENT

The DCR shall assure that portable telephone or two-way radio communication equipment, or both, may be operated from all areas of DCR, including, but not limited to, secure or underground areas.

ELECTRONIC GAMING MACHINES

- 1. EGMs and In-House Progressive Machines offering payout of more than \$100,000 shall be monitored and recorded by a dedicated camera(s) to provide coverage of:
 - a. The patrons and DCR Team Members at the EGMs;
 - b. The face of the EGM itself to identify the payout line(s) of the EGM.

VISITOR REGISTER

[illegible]



Daily Logs

Operator: N/A
Employee: N/A
Start Date: 09/18/2009
End Date: 09/18/2009

Date	Number	Type	Type Desc.	Operator	Description
09/18/2009 0:01:47 09/18/2009 0:01:47	DL-09-569978	ANTE FILL	\$500 on all open tables	2421	
09/18/2009 0:06:08 09/18/2009 0:06:08	DL-09-578809	Security - Escort	tg fills	1093	107/2845.00 105/3705.00
09/18/2009 0:07:22 09/18/2009 0:07:22	DL-09-229709	Security - Escort	tg fill	1093	108/650.00
09/18/2009 0:10:53 09/18/2009 0:10:53	DL-09-334865	Security - Assist	TRU Maint	171	#4...returning money to patron
09/18/2009 0:17:09 09/18/2009 0:17:09	DL-09-808400	Security - Escort	tg fill	1093	109/845.00
09/18/2009 0:35:43 09/18/2009 0:35:43	DL-09-450138	Card Collection	pits 421	1093	mon 10
09/18/2009 0:42:18 09/18/2009 0:42:18	DL-09-273242	Procedure Violation	Table 110	171	Repeatedly failed to place Envy button
09/18/2009 0:43:12 09/18/2009 0:43:12	DL-09-315635	Card on The Floor	red deck J of hearts	2421	table 107. Card is back at play.
09/18/2009 0:58:20 09/18/2009 0:58:20	DL-09-962104	Security - Escort	tg fill	1093	205/870.00
09/18/2009 1:01:23 09/18/2009 1:01:23	DL-09-972507	Security - Escort	tg fill	1093	101/365.00
09/18/2009 1:04:45 09/18/2009 1:04:45	DL-09-574864	Table Games Open / Close	closing	2421	205
09/18/2009 1:05:03 09/18/2009 1:05:03	DL-09-973402	Table Games Open / Close	close	1093	109
09/18/2009 1:18:41 09/18/2009 1:18:41	DL-09-649017	Card on The Floor	Red deck K of spades	2421	Table 107. Card is back at play.
09/18/2009 1:23:21 09/18/2009 1:23:21	DL-09-251163	Table Games Open / Close	closing	2421	101
09/18/2009 1:26:01 09/18/2009 1:26:01	DL-09-838232	Procedure Violation	110	171	Failed to spread dealers hand correctly



SURVEILLANCE DEPARTMENT
VIDEO INCIDENT LOG

☐	Month	Week	Date	Incident	Patron / Employee Name	Suro OP.
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
11						
12						
13						
14						
15						
16						
17						
18						
19						
20						
21						
22						
23						
24						

DSC_SUR_01 Rev.07/2009



**TAPE / CD / DVD
RECEIPT
Surveillance Department**

Date: _____

Incident #: _____

Incident Date: _____

This is to acknowledge receipt of the following TAPE/CD/DVDs:
(Incident Information)

This is being signed out by me:
Surveillance Employee

Signature Date _____

Received By;

Department /Agency: _____

Print Name

Signature Date: _____

DOWNSTREAM

CASINO RESORT

SURVEILLANCE DEPARTMENT EQUIPMENT FAILURE REPORT

DATE: _____

TIME: _____

OPERATOR: _____

ID: _____

CAMERA No: _____

DVR No: _____

NATURE OF PROBLEM:

CAMERA

NO PICTURE
POOR PICTURE

LENS

SLOW
IRIS
ZOOM
FOCUS

DIGITAL RECORDER

NOT RECORDING
POOR RECORDING
NO PLAY BACK
CAN NOT REVIEW

PAN-TILT

NO CONTROL
No Pan
NO TILT

Was the TGA notified of any camera(s)
That has malfunctioned for more than twenty-four
(24) hours.

(Yes) (No)

Was alternative method used to cover effected area?

(Yes) (No)

(Spare Camera) (Spare DVR) (Alternate Camera View)

OTHER:

EXPLAIN: _____

SERVICE: _____

Technician: _____

Date Repaired: _____

SURV_01_DSC



TGA Approval: _____



Approved Surveillance Room Access List
DOWNSTREAM CASINO RESORT

1	DDA	All Access
2	General Manager	All Access
3	TGA	All Access
4	VP's	Viewing Room Only - Monitor Room with Approval from Director of Surveillance
5	Directors	Viewing Room Only - Monitor Room with Approval from Director of Surveillance
6	Compliance Officer	Viewing Room Only - Monitor Room with Approval from Director of Surveillance
7	Security Supervisors	Viewing Room Only
8	Cage Manager / Cage Supervisor	Viewing Room Only
9	Slot Shift Manager	Viewing Room Only
10	Food & Bev Manager or Above	Viewing Room Only
11	Risk Management	Viewing Room Only
12	Hotel Manager	Viewing Room Only
13	HR Manager	Viewing Room Only
14	Poker Room Supervisor or Manager	Viewing Room Only
15	Player Development Mgr.	Viewing Room Only
16	Facilities Maint.Staff	Access For Repair & Maint. Only.
17	IT	Access For Repair & Maint. Only.
18	Table Games Shift & Above	Viewing Room Only - Monitor Room with Approval
19	EVS (House Keeping)	Access For Cleaning Only.
20	Vendors	Access For Repair & Maint. Only.
21	Guest / Pre-Arranged Tour	Access when accompanied by Director of Surveillance or prior approval and escorted by a supervisor on duty.
22	Law Enforcement Agencies	Viewing Room Only - Monitor Room with Approval from Director of Surveillance
23		
24		
25		
26		

SURV_03_DSC Rev:07/2009



Incident Report

Incident Information

Incident Number: 09-03338 **Status:** VOID **Operator:** 01624
Incident Type: Cheat At Play **Incident Sub Type:** Past Posting

Location of Incident

General Location: BlackJack
Specific Location: BJ 107 DD

- ☐ Police Involved
☐ Reactive
☒ Proactive

Date of Incident 09/19/2009 **Time of Incident** 20:40:47 **Date Reported** 09/19/2009 **Time Reported** 20:40:47 **Recovery Amount** \$0.00

Source/Type

Employee

Source/Type Description

(1624) Cornell, William

Short Description:

Past posting

Details Reported

This is a test report for TIC submittal

Person(s) Involved

Type	Identification	Name	D.O.B.	Notes
Employee	1813	BAPTISTA, ANDREW		

Video Info

Date	Video #	Color	Video ID	Released By	Notes
09/19/2009			Test		Allows to add video info; along with a released video info

Investigation Results

Date	Username	Machine	Details
09/19/2009	01624	DELL0234	Allows to add Investigation results

Notes

Date	Username	Machine	Details
09/19/2009	01624	DELL0234	Allowd to add notes

Cameras

Camera #	Time	Comments
1234	0:00:00	Allows the ability to add all cameras used

Attachments

Quapaw Tribal Gaming Agency



Date Received	3.4.11
Comments	
Reviewed By	JBS 3/7/11 MK 3/9/11
Approved	Tentative
Not Approved	Final

Policy and Procedure Submission

Policy Name and Number: Table Games Inventory Policy #1100.09.02	Department: Table Games	Submission Date: 3/3/2011
Narrative Description: To establish policy and procedures for monitoring Table Games inventory. This is a revision to policy #1100.09.01 to reflect current position titles and a few word changes.		DCR/QTGA Tracking: POLICIES & PROCEDURES DDA APPROVED MAR 30 2011

DCR Compliance Authorization

Signature: Stephani B. 2551

Date: 3/2/11

Department Director Authorization

Signature: [Signature] 563

Date: _____

General Manager Authorization

Signature: [Signature]

Date: 3/3/11

QTGA Authorization

Signature: Barbara Allen

Date: 3/11/11

TABLE GAMES INVENTORY	Policy No: 1100.09.02	Issue Date: 3/11/2011
PURPOSE: To establish procedures for monitoring Table Games inventory.		

DCR Compliance – ITEM Tracking	Date
Issue Date	3/11/2011
Compliance Review	2/23/2011
QTGA Submission	3/3/2011
GM Approval	3/3/2011
QTGA Final Approval	3/11/2011
DDA Final Approval	3/30/2011

Table Inventories

1. Whenever a gaming table is opened for gaming, operations shall commence with an amount of gaming chips to be known as the "table inventory" and gaming chips are not to be added to, or removed from, such table inventory during the gaming day except:
 - a. In exchange for cash, promotional coupons;
 - b. In payment of winning wagers and collection of losing wagers made at such gaming table;
 - c. In exchange for gaming chips received from a patron having an equal aggregate face value;
 - d. In conformity with the Fill and Credit Slip procedures as contained in policy 1100.10.01 and 1100.11.01 respectively;
2. In conformity with a table inventory return device utilized in the game of Caribbean Stud Poker, the gaming chips wagered on the progressive payout shall always be placed in the chip tray.
3. Gaming chips placed on or in the wagering device utilized for the optional bonus wager in the game of Let It Ride Poker, shall always be placed in the table inventory container.
4. Gaming Chips placed on or in the wagering device utilized for the optional bonus Wager in the game of Ultimate Texas Holdem Bonus Poker, shall always be placed in the table inventory container.
5. Whenever a gaming table is not open for gaming activity, the chips and the Table Chip Inventory Form (pg. 3) shall be stored in the locked chip tray, which is a clear container that is secured to the gaming table. The information on the Table Inventory Slip shall be visible from the outside of the chip tray. The chip trays shall be secured to the gaming tables with locked tray covers.

6. Keys to the locked tray covers are maintained in the Keywatch, which is a secured key cabinet that requires passwords of authorized Team Members in order to remove a sensitive key. See Sensitive Key Control, policy #6320.16.01 for information on the Keywatch. The Table Games Supervisor or above is authorized to remove the keys to the locked tray covers from Keywatch.
7. Should it become necessary to remove just the table inventories from the gaming tables, a Credit Slip will be prepared for the total table inventory, a “zero” closer dropped, and the gaming chips will be transported to the Chip Bank by Security. The table will be re-opened with a “zero” opener and a Fill slip.

Table Chip Inventory Form

TABLE CHIP INVENTORY

C. J. Miller

PIT	Table #	GAME	DATE	Open Time	Close Time	SHIFT
1	402	BT	1/4	5:13	12:00	G D S
\$1,000.00 Chips		-				
\$500.00 Chips		20000				
\$100.00 Chips		15900				
\$25.00 Chips		5875				
\$5.00 Chips		320				
\$1.00 Chips		46				
\$0.50 Chips						
\$0.25 Chips		9				
Total		42150				
Closing Dealer						Badge #
Closing Supervisor						Badge #
Opening Dealer						Badge #
Opening Supervisor						Badge #
White Account	Yellow Account	Pink TG Copy	Goldenrod TGA			

Quapaw Tribal Gaming Agency



Date Received	3/21/11
Comments	
Reviewed By	JD 3/22/11 MC 3/24/11
Approved	Tentative
Not Approved	Final

Policy and Procedure Submission

Policy Name and Number: TRU Testing Policy #1400.28.02	Department: Cage	Submission Date: 3/21/2011
Narrative Description: To establish policy and procedures for testing the Ticket Redemption Units (TRUs). This is a revision to policy #1400.28.01 to include specifics as to which bank the ticket testing occurs and the route to take when on the Casino floor testing the TRUs.		DCR/QTGA Tracking: POLICIES & PROCEDURES DDA APPROVED MAR 30 2011

DCR Compliance Authorization

Signature: Stephanie B. H. 2551

Date: 3/18/11

Department Director Authorization

Signature: M. K. Am

Date: 3/18/11

General Manager Authorization

Signature: Steven Orwe

Date: 3/19/11

QTGA Authorization

Signature: Barbara C. Allen

Date: 3/25/11

TRU TESTING	Policy No: 1400.28.02	Issue Date: 3/25/2011
PURPOSE: To establish policy and procedures for testing the Ticket Redemption Units (TRUs).		

DCR Compliance – ITEM Tracking	Date
Issue Date	3/25/2011
QTGA Submission	7/8/2009
QTGA Return	11/6/2009
Compliance Review	11/20/2009
QTGA Submission	11/25/2009
QTGA Return	12/21/2009
Compliance Review	6/21/2010
QTGA Submission	6/24/2010
QTGA Return	7/28/2010
Compliance Review	7/29/2010
QTGA Submission	8/5/2010
QTGA Return	9/2/2010
Compliance Review	9/10/2010
QTGA Submission	9/16/2010
QTGA Return	10/14/2010
Compliance Review	11/24/2010
QTGA Submission	12/13/2010
GM Approval	12/16/2010
QTGA Final Approval	1/4/2011
DDA Final Approval	2/10/2011
Compliance Review	3/11/2011
QTGA Submission	3/21/2011
GM Approval	3/19/2011
DDA Final Approval	3/30/2011

POLICY

The TRU machines must be tested once every shift to ensure they are taking tickets, dispensing properly and that the cassettes contain the correct denomination of currency.

PROCEDURE

1. A Cage Supervisor or above shall complete a Miscellaneous Paid Out (Pg. 6) form for test tickets and a TRU Machine Test Log (Pg. 5). The Cage Supervisor shall obtain the funds from the jackpot window of the Main Bank. The Miscellaneous Paid Out form shall be given to the Jackpot window to offset the cash going out.
2. The Miscellaneous form (Pg. 6) contains the following information:

- a. The words "Paid Out" hand written on the top for the form
 - b. Date
 - c. Time
 - d. Type (circle other)
 - e. Reason (Test tickets for TRU machines)
 - f. Returned by Signature and badge number (Main Bank Cashier shall sign here)
 - g. Received by Signature and badge number (Cage Supervisor shall sign here)
3. The machines shall be tested by a Cage Supervisor after fills have been completed on the shift or at the end of the shift, if no fills were completed. When machines are fully dropped, the Cage Supervisor shall test the TRU machines immediately following bringing them back on line.
4. Once the machines have been tested by the Cage Supervisor, the Cage Supervisor shall log the testing information on the TRU Machine Test log (page 5). The log contains the following:
- a. Date
 - b. Time
 - c. TRU #
 - d. Shift
 - e. Test Results
 - f. Both BV's working
 - g. Was Cummings or Glory called?
 - h. Comments
 - i. The ticket number of any tickets not redeemed in the TRU machine and were redeemed by the Cage Supervisor and turned in to Audit. (if any)
 - j. Main Bank Supervisor initials and badge number

- k. Front Line Supervisor initials and badge number (if unredeemed tickets are returning)
5. One copy of the original shall be made. The original shall be attached to the Miscellaneous form when the cash returns. This will be sent to Income Audit with the end of shift paperwork. The copy shall be placed in the TRU machine test log book for future reference by other Cage Supervisors.
6. If tickets are not redeemed in the TRU and they are coming into inventory, the Cage Supervisor assigned to the front line shall sign off on the original copy indicating that the tickets were redeemed via ticket redemption in the Front Line Cage Supervisor's window. A copy of the TRU Machine Testing Log will be attached to the ticket returned at the Cage Supervisor's window.
7. The test tickets shall be printed in \$126 increments. The machines will be tested as follows:
 - a. Insert \$126 ticket in the TRU being tested (a \$100 bill, a \$20, a \$5 and a \$1 should be dispensed in the Cummins TRU) (6 \$20's, a \$5 and a \$1 should be dispensed in the Glory TRU).

PROCEDURES FOR PRINTING TEST TICKETS:

1. The Cage Supervisor shall call for a Security Escort to a pre-determined EGM machine (Bank 4-07) that is monitored by Surveillance.
2. Before going out to the EGM, Security shall call Surveillance to make them aware the test tickets will be printed on the casino floor. A Security Officer shall be present when test tickets are printed. (Note: Test tickets are only printed on Bank 4-07.)
3. Once printed, the Cage Supervisor shall be escorted by the Security officer to each TRU machine to test the machines. The TRU machines shall be tested once per shift, regardless as to whether any fills were completed or not. When complete the Cage Supervisor shall be escorted back to the Main Bank with the currency and/or tickets.
4. The Cage Supervisor and Security shall start with the TRU machine that is located next to the Cage Window. They will then proceed in a clockwise manner around the casino floor checking the remaining TRU machines.
5. If the Count/Drop Team is working next to a TRU machine that needs to be tested, then that TRU machine will be skipped. Security will notify Surveillance that they will be skipping the TRU machine but will test it after they have completed the normal route.

6. The Cage Supervisor shall complete a Miscellaneous (Page 6) form and the TRU Machine Test log for the returned currency and give the form and the currency to the Jackpot Main Bank Cashier. The Miscellaneous form contains the following information:
 - a. The words "Paid In" hand written on the top for the form
 - b. Date
 - c. Time
 - d. Type (circle other)
 - e. Reason (Cash returned from testing TRU machines)
 - f. Returned by Signature and badge number (Supervisor shall sign here)
 - g. Received by Signature and badge number (Main Bank Cashier shall sign here)
7. If any tickets are returned, the Cage Supervisor must take them to the Front Line Supervisor who shall redeem the tickets, sign off on the TRU Machine Test log and attached the duplicate copy with his/her EZ-pay ticket tally report at the end of the shift.

TRU MACHINE TEST LOG

[illegible]



MISCELLANEOUS

Date: _____ Time: _____

Amount \$ _____ Type: Cash Coin Chips Other

TYPE: A.M. / Found \$ / Other

Location: _____ Asset # _____

Reason: _____

Returned by (Sig./Lic. #) _____

Received by (Sig./Lic. #) _____

SP 20438